# Arkansas Higher Education
# Comprehensive Annual Report

## University Operating Recommendations 2011-13 Biennium

**Arkansas Department of Higher Education**
114 East Capitol, Little Rock, Arkansas 72201

December 2010

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# ARKANSAS PUBLIC HIGHER EDUCATION
# OPERATING AND CAPITAL RECOMMENDATIONS
# 2011-13 BIENNIUM

## VOLUME 1
## OVERVIEW AND UNIVERSITIES

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# Institutional Abbreviations

## Four-Year Institutions

| | |
|---|---|
| Arkansas State University (Jonesboro) | ASUJ |
| Arkansas Tech University (Russellville) | ATU |
| Henderson State University (Arkadelphia) | HSU |
| Southern Arkansas University (Magnolia) | SAUM |
| University of Arkansas (Fayetteville) | UAF |
| University of Arkansas at Fort Smith | UAFS |
| University of Arkansas at Little Rock | UALR |
| University of Arkansas at Monticello | UAM |
| University of Arkansas at Pine Bluff | UAPB |
| University of Central Arkansas | UCA |

## Two-Year Institutions

| | |
|---|---|
| Arkansas Northeastern College (Blytheville) | ANC |
| Arkansas State University - Beebe | ASUB |
| Arkansas State University - Mountain Home | ASUMH |
| Arkansas State University - Newport | ASUN |
| Black River Technical College (Pocahontas) | BRTC |
| Cossatot Community College of the UA (DeQueen) | CCCUA |
| East Arkansas Community College (Forrest City) | EACC |
| Mid-South Community College (West Memphis) | MSCC |
| National Park Community College (Hot Springs) | NPCC |
| North Arkansas College (Harrison) | NAC |
| Northwest Arkansas Community College (Bentonville) | NWACC |
| Ouachita Technical College (Malvern) | OTC |
| Ozarka College (Melbourne) | OZC |
| Phillips Community College of the UA (Helena) | PCCUA |
| Pulaski Technical College (North Little Rock) | PTC |
| Rich Mountain Community College (Mena) | RMCC |
| South Arkansas Community College (El Dorado) | SACC |
| Southeast Arkansas College (Pine Bluff) | SEAC |
| Southern Arkansas University - Tech (Camden) | SAUT |
| UA Community College at Batesville | UACCB |
| UA Community College at Hope | UACCH |
| UA Community College at Morrilton | UACCM |

## Non-Formula Institutions / Entities

| | |
|---|---|
| Arkansas Delta Training and Education Consortium | ADTEC |
| Arkansas Research and Educational Optical Network | ARE-ON |
| ASU - System | ASU-SYS |
| HSU - Southwest Arkansas Technology Learning Center | HSU-SWATLC |
| SAUT - Environmental Academy | SAUT-ECA |
| SAUT - Fire Academy | SAUT-FTA |
| UA - System (Little Rock) | UA-SYS |
| UA - Archeological Survey (Fayetteville) | UA-AS |
| UA - Clinton School of Public Service (Little Rock) | UA-CS |
| UA - Criminal Justice Institute (Little Rock) | UA-CJI |
| UA - Division of Agriculture (Fayetteville and Little Rock) | UA-DIV AGRI |
| UA - School of Mathematics, Sciences, and the Arts (Hot Springs) | UA-ASMSA |
| UALR - Research and Public Service | UALR-RAPS |
| UAF - Garvan Woodland Gardens (Hot Springs) | UAF-GWG |
| UA-Winthrop Rockefellar Institute Knowledge Based Economic Development Program | UA-WRI KBED |
| University of Arkansas at Pine Bluff (Non-Formula) | UAPB |
| University of Arkansas for Medical Sciences | UAMS |

## Technical Centers

| | |
|---|---|
| ATU - Ozark Campus | ATU-OZARK |
| UAM - College of Technology - Crossett | UAM-CROSSETT |
| UAM - College of Technology - McGehee | UAM-MCGEHEE |

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**RECOMMENDATIONS FOR EDUCATIONAL AND GENERAL OPERATIONS**
**STATE-SUPPORTED INSTITUTIONS OF HIGHER EDUCATION**
**2011-13 BIENNIUM**

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## Background

A.C.A. §6-61-223 establishes the process and key components for formula development for funding public institutions of higher education. That language reads as follows:

> *"(a) The Arkansas Higher Education Coordinating Board will work with the state college and university Presidents Council to review, revise, and develop funding formulas which will, in principle, seek to provide fair and equitable state support to all postsecondary students across the state, regardless of the state institution attended, while at the same time recognizing: (1) The different needs for lower level, upper level, and graduate level instruction at the various institutions; (2) The requirements for specialized equipment, labs and smaller class sizes in some disciplines; and (3) Unique missions, such as agricultural extension services, research, medical sciences, workforce development, and public service; and (4) Growth, economies of scale, and other appropriate factors. (b) The formulas will be developed in consensus with the state college and university president's council and presented to the Joint Budget Committee for review."*

At its April 25, 2008 meeting, the Arkansas Higher Education Coordinating Board approved the funding models for the two-year colleges, universities, and the technical centers (former technical institutes merged with universities). These models had been developed in conjunction with presidents and chancellors after meetings and revisions. The funding models were used to develop the comparative needs of Arkansas institutions of higher education in terms of the average funding levels of schools in the SREB region.

The staff reviewed the justification requests submitted by the non-formula group and prepared preliminary funding recommendations based upon those requests. After making preliminary recommendations, the staff conducted budget meetings with all non-formula entities which had concerns with the recommendations. After the conclusion of all budget meetings, final recommendations were made in light of the appeals heard during the budget meetings.

The difference between the funding model determined needs of the entities compared to the Fiscal 2011 appropriations was

$218.4 million, a 27% percent increase. The funding gap (the difference between the formula determined need and the current fiscal year appropriation) is part of a phenomenon that occurs when there is an extended economic downturn which is invariably accompanied by enrollment increases, declining state support and tuition increases (to replace a part of the lost state support). It should be emphasized that the funding needs of the institutions are the funds needed to bring Arkansas higher education to the **average** funding level of the SREB region. The funding gap took a number of years to reach its current level and may never be completely erased.

**Operating Funding Recommendations for the 2011-2013 Biennium**

The operating needs are based upon the tuition policies established by the Arkansas Higher Education Coordinating Board's approval of Agenda Items 8 and 9 on April 30, 2010 and the funding formulas approved by the AHECB in April 2008. Each funding formula was developed to provide an equitable basis for the distribution of **any funding available**.

The funding models have been updated with calendar year 2009 SSCH for both census-date and end-of-term using eighty (80) percent of the census-date SSCH and twenty (20) percent of the end-of-term SSCH. (***As you may recall in a meeting two years ago the presidents and chancellors agreed with the Governor's desire to phase in the end-of-term enrollment. For the 2009-11 biennium, that ratio was to be 90% census-date and 10% end-of-term enrollment data. The next step of that phase in for the 2011-13 biennium is to use 80% of the census-date and 20% of the end-of-term enrollment data.)*** The input data for the funding models were the SSCH by level and discipline as reported in the Student Information System for calendar year 2009 and the new educational and general square footage as reported in the Facilities Audit Program (FAP) 2010. The updated models represent a total need for new funding for higher education institutions and non-formula entities of $214.9 million in 2011-12. The need determined for fiscal year 2012-13 is $32.6 million more than the fiscal year 2012 need.

Since it is not anticipated that the models will be fully funded in the near future, funding recommendations for 2011-12 are based on a total higher education request of $25.8 million. The $25.8 million funding allocations would provide for a 3.2% increase over the current revenue forecast from all sources (RSA, EETF and WF2000) for fiscal 2011. An additional $35 million is requested for the 2012-13 fiscal year which would provide a 4.2% increase in state funding over fiscal 2012. The allocation of funds generated by the increases in RSA funding between colleges, universities, non-formula entities and technical institutes is based upon each group's share of the need for new funds. In addition to the $25.8 million new funds for fiscal 2012 and $35 million for fiscal 2013, additional amounts in Category B (for lack of a better term) of $6.6 million and $275 thousand are recommended if a funding source should become available. The funds are for Arkansas Delta Training and Education Consortium, UALR's Nano-

technology program, and ASUJ's Delta Heritage Centers.

The individual institutional recommendations for all four types of institutions (Colleges, Universities, Non-Formula Entities, and Technical Institutes) were determined in the following manner: The general revenue funds were distributed based upon the need for new funds as determined by the three funding formulas and the ADHE staff determined need of the non-formula entities. The non-formula needs were based up the justifications submitted by the institutions.

***It should be noted that it is unlikely that these recommendations will keep pace with the combination of inflation and enrollment increases for most institutions. However, given the economic uncertainty and declining state revenues, there is even a greater uncertainty than usual that even these modest recommendations will be funded.***

The principles for determining operating needs address continued levels of base funding for institutions, equity, small college adjustment, and economies of scale. Specific aspects of the operating recommendations for all institutions follow:

1. All of the general revenue increases recommended were distributed on the bases of the funding formula or staff determined need for new funding.

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## Table A. Summary of Operating Needs & Recommendations for the 2011- 13 Biennium

| Institution Type | Fiscal Year 2010-11 Base | | | | 2011-12 | | | | 2012-13 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | PRELIMINARY AHECB Recommendations | | | | PRELIMINARY AHECB Recommendations | | |
| | RSA | EETF | WF2000 | Total Fiscal Year Base | Funding Model Determined Need | Total Appropriation | New Funds | Percent Increase | Funding Model Determined Need | Total Appropriation | New Funds | Percent Increase |
| Colleges | $139,268,754 | $6,526,107 | $20,874,763 | $166,669,623 | $218,301,659 | $172,677,516 | $6,007,893 | 3.6% | $224,559,876 | $181,087,715 | $8,410,199 | 4.9% |
| Universities | $391,716,489 | $33,352,505 | $0 | $425,068,994 | $546,899,308 | $439,245,144 | $14,176,150 | 3.3% | $564,720,929 | $459,584,935 | $20,339,791 | 4.6% |
| Non-Formula Entities | $189,238,230 | $20,540,708 | $0 | $209,778,938 | $248,203,869 | $221,642,674 | $11,863,735 | 5.7% | $256,508,488 | $227,831,229 | $6,188,555 | 2.8% |
| Technical Centers | $5,272,810 | $0 | $1,993,834 | $7,266,643 | $10,230,204 | $7,611,483 | $344,839 | 4.7% | $10,474,380 | $8,075,562 | $464,079 | 6.1% |
| Total | $725,496,282 | $60,419,320 | $22,868,597 | $808,784,199 | $1,023,635,039 | $841,176,817 | $32,392,618 | 4.0% | $1,056,263,673 | $876,579,441 | $35,402,624 | 4.2% |

*S:\IF\MODELS\Model Prep 2011-13\[Revised Tables 7-19-10.xlsx]Table1A* 7/19/2010 11:05

***$827,483 was added to UAPB Federal Matching**

## TABLE B. Two-Year Colleges: Operating Needs & Recommendations for 2011-13 Biennium

| | 2010-11 | | | | 2011-12 PRELIMINARY AHECB Recommendations | | | | | | | 2012-13 PRELIMINARY AHECB Recommendations | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Inst | General Revenue Base (RSA, EETF & WF2000) | Fiscal Year 2008 FTE | FY 2010-11 Dollars Per FY2009 FTE Student | Model Need | Total Need | % of Need Met | Total New Funds | Total Appropriation | % of Need Met | % Increase | Funds per FTE | Model Need | Total Need | Total New Funds | Total Appropriation | % of Need Met | % Increase | Funds per FTE |
| ANC | $9,912,783 | 1,424 | $6,960 | **$9,506,345** | **$9,912,783** | 100.0% | $0 | $9,912,783 | 100.0% | 0.0% | $6,960 | $9,789,750 | $9,912,783 | $0 | $9,912,783 | 100.0% | 0.0% | $6,960 |
| ASUB | $14,103,088 | 3,365 | $4,191 | $16,696,265 | $16,696,265 | 84.5% | $301,742 | $14,404,829 | 86.3% | 2.1% | $4,280 | $17,268,524 | $17,268,524 | $464,209 | $14,869,038 | 86.1% | 3.2% | $4,418 |
| ASUMH | $4,316,979 | 1,070 | $4,036 | $6,253,062 | $6,253,062 | 69.0% | $225,282 | $4,542,261 | 72.6% | 5.2% | $4,247 | $6,446,892 | $6,446,892 | $308,743 | $4,851,004 | 75.2% | 6.8% | $4,536 |
| ASUN | $7,302,314 | 1,368 | $5,336 | $8,181,457 | $8,181,457 | 89.3% | $102,297 | $7,404,611 | 90.5% | 1.4% | $5,411 | $8,444,907 | $8,444,907 | $168,634 | $7,573,244 | 89.7% | 2.3% | $5,534 |
| BRTC | $8,085,909 | 1,706 | $4,738 | $9,816,149 | $9,816,149 | 82.4% | $201,330 | $8,287,239 | 84.4% | 2.5% | $4,856 | $10,125,785 | $10,125,785 | $298,031 | $8,585,270 | 84.8% | 3.6% | $5,031 |
| CCCUA | $4,575,408 | 914 | $5,008 | $6,375,702 | $6,375,702 | 71.8% | $209,482 | $4,784,890 | 75.0% | 4.6% | $5,237 | $6,565,316 | $6,565,316 | $288,609 | $5,073,499 | 77.3% | 6.0% | $5,553 |
| EACC | $6,477,329 | 1,059 | $6,118 | **$6,385,695** | **$6,477,329** | 100.0% | $0 | $6,477,329 | 100.0% | 0.0% | $6,118 | $6,578,762 | $6,578,762 | $16,443 | $6,493,771 | 98.7% | 0.3% | $6,133 |
| MSCC | $5,816,376 | 1,222 | $4,761 | $7,683,766 | $7,683,766 | 75.7% | $217,289 | $6,033,665 | 78.5% | 3.7% | $4,939 | $7,926,325 | $7,926,325 | $306,803 | $6,340,468 | 80.0% | 5.1% | $5,190 |
| NAC | $8,904,682 | 1,779 | $5,005 | $10,535,398 | $10,535,398 | 84.5% | $189,750 | $9,094,432 | 86.3% | 2.1% | $5,112 | $10,849,610 | $10,849,610 | $284,517 | $9,378,948 | 86.4% | 3.1% | $5,272 |
| NPCC | $10,548,512 | 2,380 | $4,432 | $13,404,390 | $13,404,390 | 78.7% | $332,309 | $10,880,822 | 81.2% | 3.2% | $4,572 | $13,814,836 | $13,814,836 | $475,608 | $11,356,429 | 82.2% | 4.4% | $4,772 |
| NWACC | $10,695,102 | 5,112 | $2,092 | $19,775,598 | $19,775,598 | 54.1% | $1,056,605 | $11,751,707 | 59.4% | 9.9% | $2,299 | $20,469,081 | $20,469,081 | $1,413,098 | $13,164,805 | 64.3% | 12.0% | $2,575 |
| OTC | $4,574,718 | 951 | $4,812 | $6,334,742 | $6,334,742 | 72.2% | $204,796 | $4,779,514 | 75.4% | 4.5% | $5,028 | $6,514,963 | $6,514,963 | $281,319 | $5,060,832 | 77.7% | 5.9% | $5,324 |
| OZC | $4,134,892 | 958 | $4,318 | $5,861,945 | $5,861,945 | 70.5% | $200,960 | $4,335,851 | 74.0% | 4.9% | $4,528 | $6,043,439 | $6,043,439 | $276,802 | $4,612,654 | 76.3% | 6.4% | $4,817 |
| PCCUA | $10,223,981 | 1,364 | $7,497 | **$9,549,548** | **$10,223,981** | 100.0% | $0 | $10,223,981 | 100.0% | 0.0% | $7,497 | $9,836,961 | $10,223,981 | $0 | $10,223,981 | 100.0% | 0.0% | $7,497 |
| PTC | $16,409,837 | 7,080 | $2,318 | $26,651,856 | $26,651,856 | 61.6% | $1,191,759 | $17,601,596 | 66.0% | 7.3% | $2,486 | $27,615,051 | $27,615,051 | $1,623,194 | $19,224,790 | 69.6% | 9.2% | $2,715 |
| RMCC | $3,383,194 | 636 | $5,321 | $4,220,232 | $4,220,232 | 80.2% | $97,398 | $3,480,591 | 82.5% | 2.9% | $5,474 | $4,344,657 | $4,344,657 | $140,066 | $3,620,658 | 83.3% | 4.0% | $5,694 |
| SACC | $6,892,095 | 1,261 | $5,465 | $8,445,105 | $8,445,105 | 81.6% | $180,708 | $7,072,803 | 83.8% | 2.6% | $5,608 | $8,689,959 | $8,689,959 | $262,143 | $7,334,946 | 84.4% | 3.7% | $5,816 |
| SAUT | $5,797,453 | 1,388 | $4,178 | $8,609,068 | $8,609,068 | 67.3% | $327,159 | $6,124,612 | 71.1% | 5.6% | $4,414 | $8,878,538 | $8,878,538 | $446,415 | $6,571,027 | 74.0% | 7.3% | $4,736 |
| SEAC | $7,462,067 | 1,544 | $4,835 | $8,869,699 | $8,869,699 | 84.1% | $163,792 | $7,625,859 | 86.0% | 2.2% | $4,941 | $9,148,400 | $9,148,400 | $246,806 | $7,872,664 | 86.1% | 3.2% | $5,101 |
| UACCB | $4,821,613 | 1,324 | $3,642 | $7,679,323 | $7,679,323 | 62.8% | $332,523 | $5,154,136 | 67.1% | 6.9% | $3,894 | $7,906,641 | $7,906,641 | $446,185 | $5,600,320 | 70.8% | 8.7% | $4,231 |
| UACCH | $6,302,247 | 1,058 | $5,957 | $6,551,084 | $6,551,084 | 96.2% | $28,955 | $6,331,202 | 96.6% | 0.5% | $5,984 | $6,753,481 | $6,753,481 | $68,452 | $6,399,654 | 94.8% | 1.1% | $6,049 |
| UACCM | $5,929,047 | 1,749 | $3,389 | $9,742,725 | $9,742,725 | 60.9% | $443,759 | $6,372,805 | 65.4% | 7.5% | $3,643 | $10,037,942 | $10,037,942 | $594,123 | $6,966,929 | 69.4% | 9.3% | $3,983 |
| Total | $166,669,623 | 40,710 | $4,094 | $217,129,154 | $218,301,659 | 76.3% | $6,007,893 | $172,677,516 | 79.1% | 3.6% | $4,242 | $224,049,822 | $224,559,876 | $8,410,199 | $181,087,715 | 80.6% | 4.9% | $4,448 |

## Table C. Universities: Operating Needs & Recommendations for 2011-13 Biennium

| | 2010-11 | | | | | 2011-12 | | | | | | | 2012-13 | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Inst | RSA | EETF | 2010-11 Base (RSA & EETF) | Fiscal Year 2009 FTE | FY 2010-11 Dollars Per FY 2009 FTE Student | Formula Determined Need | % of Need | Total New Funds | Total Appropriation | % of Need Met | % Increase | Funds per FTE | Formula Determined Need | Total New Funds | Total Appropriation | % of Need Met | % Increase | Funds per FTE |
| ASUJ | $53,496,258 | $5,520,543 | 59,016,801 | 10,482 | $5,630 | $78,503,240 | 75% | $2,267,438 | $61,284,239 | 78.1% | 3.8% | $5,847 | $81,066,681 | $3,206,760 | $64,490,999 | 79.6% | 5.2% | $6,153 |
| ATU | $28,966,548 | $1,850,523 | 30,817,071 | 6,659 | $4,628 | $37,741,054 | 82% | $805,673 | $31,622,744 | 83.8% | 2.6% | $4,749 | $39,114,275 | $1,214,387 | $32,837,131 | 84.0% | 3.8% | $4,931 |
| HSU | $18,503,262 | $1,914,279 | 20,417,541 | 3,391 | $6,021 | $22,154,080 | 92% | $202,063 | $20,619,604 | 93.1% | 1.0% | $6,080 | $22,917,609 | $372,510 | $20,992,114 | 91.6% | 1.8% | $6,190 |
| SAUM | $15,449,575 | $1,131,764 | 16,581,339 | 2,876 | $5,766 | $19,794,877 | 84% | $373,927 | $16,955,266 | 85.7% | 2.3% | $5,896 | $20,452,510 | $566,908 | $17,522,174 | 85.7% | 3.3% | $6,093 |
| UAF | $112,506,550 | $8,383,770 | 120,890,320 | 17,912 | $6,749 | $158,198,911 | 76% | $4,341,220 | $125,231,540 | 79.2% | 3.6% | $6,992 | $163,052,197 | $6,130,778 | $131,362,319 | 80.6% | 4.9% | $7,334 |
| UAFS | $20,115,961 | $2,804,957 | 22,920,918 | 5,810 | $3,945 | $29,108,293 | 79% | $719,962 | $23,640,880 | 81.2% | 3.1% | $4,069 | $30,229,433 | $1,068,013 | $24,708,893 | 81.7% | 4.5% | $4,253 |
| UALR | $56,169,522 | $4,861,324 | 61,030,846 | 9,687 | $6,300 | $80,366,600 | 76% | $2,249,904 | $63,280,751 | 78.7% | 3.7% | $6,533 | $82,885,538 | $3,177,962 | $66,458,713 | 80.2% | 5.0% | $6,861 |
| UAM | $12,954,291 | $976,748 | 13,931,039 | 2,337 | $5,961 | $14,623,642 | 95% | $80,591 | $14,011,631 | 95.8% | 0.6% | $5,995 | $15,125,981 | $180,638 | $14,192,268 | 93.8% | 1.3% | $6,073 |
| UAPB | $21,582,145 | $1,695,613 | 23,277,758 | 3,385 | $6,877 | $26,556,798 | 88% | $381,548 | $23,659,307 | 89.1% | 1.6% | $6,990 | $27,395,189 | $605,592 | $24,264,898 | 88.6% | 2.6% | $7,169 |
| UCA | $51,972,375 | $4,212,984 | 56,185,359 | 11,113 | $5,056 | $79,851,811 | 70% | $2,753,823 | $58,939,183 | 73.8% | 4.9% | $5,304 | $82,481,514 | $3,816,243 | $62,755,426 | 76.1% | 6.5% | $5,647 |
| Total | $391,716,489 | $33,352,505 | $425,068,994 | 73,651 | $5,771 | $546,899,308 | 78% | $14,176,150 | $439,245,144 | 80.3% | 3.3% | $5,964 | $564,720,929 | $20,339,791 | $459,584,935 | 81.4% | 4.6% | $6,240 |

## Table D. Non-Formula Entities: Operating Needs & Recommendations for 2011-13 Biennium

| Institution/Entity | 2010-11 | 2011-12 | | | | | | | 2012-13 | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Total Base | General Revenue Request | Need | Percent Increase Requested | New Funds | Category "B" Funds if Available | Total Appropriation | % of Need | General Revenue Request | Need | New Funds | Category "B" Funds if Available | Total Appropriation | % of Need |
| **ADTEC/ADWIRED** | $0 | $3,302,697 | $3,302,697 | | $384,301 | $2,918,396 | $3,302,697 | 100.0% | $3,401,778 | $3,401,778 | $16,442 | $82,639 | $3,401,778 | **100.0%** |
| **AREON** | $0 | $602,062 | $602,062 | | $70,056 | | $70,056 | 11.6% | $620,124 | $620,124 | $91,283 | | $161,339 | **26.0%** |
| **ASU-System** | $2,362,680 | $2,613,560 | $2,613,560 | **10.62%** | $29,192 | | $2,391,872 | 91.5% | $2,691,967 | $2,691,967 | $49,800 | | $2,441,673 | **90.7%** |
| **HSU-SWATLC** | $210,585 | $216,903 | $216,903 | **3.00%** | $735 | | $211,320 | 91.5% | $223,410 | $223,410 | $2,006 | | $213,327 | **95.5%** |
| **SAUT-ECC** | $399,459 | $466,761 | $466,761 | **16.85%** | $7,831 | | $407,290 | 85.6% | $479,833 | $479,833 | $12,038 | | $419,328 | **87.4%** |
| **SAUT-FTA** | $1,729,820 | $2,462,538 | $1,981,436 | **42.36%** | $29,278 | | $1,759,098 | 87.3% | $2,863,955 | $2,038,521 | $46,370 | | $1,805,467 | **88.6%** |
| **UA-SYS** | $3,659,050 | $3,947,589 | $3,885,589 | **7.89%** | $26,360 | | $3,685,410 | 94.2% | $4,058,783 | $3,994,923 | $51,363 | | $3,736,773 | **93.5%** |
| **UA-AS** | $2,446,560 | $3,145,052 | $2,642,381 | **28.55%** | $22,786 | | $2,469,345 | 92.6% | $3,235,827 | $2,718,077 | $41,277 | | $2,510,622 | **92.4%** |
| **UA-DivAgri** | $67,755,057 | $71,716,602 | $71,716,602 | **5.85%** | $460,965 | | $68,216,021 | 94.5% | $75,521,790 | $75,521,790 | $1,212,382 | | $69,428,403 | **91.9%** |
| **UA-ASMSA** | $7,650,338 | $8,383,728 | $8,183,728 | **9.59%** | $62,065 | | $7,712,403 | 93.5% | $8,418,120 | $8,218,120 | $83,923 | | $7,796,326 | **94.9%** |
| **UA-CS** | $2,295,575 | $2,562,442 | $2,500,442 | **11.63%** | $23,838 | | $2,319,413 | 91.8% | $2,639,316 | $2,575,456 | $42,490 | | $2,361,903 | **91.7%** |
| **UA-CJI** | $1,825,769 | $2,677,992 | $1,993,742 | **46.68%** | $19,545 | | $1,845,315 | 91.6% | $2,652,068 | $2,053,554 | $34,557 | | $1,879,872 | **91.5%** |
| **UALR-RAPS*** | $3,588,916 | $6,959,770 | $5,596,583 | **93.92%** | $233,612 | $1,774,055 | $5,596,583 | 64.1% | $7,168,563 | $5,764,481 | $27,862 | $140,036 | $5,764,481 | **100.0%** |
| **UAMS** | $105,936,487 | $127,918,145 | $127,918,145 | **20.75%** | $2,557,781 | | $108,494,268 | 82.8% | $131,175,467 | $131,175,467 | $3,763,912 | | $112,258,180 | **85.6%** |
| **UAMS-Child Safety** | $720,586 | $742,204 | $742,204 | **3.00%** | $2,515 | | $723,102 | 97.1% | $764,470 | $764,470 | $6,865 | | $729,967 | **95.5%** |
| **UAMS-IC** | $5,550,465 | $5,710,730 | $5,710,730 | **2.89%** | $18,648 | | $5,569,113 | 97.2% | $5,875,804 | $5,875,804 | $50,895 | | $5,620,008 | **95.6%** |
| **UAPB-Nonformula** | $3,647,592 | $4,583,805 | $4,583,805 | **25.62%** | $936,213 | | $4,583,805 | 79.6% | $4,735,980 | $4,735,980 | $152,175 | | $4,735,980 | **100.0%** |
| **ASU-Heritage** | $0 | $2,119,284 | $2,119,284 | | $246,599 | $1,872,685 | $2,119,284 | 100.0% | $2,182,863 | $2,182,863 | $10,551 | $53,028 | $2,182,863 | **100.0%** |
| **UAF-GWG** | $0 | $350,000 | $350,000 | | $58,180 | | $58,180 | 11.6% | $515,000 | $515,000 | $75,809 | | $133,989 | **26.0%** |
| **UA-WRI KBED Program** | $0 | $929,000 | $929,000 | | $108,098 | | $108,098 | 11.6% | $956,870 | $956,870 | $140,852 | | $248,951 | **26.0%** |
| Total | $209,778,938 | $251,559,079 | $248,203,869 | 19.92% | $5,298,600 | $6,565,135 | $221,642,674 | 89.3% | $260,181,988 | $256,508,488 | $5,912,853 | $275,702 | $227,831,229 | 88.8% |

## Table E. Technical Centers: Operating Needs & Recommendations for 2011-13 Biennium

| Institution/Entity | 2010-11 RSA | 2010-11 EETF | 2010-11 Workforce 2000 | 2010-11 Total Base | 2011-12 Formula Determined Need | 2011-12 Total New Funds | 2011-12 Total Appropriation | 2011-12 % of Need Met | 2011-12 % Increase | 2012-13 Formula Determined Need | 2012-13 Total New Funds | 2012-13 Total Appropriation | 2012-13 % of Need Met | 2012-13 % Increase |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| ATU-Ozark | $2,394,591 | | $734,183 | 3,128,774 | $5,647,671 | $293,098 | $3,421,872 | 60.6% | 9.4% | $5,788,203 | $383,585 | $3,805,458 | 65.7% | 11.2% |
| UAM-Crossett | $1,154,300 | | $606,886 | 1,761,186 | $2,205,850 | $51,741 | $1,812,927 | 82.2% | 2.9% | $2,261,343 | $72,689 | $1,885,616 | 83.4% | 4.0% |
| UAM-McGehee | $1,723,918 | | $652,765 | 2,376,683 | $2,376,683 | $0 | $2,376,683 | 100.0% | 0.0% | $2,424,834 | $7,805 | $2,384,488 | 98.3% | 0.3% |
| Total | **$5,272,810** | **$0** | **$1,993,834** | **$7,266,643** | **$10,230,204** | **$344,839** | **$7,611,483** | **74.4%** | **4.7%** | **$10,474,380** | **$464,079** | **$8,075,562** | **77.1%** | 6.1% |

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## RECOMMENDATIONS FOR STATE FUNDING OF CAPITAL PROJECTS
## 2011-13 BIENNIUM

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### Background

From a total of $238 million appropriated, the 2009 87th legislative session provided allocations totaling $144 million for distribution from the General Improvement Fund (GIF) for various capital projects at institutions of higher education. To date, 14 percent, $21 million, of the allocation has been released to institutions from the GIF for higher education projects. For the 2007-09 biennium, almost $59 million was distributed for capital projects, significantly more than the 2005-07 biennium when $16.5 million was distributed for capital projects.

### Capital Priorities

Capital priorities for General Improvement Fund projects in 2011-13 remain the same as those established in past biennia by the Arkansas Higher Education Coordinating Board. Those priorities are as follows:

- Technology infrastructure improvements including: installations or upgrades of local area networks (LANS), campus infrastructure to support increased bandwidth, and instructional technology equipment for classrooms and laboratories, as well as distance learning delivery systems.

- Critical maintenance projects where critical needs are defined as those which must be addressed before the end of 2011 and which, if neglected, could result in substantial damage to the structural integrity of the building, or are related to the imminent failure of building systems such as HVAC, electrical and plumbing. In addition, critical maintenance projects include those associated with ADA compliance and/or safety needs.

- Improvements in instructional, research, and clinical equipment as well as library holdings and technology.

- Renovation of existing facilities to address changing program needs.

- New construction of facilities when renovation of an existing building to meet the need is either not cost effective or is not an option, e.g., new space to address enrollment growth.

In light of these priorities, institutions have responded with capital needs for the 2011-13 biennium. ADHE staff has evaluated the requests and has recommended capital projects that meet the strategic needs of higher education through 2013.

**Capital 2011-13 Recommendations**

Arkansas higher education now has a current replacement value for its educational and general (E&G) space of $4.6 billion. When this information is coupled with the fact that statewide, approximately 46 percent of the useful life of campus facilities has been expended, it is not surprising that the capital request for higher education is significant.

**Construction, Renovation and Technology Infrastructure Projects**

Institutions requested $1.4 billion in capital construction/renovation and technology infrastructure projects. Recommendations were made on the basis of the following criteria and institutions' demonstrating a compelling need for the projects.

- Institutional need for additional E&G square footage
- Condition of facilities (facilities condition index factor, critical maintenance needs)
- Age of facilities
- Debt service (capacity and utilization)
- Enrollment
- SREB category of the institution

Of the $68.7 million recommended, $33.8 million (49 percent) is for four-year institutions; $25.6 million (37 percent) for two-year institutions; $8.7 million (13 percent) for non-formula entities; and $.6 million (1 percent) for technical institutes.

Four-year institutions represent about 54 percent of total higher education facilities assets, while the two-year institutions and non-formula entities have 23 percent and 22 percent of the total assets, respectively. Technical institutes represent approximately 1 percent of the total assets. A narrative description of each recommended construction/renovation and technology infrastructure project follows in Table 19-B.

**Deferred Maintenance**

Educational and General maintenance needs for all institutions total over $2.1 billion. The four-year institutions have a maintenance need of $1.3 billion (63 percent); the two-year maintenance need is $314 million (15 percent); and the non-formula and technical institute maintenance needs are $442 million (21 percent) and $16 million (1 percent) respectively.

Recommendations are based on two percent of the institution's total maintenance need. The total deferred maintenance need and recommendation for each institution can be found on Table 19-A.

Staff recommends approximately $43.7 million for deferred maintenance needs.

**Equipment and Library**

Staff recommends approximately $21.9 million for equipment and library needs. This recommendation is based on $150/weighted FTE for the four-year and two-year institutions. The minimum for the technical institutes and non-formula entities was set at $30,000.

**Summary**

The capital recommendation is significant given the projected revenues to support the projects; however, these recommendations reflect the continuing need to maintain the state's investment in higher education facilities and keep pace with the technological advances that are necessary for cutting edge academic programs. Project categories and recommendations are summarized as follows:

| **Project Category** | **Recommendations** |
|---|---|
| Renovation, Construction and Technology Infrastructure | $68,716,000 |
| Deferred Maintenance | 43,660,000 |
| Equipment and Library | 21,850,000 |
| **GRAND TOTAL** | $134,226,000 |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| ASUJ | | | | | |
| Projects: | | | | | |
| Wilson Hall Replacement | New Construction | 38,375,068 | 4,000,000 | 4,000,000 | |
| Nursing Building Renovation | Renovation | 605,156 | | | |
| Army Reserve Center Renovation | Renovation | 1,500,000 | | | |
| Business Building | New Construction | 31,546,794 | | | |
| New Fine Arts Annex | New Construction | 6,468,519 | | | |
| Library Completion (6th Floor) | New Construction | 2,315,250 | | | |
| Computer System & Distance Learning Infrastructure | Technology | 12,700,000 | | | |
| Convocation Center Renovation & Expansion | Renovation | 41,314,724 | | | |
| New Campus ASU Paragould | New Construction | 11,576,250 | | | |
| Lab Science Renovation | Renovation | 17,770,400 | | | |
| Classroom/Administration Building | New Construction | 25,951,111 | | | |
| Large Animal Instructional Center | New Construction | 1,396,826 | | | |
| Arkansas Discovery Network Museum | New Construction | 31,372,032 | | | |
| Hemingway-Pfeiffer Educational Center | New Construction | 6,640,704 | | | |
| Lakeport Plantation Visitor Center | New Construction | 2,255,512 | | | |
| Instructional Equipment Improvements | New Construction | 4,177,294 | | | |
| ASU Partnership Building | New Construction | 18,944,737 | | | |
| Campus Pedestrian Accessible Loop | Other | 3,472,875 | | | |
| Project Total | | 258,383,252 | 4,000,000 | 4,000,000 | |
| Deferred Maintenance | | 184,287,754 | 3,690,000 | 3,690,000 | |
| Replacement Equipment & Library | | | 2,000,000 | 2,000,000 | |
| Total | | 442,671,006 | 9,690,000 | 9,690,000 | |
| ATU | | | | | |
| Projects: | | | | | |
| Academic Classroom Facility | New Construction | 14,856,625 | 2,315,000 | 2,315,000 | |
| Educational and General Buildings | Renovation & Critical Maintenance | 2,496,393 | 935,000 | 935,000 | |
| Project Total | | 17,353,018 | 3,250,000 | 3,250,000 | |
| Deferred Maintenance | | 90,556,234 | 1,810,000 | 1,810,000 | |
| Replacement Equipment & Library | | | 1,080,000 | 1,080,000 | |
| Total | | 107,909,252 | 6,140,000 | 6,140,000 | |

Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| HSU | | | | | |
| Projects: | | | | | |
| Phase I Campus Renovation | Renovation | 4,000,000 | 2,200,000 | 2,200,000 | |
| School of Business Building / Mooney Hall | Renovation & New Construction | 11,002,400 | | | |
| Henderson State University LANS | Technology | 800,000 | 800,000 | 800,000 | |
| Underground Electrical Distribution | Energy Conservation | 1,145,000 | | | |
| Land Acquisition | Other | 450,000 | | | |
| Project Total | | 17,397,400 | 3,000,000 | 3,000,000 | |
| Deferred Maintenance | | 66,323,025 | 1,330,000 | 1,330,000 | |
| Replacement Equipment & Library | | | 620,000 | 620,000 | |
| Total | | 83,720,425 | 4,950,000 | 4,950,000 | |
| SAUM | | | | | |
| Projects: | | | | | |
| University Agriculture Center | New Construction | 6,455,370 | 1,100,000 | 1,100,000 | |
| Technology Upgrades | Technology | 2,123,373 | 1,000,000 | 1,000,000 | |
| Bruce Center Conversion | Renovation | 2,355,260 | 400,000 | 400,000 | |
| Project Total | | 10,934,003 | 2,500,000 | 2,500,000 | |
| Deferred Maintenance | | 70,357,468 | 1,410,000 | 1,410,000 | |
| Replacement Equipment & Library | | | 510,000 | 510,000 | |
| Total | | 81,291,471 | 4,420,000 | 4,420,000 | |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| UAF | | | | | |
| Projects: | | | | | |
| Hillside Auditorium | New Construction | 5,906,199 | | | |
| Ozark Hall with Honors College Wing | Restoration / Renovation / Addition | 18,661,222 | 5,000,000 | 5,000,000 | |
| Vol Walker Hall | Restoration / Renovation / Addition | 19,678,728 | | | |
| Mullins Library | Renovation / Addition | 81,682,141 | | | |
| Nanoscale Sciense and Engineering - Cleanroom | New Construction | 6,539,100 | | | |
| College of Education and Health Professions | New Construction | 24,953,650 | | | |
| Engineering Hall | Restoration / Renovation / Addition | 18,022,357 | | | |
| Business Building | Renovation / Addition | 8,865,991 | | | |
| Plant Sciences 2 | New Construction | 37,598,589 | | | |
| Nanoscale Science and Engineering - 3rd Floor | New Construction | 6,444,216 | | | |
| Biotechnology Research Center | New Construction | 78,060,042 | | | |
| Engineering Research Center 2 | New Construction | 24,800,018 | | | |
| Nanoscale Science and Engineering - N & S Wings | New Construction / Addition | 48,187,569 | | | |
| Project Total | | 379,399,822 | 5,000,000 | 5,000,000 | |
| Deferred Maintenance | | 420,487,528 | 8,410,000 | 8,410,000 | |
| Replacement Equipment & Library | | | 3,620,000 | 3,620,000 | |
| Total | | 799,887,350 | 17,030,000 | 17,030,000 | |
| UAFS | | | | | |
| Projects: | | | | | |
| Library Upgrade & Expansion | Renovation & New Construction | 7,500,000 | 2,750,000 | 2,750,000 | |
| Education Building | New Construction | 7,888,000 | | | |
| Math-Science Building | Renovation | 5,816,813 | | | |
| Fine Arts Building | New Construction | 18,459,000 | | | |
| Project Total | | 39,663,813 | 2,750,000 | 2,750,000 | |
| Deferred Maintenance | | 57,312,496 | 1,150,000 | 1,150,000 | |
| Replacement Equipment & Library | | | 870,000 | 870,000 | |
| Total | | 96,976,309 | 4,770,000 | 4,770,000 | |
| UALR | | | | | |
| Projects: | | | | | |
| Campus Technology Infrastructure | Technology | 9,450,000 | 4,000,000 | 4,000,000 | |

Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| Classroom IT Infrastructure | Technology | 1,650,000 | | | |
| Bldg. Infrastructure Replacement | Critical Maintenance | 13,608,205 | | | |
| Distributed Chilled Water Loop | New Construction | 3,850,000 | | | |
| Physics Building | New Construction | 12,750,000 | | | |
| University Center at Benton | New Construction | 8,100,000 | | | |
| Professional Studies Building | New Construction | 17,500,000 | | | |
| Electrical Generation Plant | New Construction | 10,500,000 | | | |
| Project Total | | 77,408,205 | 4,000,000 | 4,000,000 | |
| Deferred Maintenance | | 182,984,478 | 3,660,000 | 3,660,000 | |
| Replacement Equipment & Library | | | 2,010,000 | 2,010,000 | |
| Total | | 260,392,683 | 9,670,000 | 9,670,000 | |
| | | | | | |
| UAM | | | | | |
| Projects: | | | | | |
| Renovation of Math and Science Center | Renovation | 2,500,000 | 1,800,000 | 1,800,000 | |
| New Telephone System | Technology | 250,000 | 250,000 | 250,000 | |
| Recable Campus Buildings | Technology | 300,000 | 300,000 | 300,000 | |
| Wireless Access Point and Controller | Technology | 150,000 | 150,000 | 150,000 | |
| Renovation of Music Building | Renovation | 1,300,000 | | | |
| Campus Roadway and Parking Improvements | New Construction | 1,200,000 | | | |
| Academic Learning Center | New Construction | 8,800,000 | | | |
| Project Total | | 14,500,000 | 2,500,000 | 2,500,000 | |
| Deferred Maintenance | | 64,621,175 | 1,290,000 | 1,290,000 | |
| Replacement Equipment & Library | | | 370,000 | 370,000 | |
| Total | | 79,121,175 | 4,160,000 | 4,160,000 | |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| UAPB | | | | | |
| Projects: | | | | | |
| Campus Renovations & Repair | Critical Maintenance | 11,979,571 | 2,000,000 | 2,000,000 | |
| Technology Upgrades | Technology | 500,000 | 500,000 | 500,000 | |
| STEM Conference Center | New Construction | 4,628,130 | | | |
| Library Expansion | New Construction | 14,500,000 | | | |
| Diversity Center | New Construction | 8,500,000 | | | |
| Health Center | New Construction | 5,000,000 | | | |
| Project Total | | 45,107,701 | 2,500,000 | 2,500,000 | |
| Deferred Maintenance | | 53,894,203 | 1,080,000 | 1,080,000 | |
| Replacement Equipment & Library | | | 530,000 | 530,000 | |
| Total | | 99,001,904 | 4,110,000 | 4,110,000 | |
| UCA | | | | | |
| Projects: | | | | | |
| (11) Buildings- Cable upgrade | Technology | 660,000 | 660,000 | 660,000 | |
| Fiber Replacement Project | Technology | 1,200,000 | 1,200,000 | 1,200,000 | |
| Switch upgrade Project | Technology | 4,000,000 | 2,490,000 | 2,490,000 | |
| Meadors Hall ( ROTC ) | Critical Maintenance | 85,000 | | | |
| Torreyson Roof | Critical Maintenance | 250,000 | | | |
| Main Hall | Renovation | 18,000,000 | | | |
| Science and Math &Planetarium | New Construction | 36,697,662 | | | |
| Mashburn | Renovation | 15,000,000 | | | |
| Library Science | New Construction | 56,649,500 | | | |
| Project Total | | 132,542,162 | 4,350,000 | 4,350,000 | |
| Deferred Maintenance | | 145,915,343 | 2,920,000 | 2,920,000 | |
| Replacement Equipment & Library | | | 2,100,000 | 2,100,000 | |
| Total | | 278,457,505 | 9,370,000 | 9,370,000 | |
| Subtotal Four Year | | | | | |
| Projects | | $ 992,689,376 | $ 33,850,000 | $ 33,850,000 | $ - |
| Deferred Maintenance | | $ 1,336,739,704 | $ 26,750,000 | $ 26,750,000 | $ - |
| Equipment & Library | | $ - | $ 13,710,000 | $ 13,710,000 | $ - |
| Total | | $ 2,329,429,080 | $ 74,310,000 | $ 74,310,000 | $ - |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| ATU - Ozark | | | | | |
| Projects: | | | | | |
| Electrical System Upgrade | Critical Maintenance | 175,625 | 175,000 | 175,000 | |
| Library Software Upgrade | Technology | 50,000 | 50,000 | 50,000 | |
| Project Total | | 225,625 | 225,000 | 225,000 | |
| Deferred Maintenance | | 7,637,256 | 150,000 | 150,000 | |
| Replacement Equipment & Library | | | 100,000 | 100,000 | |
| Total | | 7,862,881 | 475,000 | 475,000 | |
| UAM-Crossett | | | | | |
| Projects: | | | | | |
| Workforce/Collegiate Center UAM CTC | New Construction | 2,150,000 | 200,000 | 200,000 | |
| Project Total | | 2,150,000 | 200,000 | 200,000 | |
| Deferred Maintenance | | 3,655,805 | 70,000 | 70,000 | |
| Replacement Equipment & Library | | | 40,000 | 40,000 | |
| Total | | 5,805,805 | 310,000 | 310,000 | |
| UAM-McGehee | | | | | |
| Projects: | | | | | |
| General Education Building UAM CTM | New Construction | 4,250,000 | 200,000 | 200,000 | |
| Project Total | | 4,250,000 | 200,000 | 200,000 | |
| Deferred Maintenance | | 4,438,158 | 90,000 | 90,000 | |
| Replacement Equipment & Library | | | 40,000 | 40,000 | |
| Total | | 8,688,158 | 330,000 | 330,000 | |
| Subtotal Technical Institutes | | | | | |
| Projects | | $ 6,625,625 | $ 625,000 | $ 625,000 | $ - |
| Deferred Maintenance | | $ 15,731,219 | $ 310,000 | $ 310,000 | $ - |
| Replacement Equipment & Library | | $ - | $ 180,000 | $ 180,000 | $ - |
| Total | | $ 22,356,844 | $ 1,115,000 | $ 1,115,000 | $ - |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| ASU-SYS | | | | | |
| Projects: | | | | | |
| NO REQUEST | | 0 | 0 | 0 | |
| Project Total | | 0 | 0 | 0 | |
| Deferred Maintenance | | 0 | 0 | 0 | |
| Replacement Equipment & Library | | | 30,000 | 30,000 | |
| Total | | 0 | 30,000 | 30,000 | |
| SAUT - Environmental Training Academy | | | | | |
| Projects: | | | | | |
| Environmental Academy Instructional Add | New Addition | 325,000 | 50,000 | 50,000 | |
| Project Total | | 325,000 | 50,000 | 50,000 | |
| Deferred Maintenance | | 626,643 | 10,000 | 10,000 | |
| Replacement Equipment & Library | | | 30,000 | 30,000 | |
| Total | | 951,643 | 90,000 | 90,000 | |
| SAUT - Fire Training Academy | | | | | |
| Projects: | | | | | |
| Fire Academy Model Fire Station | New Construction | 411,460 | 100,000 | 100,000 | |
| FA - Dormitory | New Construction | 4,191,158 | | | |
| FA - Administration Bld Addition | Renovation | 202,983 | | | |
| FA - Access Camden Site | New Construction | 500,000 | | | |
| FA - Confined Space Simulators | New Construction | 200,000 | | | |
| FA - Driving Course | New Construction | 3,000,000 | | | |
| FA - Aircraft Rescue Firefighting | New Construction | 25,000 | | | |
| FA - Heat Bld Commercial | New Construction | 4,000,000 | | | |
| FA - Heat Bld Residentail - | New Construction | 300,000 | | | |
| FA - Classroom Bld Renovation - Lincoln | Renovation | 110,943 | | | |
| FA - Classroom Bld Renovation - Jonesboro | Renovation | 110,943 | | | |
| Project Total | | 13,052,487 | 100,000 | 100,000 | |
| Deferred Maintenance | | 2,624,059 | 50,000 | 50,000 | |
| Replacement Equipment & Library | | | 30,000 | 30,000 | |
| Total | | 15,676,546 | 180,000 | 180,000 | |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| UA - Div. Of Agriculture | | | | | |
| Projects: | | | | | |
| CES Headquarters Facility, Phase II | Renovation | 3,500,000 | 1,875,000 | 1,875,000 | |
| Biotechnology & Plant Genomics Bldg | New Construction | 12,000,000 | | | |
| Technology Upgrade | Technology | 1,625,000 | 1,625,000 | 1,625,000 | |
| Project Total | | 17,125,000 | 3,500,000 | 3,500,000 | |
| Deferred Maintenance | | 64,870,002 | 1,300,000 | 1,300,000 | |
| Replacement Equipment & Library | | | 500,000 | 500,000 | |
| Total | | 81,995,002 | 5,300,000 | 5,300,000 | |
| UA - Clinton School | | | | | |
| Projects: | | | | | |
| NO REQUEST | | 0 | 0 | 0 | |
| Project Total | | 0 | 0 | 0 | |
| Deferred Maintenance | | 0 | 0 | 0 | |
| Replacement Equipment & Library | | | 50,000 | 50,000 | |
| Total | | | 50,000 | 50,000 | |
| UA - Criminal Justice Institute | | | | | |
| Projects: | | | | | |
| Criminal Justice Institute Building | New Construction | 3,750,000 | | | |
| Equipment Upgrades | Equipment | 217,000 | 150,000 | 150,000 | |
| Forensic Lab/Classroom Equipment | Equipment | 82,500 | | | |
| Project Total | | 4,049,500 | 150,000 | 150,000 | |
| Deferred Maintenance | | 0 | 0 | 0 | |
| Replacement Equipment & Library | | | 80,000 | 80,000 | |
| Total | | 4,049,500 | 230,000 | 230,000 | |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| UA-AAS | | | | | |
| Projects: | | | | | |
| Archives and Photograph Pres. | Technology | 16,617 | 16,000 | 16,000 | |
| Cemetery Preservation | Technology | 25,000 | 25,000 | 25,000 | |
| Project Total | | 41,617 | 41,000 | 41,000 | |
| Deferred Maintenance | | 2,530,127 | 50,000 | 50,000 | |
| Replacement Equipment & Library | | | 0 | 0 | |
| Total | | 2,571,744 | 91,000 | 91,000 | |
| UA-ASMSA | | | | | |
| Projects: | | | | | |
| Residence Life Building - Phase 1 | New Construction | 4,000,000 | | | |
| Multi-purpose Building | New Construction | 6,000,000 | 300,000 | 300,000 | |
| Project Total | | 10,000,000 | 300,000 | 300,000 | |
| Deferred Maintenance | | 0 | 0 | 0 | |
| Replacement Equipment & Library | | | 100,000 | 100,000 | |
| Total | | 10,000,000 | 400,000 | 400,000 | |
| UA-SYS | | | | | |
| Projects: | | | | | |
| Technology Upgrades | Technology | 100,000 | 50,000 | 50,000 | |
| Project Total | | 100,000 | 50,000 | 50,000 | |
| Deferred Maintenance | | 1,850,660 | 40,000 | 40,000 | |
| Replacement Equipment & Library | | | 30,000 | 30,000 | |
| Total | | 1,950,660 | 120,000 | 120,000 | |
| UAMS | | | | | |
| Projects: | | | | | |
| Hospital Two-Pipe System | Critical Maintenance | 4,009,061 | | | |
| Student Information System | Technology | 3,365,674 | 3,250,000 | 3,250,000 | |
| UAMS Clinical Research Center | Renovation | 8,970,632 | 1,250,000 | 1,250,000 | |
| Biomedical Research Building Labs | Renovation | 3,003,754 | | | |
| Pine/Cedar Streets Expansion | Renovation | 4,976,047 | | | |
| 4th Floor-Walker Tower/Cancer Institute | Renovation | 6,585,878 | | | |

Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| Ed II Building Infrastructure/Facilities | Renovation | 10,961,884 | | | |
| UAMS Student Center | Renovation | 4,831,200 | | | |
| Technology Upgrades- | Technology | 1,231,723 | | | |
| Finish Out WPR Cancer Institute Bldg | Equipment | 225,000 | | | |
| Optical Topography System | Equipment | 510,500 | | | |
| Expansion-Nursing Learning Resource Center | Equipment | 1,604,000 | | | |
| Yasargil Museum/Library | Renovation | 880,000 | | | |
| Project Total | | 51,155,353 | 4,500,000 | 4,500,000 | |
| Deferred Maintenance | | 368,997,702 | 7,380,000 | 7,380,000 | |
| Replacement Equipment & Library | | | 1,000,000 | 1,000,000 | |
| Total | | 420,153,055 | 12,880,000 | 12,880,000 | |
| | | | | | |
| Subtotal Non-Formula | | | | | |
| Projects | | $ 95,848,957 | $ 8,691,000 | $ 8,691,000 | $ - |
| Deferred Maintenance | | $ 441,499,193 | $ 8,830,000 | $ 8,830,000 | $ - |
| Equipment & Library | | $ - | $ 1,850,000 | $ 1,850,000 | $ - |
| Total | | $ 537,348,150 | $ 19,371,000 | $ 19,371,000 | $ - |
| | | | | | |
| ANC | | | | | |
| Projects: | | | | | |
| Nursing & Allied Health Building | New Construction | 3,415,000 | 1,150,000 | 1,150,000 | |
| Workforce One Stop Center | New Construction | 2,600,000 | | | |
| Workforce Training Building | New Construction | 11,190,000 | | | |
| Center for Science and Technology | New Construction | 11,000,000 | | | |
| General Classroom Building | New Construction | 3,500,000 | | | |
| Project Total | | 31,705,000 | 1,150,000 | 1,150,000 | |
| Deferred Maintenance | | 12,052,360 | 240,000 | 240,000 | |
| Replacement Equipment & Library | | | 210,000 | 210,000 | |
| Total | | 43,757,360 | 1,600,000 | 1,600,000 | |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| ASUB | | | | | |
| Projects: | | | | | |
| ASU-Searcy Main Building | Renovation | 1,457,000 | 1,000,000 | 1,000,000 | |
| Performing Arts Center | New Construction | 23,978,000 | | | |
| Lighting Upgrades | Energy Conservation | 525,059 | 500,000 | 500,000 | |
| State Hall | Renovation | 2,477,000 | | | |
| Project Total | | 28,437,059 | 1,500,000 | 1,500,000 | |
| Deferred Maintenance | | 36,742,888 | 730,000 | 730,000 | |
| Replacement Equipment & Library | | | 500,000 | 500,000 | |
| Total | | 65,179,947 | 2,730,000 | 2,730,000 | |
| ASUMH | | | | | |
| Projects: | | | | | |
| Vada Sheid Community Development Center | New Construction | 7,000,000 | 780,000 | 780,000 | |
| Library Renovation | Renovation | 320,000 | 320,000 | 320,000 | |
| Project Total | | 7,320,000 | 1,100,000 | 1,100,000 | |
| Deferred Maintenance | | 4,586,918 | 90,000 | 90,000 | |
| Replacement Equipment & Library | | | 160,000 | 160,000 | |
| Total | | 11,906,918 | 1,350,000 | 1,350,000 | |
| ASUN | | | | | |
| Projects: | | | | | |
| Bldg. Addition-Jonesboro Tech. Ctr. | New Construction | 2,000,000 | | | |
| Classrm. Bldg.-Marked Tree | New Construction | 2,000,000 | | | |
| Technical Labs Exp.-Marked Tree | Renovation | 1,500,000 | 1,150,000 | 1,150,000 | |
| Classroom Building-Newport | New Construction | 2,500,000 | | | |
| Project Total | | 8,000,000 | 1,150,000 | 1,150,000 | |
| Deferred Maintenance | | 10,647,408 | 210,000 | 210,000 | |
| Replacement Equipment & Library | | | 210,000 | 210,000 | |
| Total | | 18,647,408 | 1,570,000 | 1,570,000 | |
| BRTC | | | | | |
| Projects: | | | | | |
| Health Sciences Addition | New Construction | 1,000,000 | 1,000,000 | 1,000,000 | |

Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| Academic Complex - Paragould Site | New Construction | 3,000,000 | 200,000 | 200,000 | |
| Project Total | | 4,000,000 | 1,200,000 | 1,200,000 | |
| Deferred Maintenance | | 13,400,721 | 270,000 | 270,000 | |
| Replacement Equipment & Library | | | 260,000 | 260,000 | |
| Total | | 17,400,721 | 1,730,000 | 1,730,000 | |
| | | | | | |
| CCCUA | | | | | |
| Projects: | | | | | |
| Classroom Technology - Instructional | Technology | 38,000 | 38,000 | 38,000 | |
| Cosmetology Lab/Classroom | Renovation | 119,000 | 119,000 | 119,000 | |
| Classroom/Computer Lab | Renovation | 142,800 | 142,800 | 142,800 | |
| Classroom/Lab Expansion - Hwd Co. | New Construction | 2,000,000 | 750,200 | 750,200 | |
| Project Total | | 2,299,800 | 1,050,000 | 1,050,000 | |
| Deferred Maintenance | | 11,020,027 | 220,000 | 220,000 | |
| Replacement Equipment & Library | | | 140,000 | 140,000 | |
| Total | | 13,319,827 | 1,410,000 | 1,410,000 | |
| | | | | | |
| EACC | | | | | |
| Projects: | | | | | |
| Workforce Training Center | New Construction | 2,708,000 | | | |
| Student Activities Center | New Construction | 1,294,000 | | | |
| Renovations of Allied Heath Facility | Renovation | 890,500 | 890,000 | 890,000 | |
| Renovations of Classroom Bldg 2 | Renovation | 223,000 | 210,000 | 210,000 | |
| Maintenance Building Expansion | New Construction / Renovation | 153,000 | | | |
| Project Total | | 5,268,500 | 1,100,000 | 1,100,000 | |
| Deferred Maintenance | | 6,483,182 | 130,000 | 130,000 | |
| Replacement Equipment & Library | | | 160,000 | 160,000 | |
| Total | | 11,751,682 | 1,390,000 | 1,390,000 | |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| MSCC | | | | | |
| Science Labs | Renovation | 157,691 | 157,500 | 157,500 | |
| Cisco Lab | Improvement - Instructional Equipment | 92,000 | | | |
| Generators | Technology | 350,000 | 350,000 | 350,000 | |
| Wellness Center | New Construction | 5,725,000 | 642,500 | 642,500 | |
| Project Total | | 6,324,691 | 1,150,000 | 1,150,000 | |
| Deferred Maintenance | | 13,850,670 | 280,000 | 280,000 | |
| Replacement Equipment & Library | | | 180,000 | 180,000 | |
| Total | | 20,175,361 | 1,610,000 | 1,610,000 | |
| NAC | | | | | |
| Projects: | | | | | |
| Campus & STEM Center | New Construction | 13,021,000 | 1,200,000 | 1,200,000 | |
| Project Total | | 13,021,000 | 1,200,000 | 1,200,000 | |
| Deferred Maintenance | | 16,919,432 | 340,000 | 340,000 | |
| Replacement Equipment & Library | | | 270,000 | 270,000 | |
| Total | | 29,940,432 | 1,810,000 | 1,810,000 | |
| NPCC | | | | | |
| Projects: | | | | | |
| Infrastructure Improvements | Technology | 949,000 | 949,000 | 949,000 | |
| Classroom Technology | Technology | 654,000 | 401,000 | 401,000 | |
| Renovation of the Existing Health Science Building | Renovation | 324,750 | | | |
| Renovation of the Former State Police | Renovation | 485,000 | | | |
| Project Total | | 2,412,750 | 1,350,000 | 1,350,000 | |
| Deferred Maintenance | | 17,595,927 | 350,000 | 350,000 | |
| Replacement Equipment & Library | | | 360,000 | 360,000 | |
| Total | | 20,008,677 | 2,060,000 | 2,060,000 | |
| NWACC[1] | | | | | |
| Projects: | | | | | |
| National Child Protection Training Center | Renovation | 250,000 | 250,000 | 250,000 | |
| Project Total | | 250,000 | 250,000 | 250,000 | |
| Deferred Maintenance | | 12,876,071 | 1,760,000 | 1,760,000 | |

Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| Replacement Equipment & Library | | | 770,000 | 770,000 | |
| Total | | 13,126,071 | 2,780,000 | 2,780,000 | |
| | | | | | |
| OTC | | | | | |
| Projects: | | | | | |
| Movable Computer Services | Technology | 230,000 | 230,000 | 230,000 | |
| Applied Science & Business Instructional Building | New Construction | 2,289,000 | 820,000 | 820,000 | |
| Child Development Laboratory Center | New Construction | 846,200 | | | |
| Project Total | | 3,365,200 | 1,050,000 | 1,050,000 | |
| Deferred Maintenance | | 7,795,856 | 160,000 | 160,000 | |
| Replacement Equipment & Library | | | 140,000 | 140,000 | |
| Total | | 11,161,056 | 1,350,000 | 1,350,000 | |
| | | | | | |
| OZC | | | | | |
| Projects: | | | | | |
| Allied Health Building Renovation | New Construction | 1,000,000 | 1,000,000 | 1,000,000 | |
| Technology Center | New Construction | 1,500,000 | 50,000 | 50,000 | |
| Student Services Center | New Construction | 1,000,000 | | | |
| Project Total | | 3,500,000 | 1,050,000 | 1,050,000 | |
| Deferred Maintenance | | 7,691,116 | 150,000 | 150,000 | |
| Replacement Equipment & Library | | | 140,000 | 140,000 | |
| Total | | 11,191,116 | 1,340,000 | 1,340,000 | |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| PCCUA | | | | | |
| Projects: | | | | | |
| Repair Drainage System-DeWitt Campus | Renovation | 450,000 | 450,000 | 450,000 | |
| Window Repair Stuttgart Campus | Renovation | 65,000 | 65,000 | 65,000 | |
| Fine Arts Center Building Chiller | Renovation | 270,000 | 270,000 | 270,000 | |
| Chiller Repair for Stuttgart Campus | Renovation | 115,000 | 115,000 | 115,000 | |
| New Roof for Six (6) Buildings | Renovation | 765,000 | 250,000 | 250,000 | |
| Elevators for Classroom & Library | Renovation | 180,000 | | | |
| Project Total | | 1,845,000 | 1,150,000 | 1,150,000 | |
| Deferred Maintenance | | 43,156,910 | 860,000 | 860,000 | |
| Replacement Equipment & Library | | | 200,000 | 200,000 | |
| Total | | 45,001,910 | 2,210,000 | 2,210,000 | |
| PTC | | | | | |
| Projects: | | | | | |
| PTC Arkansas Culinary School | New Construction | 16,000,000 | | | |
| Fine and Performing Arts Center | New Construction | 45,250,000 | | | |
| Health & Wellness Center | New Construction | 12,780,000 | | | |
| Welding Technology Center | Renovation & Equipment | 2,000,000 | 2,150,000 | 2,150,000 | |
| Ctr for Excel. in Advanced Mfg Tech | Renovation & Equipment | 750,000 | | | |
| Technology Upgrades | Technology | 668,000 | | | |
| Project Total | | 77,448,000 | 2,150,000 | 2,150,000 | |
| Deferred Maintenance | | 17,471,256 | 350,000 | 350,000 | |
| Replacement Equipment & Library | | | 1,060,000 | 1,060,000 | |
| Total | | 94,919,256 | 3,560,000 | 3,560,000 | |
| RMCC | | | | | |
| Projects: | | | | | |
| Retention Center | New Construction | 13,256,000 | | | |
| Instructional Technology | Technology | 500,000 | 500,000 | 500,000 | |
| STEM: Science, Technogly, Engineering & Math Ce | New Construction | 8,479,000 | 500,000 | 500,000 | |
| Fine Arts Center | New Construction | 14,131,000 | | | |
| Project Total | | 36,366,000 | 1,000,000 | 1,000,000 | |
| Deferred Maintenance | | 3,664,741 | 70,000 | 70,000 | |

Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| Replacement Equipment & Library | | | 100,000 | 100,000 | |
| Total | | 40,030,741 | 1,170,000 | 1,170,000 | |
| | | | | | |
| SACC | | | | | |
| Projects: | | | | | |
| Whitfield Classroom Building | Renovation | 1,678,200 | 750,000 | 750,000 | |
| Technology Infrastructure Upgrade | Technology | 405,380 | 400,000 | 400,000 | |
| Renovation of Industrial Tech Bldg | Renovation | 257,800 | | | |
| Project Total | | 2,341,380 | 1,150,000 | 1,150,000 | |
| Deferred Maintenance | | 13,396,884 | 270,000 | 270,000 | |
| Replacement Equipment & Library | | | 190,000 | 190,000 | |
| Total | | 15,738,264 | 1,610,000 | 1,610,000 | |
| | | | | | |
| SAUT | | | | | |
| Projects: | | | | | |
| Career and Workforce Development Center | New Construction | 9,552,500 | 1,150,000 | 1,150,000 | |
| Project Total | | 9,552,500 | 1,150,000 | 1,150,000 | |
| Deferred Maintenance | | 28,154,416 | 560,000 | 560,000 | |
| Replacement Equipment & Library | | | 210,000 | 210,000 | |
| Total | | 37,706,916 | 1,920,000 | 1,920,000 | |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| SEAC | | | | | |
| Projects: | | | | | |
| Tech Center South Transformers | Critical Maintenance | 25,000 | 25,000 | 25,000 | |
| New Information Tech Building | New Construction | 3,400,000 | | | |
| Sewer and Plumbing Repair | Critical Maintenance | 1,000,000 | 1,000,000 | 1,000,000 | |
| Roofing Repairs | Other | 500,000 | 175,000 | 175,000 | |
| Security | Other | 750,000 | | | |
| ADA | Other | 77,000 | | | |
| Founders Hall | Renovation | 96,305 | | | |
| Project Total | | 5,848,305 | 1,200,000 | 1,200,000 | |
| Deferred Maintenance | | 10,078,647 | 200,000 | 200,000 | |
| Replacement Equipment & Library | | | 230,000 | 230,000 | |
| Total | | 15,926,952 | 1,630,000 | 1,630,000 | |
| UACCB | | | | | |
| Projects: | | | | | |
| Nursing and Allied Health Facility | New Construction | 5,571,605 | | | |
| Creek Bank Stabilization | Renovation | 300,000 | | | |
| Student Services/Administration/Classroom | New Construction | 4,000,000 | | | |
| Old Nursing Building | Renovation | 1,700,000 | 1,150,000 | 1,150,000 | |
| Underground Utility Renovation | Renovation | 100,000 | | | |
| Main Classroom Building | Renovation | 750,000 | | | |
| Business and Industry Building | New Construction | 2,195,100 | | | |
| Workforce and Community Ed Center | New Construction | 1,498,000 | | | |
| General Instruction Classroom Building | New Construction | 2,513,700 | | | |
| Land Acquisition | Other | 875,000 | | | |
| Project Total | | 19,503,405 | 1,150,000 | 1,150,000 | |
| Deferred Maintenance | | 5,017,110 | 100,000 | 100,000 | |
| Replacement Equipment & Library | | | 200,000 | 200,000 | |
| Total | | 24,520,515 | 1,450,000 | 1,450,000 | |
| UACCH | | | | | |
| Projects: | | | | | |
| Administration/Classroom Building | Renovation | 2,650,000 | 300,000 | 300,000 | |

## Table 2: Capital Requests / Recommendations for the 2011-13 Biennium

| INSTITUTION/ PROJECT NAME | PROJECT TYPE | REQUESTED AMOUNT | ADHE RECOMM. | Priority A | Priority B |
|---|---|---|---|---|---|
| Technology Infrastructure | Technology | 831,534 | 800,000 | 800,000 | |
| Diesel Building | Renovation | 1,384,650 | | | |
| Project Total | | 4,866,184 | 1,100,000 | 1,100,000 | |
| Deferred Maintenance | | 6,726,764 | 130,000 | 130,000 | |
| Replacement Equipment & Library | | | 160,000 | 160,000 | |
| Total | | 11,592,948 | 1,390,000 | 1,390,000 | |
| UACCM | | | | | |
| Projects: | | | | | |
| Tech. Infrastructure & Instructional Tech. Equip. | Technology | 375,000 | 375,000 | 375,000 | |
| Health, Physical Educ. & Recreation Bldg. | New Construction | 5,287,800 | 825,000 | 825,000 | |
| Project Total | | 5,662,800 | 1,200,000 | 1,200,000 | |
| Deferred Maintenance | | 14,881,836 | 300,000 | 300,000 | |
| Replacement Equipment & Library | | | 260,000 | 260,000 | |
| Total | | 20,544,636 | 1,760,000 | 1,760,000 | |
| Subtotal Two-Year | | | | | |
| Projects | | $ 279,337,574 | $ 25,550,000 | $ 25,550,000 | $ - |
| Deferred Maintenance | | $ 314,211,140 | $ 7,770,000 | $ 7,770,000 | |
| Equipment & Library | | $ - | $ 6,110,000 | $ 6,110,000 | $ - |
| Total | | $ 593,548,714 | $ 39,430,000 | $ 39,430,000 | $ - |
| Grand Total | | | | | |
| Projects | | $ 1,374,501,532 | $ 68,716,000 | $ 68,716,000 | $ - |
| Deferred Maintenance | | $ 2,108,181,256 | $ 43,660,000 | $ 43,660,000 | |
| Equipment & Library | | $ - | $ 21,850,000 | $ 21,850,000 | $ - |
| Total | | $ 3,482,682,788 | $ 134,226,000 | $ 134,226,000 | $ - |

[1] $1,500,000 added to Deferred Maintenance Recommendation because Project Request was not large enough

## Table 3. Narrative Descriptions of Capital Projects for Renovation and New Construction for the 2011-13 Biennium*

### Arkansas State University

**Wilson Hall Replacement.** Arkansas State University requests $38,375,068 for the construction of a 120,000 square foot facility consisting of high technology classrooms, teaching laboratories and instructional spaces. This facility will house the departments of English and Philosophy, History, Political Science, Languages, Criminology, Sociology, Social Work and Geography. Each of these spaces will utilize "state of the art" equipment and furnishings in optimal room sizes and configurations to enhance the methodology faculty and students use to communicate information, solve problems, and interact in time and space. ADHE recommended $5,000,000 in Category A in the 2009-11 biennium.
**Recommendation: $4,000,000 (Category A)**

### Arkansas Tech University

**Academic Classroom Facility.** Arkansas Tech University requests $14,856,625 for the construction of an approximately 60,000 square foot Academic Classroom Facility. The building will be used for lecture classes and will be equipped with state-of-the-art technology and instructional communications systems. This is the first request for this project.
**Recommendation: $2,315,000 (Category A)**

**Educational and General Buildings.** Arkansas Tech University requests $2,496,393 for renovation and critical maintenance of approximately 210,000 square feet of educational and general space. This includes updates to lab and classroom spaces, the repair of outdated HVAC systems and other repairs to assure continued functionality of the McEver Science, Hull, Williamson, Crabaugh and Corley buildings, . This is the first request for this project.
**Recommendation: $935,000 (Category A)**

### Henderson State University

**Phase I Campus Renovations.** Henderson State University requests $4,000,000 to renovate approximately 82,000 square feet of education and general space. Buildings affected by this renovation will be the Garrison Center, Art Annex, Proctor Hall and various other education and general buildings. ADHE recommended $3,100,000 in Category A in the 2009-11 biennium.
**Recommendation: $2,200,000 (Category A)**

**Henderson State University LANS.** Henderson State University requests $800,000 to insure that Henderson State University's local area network can support the new bandwidth increases made available by the ARE-ON state fiber network HSU will need to upgrade the campus network infrastructure. The University will need to install new single mode fiber across campus to take advantage of these higher bandwidths. Each building on campus has a fiber switch connection and that fiber switch connection will need to be replaced by a fiber switch that can support the newer single-mode fiber and its higher bandwidth. This is the second request for this project.
**Recommendation: $800,000 (Category A)**

## Southern Arkansas University-Magnolia

**University Agriculture Center.** Southern Arkansas University-Magnolia requests $6,455,370 to construct a facility to house the institution's very strong and active agricultural program. The facility would provide classrooms, lecture hall, faculty offices, computer and forestry/soils/horticulture/animal science labs.
**Recommendation: $1,100,000 (Category A)**

**Technology Upgrades.** Southern Arkansas University-Magnolia requests $2,123,373 to update and maintain campus technology infrastructure. This involves updates to all network hardware and burying new fiber optic cabling to all buildings on campus. This is the second request for this project.
**Recommendation: $1,000,000 (Category A)**

**Bruce Center Conversion.** Southern Arkansas University-Magnolia requests $2,355,260 to renovate approximately 37,000 feet in the Bruce Center. The renovation will incorporate energy efficiencies, ADA conveyances and provide support for the Upward Bound Program, the Talent Search Program and classroom facilities. This is the third request for this project.
**Recommendation: $400,000 (Category A)**

## University of Arkansas-Fayetteville

**Ozark Hall with Honors College Wing.** The University of Arkansas-Fayetteville requests $18,661,222 restore, renovation and expand Ozark Hall. The renovation will include modernization of the mechanical, electrical and plumbing systems. In order to restore the historic appearance of Ozark Hall, new windows that meet the original profile and fenestration of this historical building will be evaluated for installation. This expansion of approximately 17,000 square feet will include the addition of an Honors College addition to complete the south wing. This is the third request for this project.
**Recommendation: $5,000,000 (Category A)**

## University of Arkansas at Fort Smith

**Library Upgrade and Expansion.** The University of Arkansas-Fort Smith requests $7,500,000 to renovate and expand Boreham Library. This expansion will increase the existing square footage of the Library making it approximately 69,000 square feet. The expansion is necessary to accommodate not only the growing number of patrons and expanded collections, but also requirements generated by new technologies and programs such as viewing and listening rooms, computer work stations and robust wireless service, expansion of media services, space for classes needing continuous library access, and instructional labs. ADHE recommended $2,500,000 in Category A in the 2009-11 biennium.
**Recommendation: $2,750,000 (Category A)**

## University of Arkansas at Little Rock

**Campus Technology Infrastructure.** The University of Arkansas at Little Rock requests $9,450,000 to purchase and maintain campus technology infrastructure. This includes upgrades to the campus network hardware, security, wiring, wireless, business continuity planning, video server, campus card system and administrative system hardware. ADHE recommended $6,000,000 in Category A in the 2009-11 biennium.
**Recommendation: $4,000,000 (Category A)**

## University of Arkansas at Monticello

**Renovations of Math and Science Center.** The University of Arkansas at Monticello requests $2,500,000 to renovate approximately 49,000 square feet in the Math and Science Center. The renovation will include the addition of insulation, floor coverings and HVAC upgrades. The present facility has minimal thermal insulation. The exterior envelope needs to be insulated at least to minimum standards and the HVAC and ventilation systems need to be upgraded and redesigned in many areas. Other renovations would include alterations necessary for compliance with the Americans with Disabilities Act and renovations to increase energy efficiency. This is the third request for this project.
**Recommendation: $1,800,000 (Category A)**

**New Telephone System.** The University of Arkansas at Monticello requests $250,000 to install a new telephone system. The new system is necessary because the current system is over 20 years old and operates with circuit line cards that have no capacity to upgrade to multi-line telephones from single lines. Replacement parts are difficult to find which makes the current system difficult and expensive to maintain. This is the second request for this project.
**Recommendation: $250,000 (Category A)**

**Recable Campus Buildings.** The University of Arkansas at Monticello requests $300,000 to provide new cable in several campus buildings. This is necessary to improve campus computing speed, implement a new telephone system and to provide wireless access to various buildings. This is the second request for this project.
**Recommendation: $300,000 (Category A)**

**Wireless Access Point and Controller.** The University of Arkansas at Monticello requests $150,000 to expand wireless access on the Monticello campus. Currently, the University has a limited number of wireless access points. The goal of this project is to expand wireless access for the convenience of students and reduce dependency on desktop computers located in labs. This is the second request for this project.
**Recommendation: $150,000 (Category A)**

**University of Arkansas at Pine Bluff**

**Campus Renovations and Repair.** The University of Arkansas at Pine Bluff requests $11,979,571 for campus wide renovations and repairs including repair and replacement of roofing systems, environmental control systems, and subterranean drainage and foundation repairs. These are major critical maintenance issues that threaten to shutdown the campus if not addressed. This project has a long history of requests and recommendations over the years, but it has received minimal funding. ADHE recommended $3,000,000 in Category A in the 2009-11 biennium.
**Recommendation: $2,000,000 (Category A)**

**Technology Upgrades.** The University of Arkansas at Pine Bluff requests $500,000 for technology upgrades. This includes acquisition of hardware and software that will facilitate the implementation of a Single Sign-on System. This project will enhance the current network infrastructure to increase integrity, stability and performance of the campus network. A Blackboard Building Access system will provide building security for students as well as for areas such as communication rooms and data centers. Data Center upgrades will provide systems to monitor data center environment, send alarm condition alerts to personnel and in some cases resolve environment anomalies that could cause system damage or outage. Further upgrades will enhance emergency power to the data center and upgrade cable management. This is the third request for the Single Sign-on System and the Blackboard Building Access System; this is the second request for the Data Center.
**Recommendation: $500,000 (Category A)**

## University of Central Arkansas

**(11) Buildings – Cable Upgrade.** The University of Central Arkansas requests $660,000 for the cable upgrades. The cabling is outdated and the upgrade is needed to improve internet speed in classrooms, labs and offices. This is the first request for this project.
**Recommendation: $660,000 (Category A)**

**Fiber Replacement Project.** The University of Central Arkansas requests $1,200,000 for fiber replacement. This is a replacement of multi-mode fiber with single-mode fiber which will provide greater transmission speed and minimize external interference. This is the first request for this project.
**Recommendation: $1,200,000 (Category A)**

**Switch Upgrade Project.** The University of Central Arkansas requests $4,000,000 to upgrade switches. This upgrade is needed to replace switches of 10 years or greater that are limited in their capacity to pass data at a high speed and cannot be managed remotely. This is the first request for this project.
**Recommendation: $2,490,000 (Category A)**

## Arkansas Tech University – Ozark

**Electrical Systems Upgrade.** Arkansas Tech University-Ozark requests $175,625 to redistribute and upgrade the existing electrical system. The primary need for the re-distribution and upgrade are to balance the electrical load across the Auto Service Technology, Collision Repair Technology and Welding Technology programs to improve capacity. Currently the students are alternating the use of welders and other equipment in the lab setting to balance the use of electricity. The requested upgrade will also allow for more time in the lab per student and flexibility in scheduling. ADHE recommended $140,500 in Category A in the 2009-11 biennium.
**Recommendation: $175,000 (Category A)**

**Library Software Upgrade.** Arkansas Tech University-Ozark requests $50,000 to upgrade library software. The upgrade will migrate the Ozark Campus library collections to the Arkansas Tech online catalog. It will align the library holdings and operations between the Ozark and Russellville campuses; and upgrade the library resources for students, faculty and staff. ADHE recommended $49,500 in Category A in the 2009-11 biennium.
**Recommendation: $50,000 (Category A)**

## University of Arkansas at Monticello – Crossett

**Workforce/Collegiate Center.** The University of Arkansas at Monticello-Crossett requests $2,150,000 to construct a 14,000 square foot Workforce/Collegiate Center. This facility would provide much needed space for the following: the Arkansas Workforce Training Center of Ashley County, workforce development training and conferences, the Adult Education Program, and collegiate courses. This project has a long history of requests. ADHE recommended $200,000 in Category A in the 2009-11 biennium.
**Recommendation: $200,000 (Category A)**

## University of Arkansas at Monticello – McGehee

**General Education Building.** The University of Arkansas at Monticello-McGehee requests $4,250,000 to construct a 26,000 square foot General Education building. This facility will provide much needed space for academic programs, technical training, and continuing education. This project has been requested since the 2003-05 biennium.
**Recommendation: $200,000 (Category A)**

## Southern Arkansas University Tech – Environmental Academy

**Environmental Academy Instructional Addition.** The Environmental Academy requests $325,000 to extend the classroom facilities to house all on-campus classes in one location to better accommodate students. Currently the Academy has multiple instructional facilities on campus. This addition of 3,200 square feet will allow the Academy's Backflow, Electrical Troubleshooting, Pump Maintenance and Wet Chemistry labs and classrooms which are currently located in the Manufacturing building, to be housed on-site at the Academy. This is the fourth request for this project.
**Recommendation: $50,000 (Category A)**

## Southern Arkansas University Tech – Fire Academy

**Fire Academy Model Fire Station.** The Fire Academy requests $411,460 to construct a 5,000 square foot model fire station. The purpose of this project is to house fire fighters on campus in a realistic setting. It will consist of sleeping quarters for 10-20 students, shower and bathroom areas, living area, kitchen area and a four-engine apparatus bay. This facility will also house students who are participating in weekend classes. This is the second request for this project.
**Recommendation: $100,000 (Category A)**

## University of Arkansas – Division of Agriculture

**Cooperative Extension Service Headquarters Facility, Phase II.** The University of Arkansas – Division of Agriculture requests $3,500,000 to renovate 30,000 square foot of warehouse space. The proposed renovation will convert warehouse and print shop space into an information technology center and office. The renovation site is part of the UA property already assigned to CES headquarters. This facility will house the information technology staff, server rooms and call center and other faculty offices. This is the sixth request for this project.
**Recommendation: $1,875,000 (Category A)**

**Technology Upgrade.** The University of Arkansas – Division of Agriculture is also requesting $1,625,000 in technology upgrades. The Cooperative Extension Service has a bandwidth shortage that needs to be addressed. It also needs to implement a connection to Internet 2 and ARE-ON, replace approximately 1,600 computers that are at least four years old, implement a smaller telephone system, rewiring and replacement of data switches, implement a content-management system, upgrade the distance learning infrastructure, and establish wireless access points. This is the fourth request for this project.
**Recommendation: $1,625,000 (Category A)**

## University of Arkansas - Criminal Justice Institute

**Equipment Upgrades.** The Criminal Justice Institute requests $217,000 for technology upgrades. This upgrade includes servers, light projectors, instructional equipment for classrooms, computers and laptops, printers, scanners and a telephone system. This equipment is needed to increase the effectiveness of the Criminal justice Institute's programs and staff. ADHE recommended $50,000 in Equipment & Library in the 2009-11 biennium.
**Recommendation: $150,000 (Category A)**

## University of Arkansas – Arkansas Archeological Survey

**Archives and Photograph Preservation.** The Arkansas Archeological Survey requests $16,617 for technology and equipment upgrades. Archeological projects over the past 44 years have resulted in tens of thousands of black and white and color slide photographs, and tens of thousands of pages of field notes, maps and other documentation. Modern preservation and retrieval of these documents and photographs requires computer data/file servers, expanded hard drives, high speed document scanners, film scanners and microfilm readers and scanners. This is the first request for this project.
**Recommendation: $16,000 (Category A)**

**Cemetery Preservation.** The Arkansas Archeological Survey requests $24,949 for technology and equipment upgrades. These upgrades will facilitate help the Survey Research Stations to provide advice and technical assistance. The equipment necessary for this upgrade includes new geological remote sensing equipment, new surveying equipment, software and a new outdoor laptop computer. This is the first request for this project.
**Recommendation: $25,000 (Category A)**

## University of Arkansas - Arkansas School for Math, Science and Art

**Multi-Purpose Building.** The Arkansas School of Math, Science and Art requests $6,000,000 to construct a 24,000 square foot multipurpose building. This facility will be used for assemblies, physical education classes, performing arts, science fair, special meetings, intramurals, etc. Having no large open-space facility, the school is required to rent space from other entities to meet the mandatory need for various activities. This is the fourth request for this project.
**Recommendation: $300,000 (Category A)**

## University of Arkansas – System Office

**Technology Upgrades.** The University of Arkansas System Office requests $100,000 to make technological upgrades. These upgrades include adding video conferencing equipment, replacing data switches, and adding a power distribution system. This is the third request for this project.
**Recommendation: $50,000 (Category A)**

## University of Arkansas for Medical Sciences

**Student Information System.** The University of Arkansas for Medical Sciences requests $3,365,674 to upgrade the technology infrastructure. This entails replacing four outmoded academic administrative systems with a single, integrated information system. With this new system, the University will adequately meet the complex academic information management needs of the colleges and institutions. This new system will reduce redundancy, improve efficiency, enhance administrative operations and improve the on-line availability of academic information to administration, faculty and students. Request for this project have been made starting with the 2001-03 biennium.
**Recommendation: $3,250,000 (Category A)**

**UAMS Clinical Research Center.** The University of Arkansas for Medical Sciences requests $8,970,632 to renovate and relocate approximately 23,000 square feet of the Arkansas Center for Clinical and Translational Research (CCTR) and the former University Hospital (now referred to as the "Central Building"). The renovated space will support both general and specialized research needs of faculty from UAMS colleges, institutes, and research centers as well as the Area Health Education Centers. Other CCTR participants will include the Arkansas Children's Hospital Research Institute, Arkansas Children's Nutrition Institute and the Arkansas Department of Health. This relocation will create a state-of-the-art, physical home for CCTR major functions, which are now scattered across the University campus. This is the second request for this project.
**Recommendation: $1,250,000 (Category A)**

**Arkansas Northeastern College**

**Nursing and Allied Health Building.** Arkansas Northeastern College requests $3,415,000 to construct a 20,000 square foot Nursing and Allied Health Building. The new building will house the specialty facilities accommodative of nursing and other allied health related programs. This facility is a renovated motel, which the program has outgrown. The main facility will contain classrooms and clinical laboratories equipped with current technologies. This is the first request for this project.
**Recommendation: $1,150,000 (Category A)**

**Arkansas State University – Beebe**

**ASU-Searcy Main Building.** Arkansas State University-Beebe requests $1,457,000 to renovate approximately 14,000 square feet of classroom and office space, as well as student services and space for grant programs. This project entails renovating three dedicated vocational shops for Welding, Air Conditioning and Auto Body programs, the addition of a Diesel shop and the addition of a maintenance building. Other renovations include the space for reallocation to student services and instructional space. The space is needed for student services such as Admissions, Registrar, Financial Aid, Counselor, etc.; grant programs such as Career Pathways; and workforce training such as the training provided for gas exploration companies. This is the second request for this project.
**Recommendations: $1,000,000 (Category A)**

**Lighting Upgrades.** Arkansas State University-Beebe requests $525,059 for lighting upgrades. For the University to be in compliance with Act 1494 of 2009, 5,361 light fixtures require retrofitting to more efficient ballast and bulbs. This is the first request for this project.
**Recommendations: $500,000 (Category A)**

## Arkansas State University – Mountain Home

**Vada Sheid Community Development Center.** Arkansas State University-Mountain Home requests $7,000,000 to construct a 65,000 square foot Community Development Center. The project will house the following areas: performing arts theatre, convention center, banquet facilities, concourse and art gallery, conference rooms, the ASUMH Library, classroom and office space, outdoor amphitheater and possibly a trout resource and nature center. This project has a long history of requests and recommendations over the years, but it has received minimal funding. This project has multiple requests.
**Recommendation: $780,000 (Category A)**

**Library Renovation.** Arkansas State University-Mountain Home requests $320,000 to renovate approximately 6,500 square feet of library space. This renovation will house the admissions, financial aid, student services, and career pathways offices in one centralized location. Incorporating all of these offices into one central location will give the University's students immediate access to all of the functions needed to enroll, obtain aid and make payments easily. This is the first request for this project.
**Recommendation: $320,000 (Category A)**

## Arkansas State University – Newport

**Renovate Technical Laboratories**. Arkansas State University-Newport requests $1,500,000 to renovate 12,000 square feet of technical laboratories at Marked Tree. The renovation will include additional classroom and laboratory space, improving lighting and faculty offices. In addition, the renovation will include upgrades to accommodate the demand for local technical education programs. This is the second request for this project.
**Recommendation: $1,150,000 (Category A)**

## Black River Technical College

**Health Sciences Addition.** Black River Technical College requests $1,000,000 to expand the Health Science building. The expansion will affect all the Health Sciences Programs including Registered Nursing (RN), Practical Nursing (PN), Respiratory Therapy (RT), Certified Nursing Assistant (CNA), Phlebotomy, and Medical Lab Assistant. ADHE recommended $1,000,000 in Category A in the 2009-11 biennium.
**Recommendation: $1,000,000 (Category A)**

**Academic Complex – Paragould Site.** Black River Technical College requests $3,000,000 to construct approximately 16,000 square feet at the Paragould site. The expansion will create additional classrooms as well as office space for administration, student services and faculty. This is the first request for this project.

**Recommendation: $200,000 (Category A)**

## Cossatot Community College-University of Arkansas

**Classroom Technology.** Cossatot Community College-University of Arkansas requests $38,000 to upgrade the technology infrastructure. This entails installation of LCD projectors in 14 classrooms throughout three campuses. This is the first request for this project.
**Recommendation: $38,000 (Category A)**

**Cosmetology Lab Renovation.** Cossatot Community College-University of Arkansas requests $119,000 to renovate 1,500 square feet of classroom and laboratory space. This renovation will include unused, existing space into a Cosmetology Laboratory and classroom at the Little River campus. This is the first request for this project.
**Recommendation: $119,000 (Category A)**

**Classroom/Computer Lab.** Cossatot Community College-University of Arkansas requests $142,800 to renovate 2,000 square feet for classrooms and a computer lab. This project entails renovation of an existing structure into two classrooms and a computer lab to serve as an extension site. This is the first request for this project.
**Recommendation: $142,800 (Category A)**

**Classroom/Lab Expansion – Howard County.** Cossatot Community College-University of Arkansas requests $2,000,000 to renovate 8,000 square feet of classroom and lab space. Renovation includes building six new classrooms and a Nursing Lab at the Howard County campus. This is the first request for this project.
**Recommendation: $750,200 (Category A)**

## East Arkansas Community College

**Renovations of Allied Health Facility.** East Arkansas Community College requests $890,500 to renovate approximately 12,000 square foot of the Allied Health facilities. This renovation is needed to bring classroom and lab facilities up-to-date and make teaching and learning initiatives possible in this area. This is the second request for this project.
**Recommendation: $890,000 (Category A)**

**Renovations of Classroom Building 2.** East Arkansas Community College requests $223,000 to renovate approximately 8,000 square foot of Classroom Building 2. The needs for this renovation are floor coverings, interior walls and ceilings of all rooms, specifically classrooms as well as restrooms and plumbing systems. The gas and water delivery systems as well as

draining must all be upgraded in the near future to ensure failure does not keep the building from being unusable. The building houses classes and lab facilities for Anatomy & Physiology, Biology/Microbiology, Chemistry, Criminal Justice, Physical Science and 2 storage and prep rooms. This is the third request for this project.
**Recommendation: $210,000 (Category A)**

## Mid-South Community College

**Science Labs.** Mid-South Community College requests $157,691 to Science labs. This renovation will create two new science labs, one for biology and one for Chemistry/Physics. The renovations will include built in wall and base cabinets with countertops for the perimeter of the room, wood storage cabinets, octagon lab stations with sinks and storage, instructor desk, refrigerated cabinet, fume hood, Hazmat storage cabinet biological binocular microscopes, sterilization cabinet, vacuum pumps, lab stools, lab tables and chairs. This is the first request for this project.
**Recommendation: $157,500 (Category A)**

**Generators.** Mid-South Community College requests $350,000 for infrastructure improvements. These improvements will include the purchase and installation of 6 generators to support the technical infrastructure across campus and essential services needed in the event of an interruption of services. This project is needed to implement a disaster recovery plan for the campus and local community. This is the first request for this project.
**Recommendation: $350,000 (Category A)**

**Wellness Center.** Mid-South Community College requests $5,725,000 to construct a 28,000 square feet Wellness Center. The facility will provide the capacity to provide wellness and fitness training and activities to students, faculty and staff. It will include classrooms and faculty offices as well as a place for fitness activities. This is the first request for this project.
**Recommendation: $642,500 (Category A)**

## National Park Community College

**Infrastructure Improvements.** National Park Community College requests $949,000 for technology upgrades. This upgrade includes replacing the existing copper low-speed internet connection with high speed fiber internet connection, increasing the bandwidth of LAN by replacing the current network switches with high performance switches, consolidating network servers with server array technology, the installation of mission critical servers and the installation of a new phone system. This is the third request for this project.
**Recommendation: $949,000 (Category A)**

**Classroom Technology.** National Park Community College requests $654,000 for classroom technology upgrades. This upgrade includes replacing (20) classroom printers with high performance network color laser jet printers, Spam/Spyware Protection, classroom multimedia stations including Teaching Lecterns and a combination of Smart Boards, symposiums, document cameras and scanners. In addition, high speed switching will be installed for 15 buildings. This is the third request for this project.
**Recommendation: $401,000 (Category A)**

**North Arkansas College**

**Campus & STEM Center.** North Arkansas College requests $13,021,000 to construct 64,000 square feet of Educational and General space as well as Auxiliary space. This facility will serve as a combination Campus Center and a Science, Technology, Engineering and Math (STEM) Center. The Campus Center segment will include student group meetings, a general study are, a student lounge, a board room and a student information center. The STEM Center areas will include dedicated technical classrooms, laboratories and faculty offices. ADHE recommended $1,000,000 in Category A in the 2009-11 biennium for the Campus Center segment. This is the first request for the STEM Center segment.
**Recommendation: $1,200,000 (Category A)**

**Northwest Arkansas Community College**

**National Child Protection Training Center.** Northwest Arkansas Community College requests $250,000 for renovation of 17,000 square foot building to accommodate the National Child Protection Training Center. This renovation will provide courtrooms, interview and counseling rooms. This is the first request for this project.
**Recommendation: $250,000 (Category A)**

**Ouachita Technical College**

**Movable Computer Services.** Ouachita Technical College requests $230,000 for technology infrastructure improvements and upgrades. This project is needed to better support today's technology and to ensure that the infrastructure to support the distance education program, future growth and higher speed applications. These upgrades and improvements will allow consolidation of the network backbone and allow for future growth and better manageability. This is the first request for this project.
**Recommendation: $230,000 (Category A)**

**Applied Science and Business Instructional Building**. Ouachita Technical College requests $2,289,000 to construct a 20,000 square foot Applied Science and Business Technology Center. It will also act as a community safe room in case of

natural disaster, community readiness, local pandemics, etc. This facility will incorporate all of the science programs and laboratories into one building. It will also include faculty offices. This is the first request for this project.
**Recommendation: $820,000 (Category A)**

## Ozarka College

**Allied Health Building Renovation.** Ozarka College requests $1,000,000 to construct a 4,500 square foot facility for classroom, laboratory and office space. The nursing program currently occupies it with classroom and laboratory space designed to hold 20 students. To better meet the needs of students and provide an environment conducive to learning, additional space is necessary to house the LPN students. This is the first request for this project.
**Recommendation: $1,000,000 (Category A)**

**Technology Center.** Ozarka College requests $1,500,000 to construct a 15,000 square foot technology building. This new facility will support technology programs such as Diesel Technology, Green Energy Technologies, Construction Programs, Plumbing and Welding. In addition, it will allow the College to react to needs of the four county region by maintain the agility to react to near real-time demand from industry and employers. This is the first request for this project.
**Recommendation: $50,000 (Category A)**

## Phillips Community College of the University of Arkansas

**Repair Drainage System – DeWitt Campus.** Phillips Community College of the University of Arkansas requests $450,000 to repair the drainage system at the DeWitt Campus. This repair will require the installation of a swell to take water away from the building. The highway around the building will have to be cut to install a drainage pipe to take the water to the ditch. This is the first request for this project.
**Recommendation: $450,000 (Category A)**

**Window Repair – Stuttgart Campus.** Phillips Community College of the University of Arkansas requests $65,000 for window repair at the Stuttgart Campus. Due to improper installation, there is damage by water coming in at the seal. This repair is necessary for fifteen windows including the sheetrock below each window. This is the first request for this project.
**Recommendation: $65,000 (Category A)**

**Fine Arts Center Building Chiller.** Phillips Community College of the University of Arkansas requests $270,000 for chiller replacement. This chiller was installed in the Fine Arts Building in 1970-72. It has been repaired many times, but it is on its last leg and needs to be replaced. This is the first request for this project.

**Recommendation: $270,000 (Category A)**

**Chiller Repair for Stuttgart Campus.** Phillips Community College of the University of Arkansas requests $115,000 for chiller repair at the Stuttgart Campus. This chiller was installed with the construction of the campus in 1997-98. It is costing more to repair and maintain the chiller in its present condition than a new chiller with 5 years warranty. This is the first request for this project.
**Recommendation: $115,000 (Category A)**

**New Roofs for (6) Buildings.** Phillips Community College of the University of Arkansas requests $765,000 for roof replacements. The roof on the DeWitt Campus has been repaired to the point that something must be done to prevent leakage. On the Helena Campus, five buildings had roof replacements 20 years ago and are beginning to leak. This project will provide a new roof for each building. This project has a long history of requests.
**Recommendation: $250,000 (Category A)**

## Pulaski Technical College

**Welding Technology Center.** Pulaski Technical College requests $2,000,000 to renovate and expand approximately 12,000 square foot of the Welding Technology Center. This renovation will provide two cutting-edge technology labs, as well as equipment, furnishings and tools. A new lab will be equipped with energy-efficient inverter welder technology and a welding ventilation system to meet environmental requirements. This is the first request for this project.
**Recommendation: $2,150,000 (Category A)**

## Rich Mountain Community College

**Instructional Technology.** Rich Mountain Community College requests $500,000 for technology upgrades. This upgrade will promote instructional technology in both the classroom setting and distance education providing students with the most up-to-date technology to be successful while at the College, to be competitive in the workforce and/or to transfer to a four year university system for continued education. This is the fourth request for this project.
**Recommendation: $500,000 (Category A)**

**STEM Center: Science, Technology, Engineering and Math Center.** Rich Mountain Community College requests $8,479,000 to construct a 30,000 square foot STEM Center. This high tech, state of the art facility will provide educational

classroom and lab facilities in the sciences with core technological education opportunities to students in the Ouachita region. This is the first request for this project.
**Recommendation: $500,000 (Category A)**

## South Arkansas Community College

**Whitfield Classroom Building.** South Arkansas Community College requests $1,678,200 to renovate approximately 36,000 square feet of the Ben Whitfield
Classroom Building. This renovation will provide an additional chemistry lab, additional biology lab and other general classroom and office space. The restrooms and some fire safety items will also be renovated. This is the second request for this project.
**Recommendation: $750,000 (Category A)**

**Technology Infrastructure Upgrade.** South Arkansas Community College requests $405,380 for technology upgrades. This project is to complete the College's network electronics lifecycle replenishment and complete development of its' hot disaster recovery site. Completion of this effort will permit the College to implement policy-based security at the physical port level with the College's network, to upgrade network perimeter security appliances, complete its on-going server virtualization, implement raid 60 data protection for all core administrative data sets, implement disk to disk data backup and synchronized network storage deployed at multiple physical locations. This is the second request for this project.
**Recommendation: $400,000 (Category A)**

## Southeast Arkansas College

**Technology Center South Transformers.** Southeast Arkansas College requests $25,000 to replace transformers. Due to overheating through use and natural obsolescence, these transformers must be replaced. This is the first request for this project.
**Recommendation: $25,000 (Category A)**

**Sewer and Plumbing Repair.** Southeast Arkansas College requests $1,000,000 to replace underground water and sewer lines that are approximately 50 years old. The life expectancy will soon be reached for these systems. This is the second request for this project.
**Recommendation: $1,000,000 (Category A)**

**Roofing Repairs.** Southeast Arkansas College requests $500,000 for roof replace. This request is for replacement, a new roof will be installed to repair the damaged roof. This is the first request for this project.
**Recommendation: $175,000 (Category A)**

## Southern Arkansas University Tech

**Career and Workforce Development Center.** Southern Arkansas University Tech requests $9,552,500 to construct an 85,000 square foot Career Center/Multi-Purpose Building to house administrative and service areas for secondary and post-secondary career programs. Instructional classrooms and laboratory areas for career programs such as Automotive Technology, Auto-body Repair Technology, Diesel Technology, Small Engine Repair Technology, Welding and Metal Trades Technology, and Heating and Air Conditioning Technology will also be located in this new facility. A large multi-purpose room that will seat a maximum 1,500 people for events such as graduation ceremonies for SAU Tech, the Arkansas Fire Training Academy, and the Arkansas Law Enforcement Training Academy will also be included in this facility. This is the fourth request for this project.
**Recommendation: $1,150,000 (Category A)**

## University of Arkansas Community College at Batesville

**Old Nursing Building.** The University of Arkansas Community College at Batesville requests $1,700,000 to renovate approximately 5,000 square feet of the Old Nursing Building. This renovation includes additional instructional space, remodeling and improving existing restrooms and redesigning faculty offices to better meet faculty/staff needs. This project has a long history of requests.
**Recommendation: $1,150,000 (Category A)**

## University of Arkansas Community College at Hope

**Administration/Classroom Building.** The University of Arkansas Community College at Hope requests $2,650,000 to renovate approximately 32,000 square feet of space. The renovation to the Administration/Classroom building will involve replacing the 45 year old electrical system interior and exterior, the drainage system installation and replacing the existing HVAC units. The existing foundation and concrete slab will also be stabilized with the renovation. This is the third request for this project.
**Recommendation: $300,000 (Category A)**

**Technology Infrastructure.** The University of Arkansas Community College at Hope requests $831,534 for technology upgrades. These upgrades include the local area networks, support increased bandwidth and replacement equipment for instructional technology and distance learning delivery systems. Single mode fiber will be laid between each building with switching equipment. In addition, equipment and software will be purchased to reroute any data to the correct destination upon failure of the initial route and to insure the integrity of the network. This is the third request for this project.
**Recommendation: $800,000 (Category A)**

**University of Arkansas Community College at Morrilton**

**Technology Infrastructure and Instructional Technology Equipment.** The University of Arkansas Community College at Morrilton requests $375,000 for technology upgrades. These upgrades will include the campus infrastructure which will support increased bandwidth and instructional technology equipment for classrooms and laboratories. The equipment will include MP players, scanners, wireless slate, laptop computers for the library, eBeam Projection System, Smartroom Clickers, furnishings, Welding Simulator, Birthing Simulator, measuring system for frame straightener, microscopes for Science, models, lab equipment and etc. This is the first request for this project.
**Recommendation: $375,000 (Category A)**

**Health, Physical Education and Recreation Building.** The University of Arkansas Community College at Morrilton requests $5,287,800 to construct a 34,000 square foot facility to house the health, physical education and recreation activities of the college. The proposed facility will have classrooms, dressing rooms, activity rooms, a fitness center, racquetball courts, and a gymnasium. ADHE recommended $1,000,000 in Category A in the 2009-11 biennium.
**Recommendation: $825,000 (Category A)**

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* Presented to the AHECB as “Table 19-A: Summary of Capital Requests/Recommendations for the 2011-13 Biennium”

## Table 4: DEFINITIONS OF EXPENDITURE CATEGORIES

**Academic Support**. This category includes funds expended primarily to provide support for an institution's primary mission--teaching, research, and public service. Academic support is comprised of the following sub-categories:

Libraries. Includes salaries and operating expenses of separately organized libraries and media centers that are the responsibility of the librarian.

Museums and Galleries. Includes expenditures for activities that provide for the collection, preservation, and exhibition of historical materials, art objects, scientific displays, etc.

Organized Activities Related to Educational Departments. Includes expenditures for activities that provide support services to the three primary programs: teaching, research, and public service. These activities usually provide an opportunity for students to gain practical experience. Examples of organized activities are campus radio stations or farms.

Other Academic Support. Includes educational media services, academic computing, academic administration (deans and their support costs), and faculty development.

**Equipment Replacement.** Funds are provided for the replacement of worn or obsolete equipment. This is not an expenditure category in accounting terms since the expenditures will occur in other categories where equipment is used.

**Institutional Support**. This category includes administrative costs for institutional management such as the president's office, fiscal and personnel management, chief academic and student service officers, administrative computing, and other central institutional services that cannot be allocated to a specific department or activity.

**Instruction**. This category includes expenditures for all activities that are part of an institution's instructional program. Expenditures for credit and non-credit courses, for academic, vocational, and technical instruction, for remedial and tutorial instruction, and for any regular, special, and extension sessions are included. This category includes the following sub-categories:

Teaching Salaries. Includes only that portion of faculty salaries devoted to the teaching of credit-equivalency courses.

Departmental Operating Expenses. Includes salaries, wages, equipment, and operating expenses of instructional departments exclusive of teaching salaries.

Off-Campus Credit. Includes all credit courses offered anywhere other than in the facilities or on the grounds of a four-year institution, branch campus, or technical college. Included are expenditures for community college courses offered anywhere outside the district in which the community college is located.

Non-Credit Instruction. Encompasses courses which are not part of a degree or certificate program, such as community service courses.

**Plant Maintenance and Operation**. This category includes all costs associated with operating the campus buildings including utilities, and routine repair and maintenance of buildings.

**Public Service**. This category includes expenditures for non-instructional services beneficial to individuals and groups external to the institution. Examples are workshops, administration of non-credit courses, concerts and other cultural events intended primarily for the public, and cooperative extension services.

**Research**. This category includes all expenditures for activities specifically and separately organized to produce research outcomes. Included are expenditures for institutes, research centers, and program and project research.

**Scholarships and Fellowships**. This category includes expenditures in the form of outright grants to students selected by the institution and financed from unrestricted funds in the form of tuition remission. Performance or athletic scholarships are not included.

**Student Services**. This category includes expenditures for the offices of admissions, registrar, deans of men and women, financial aid, and counseling. Student service activities are those that contribute to the student's emotional and physical well-being and to their intellectual, cultural, and social development outside the context of formal academic instruction.

**Transfers**. Included are funds that are transferred from the unrestricted current funds group to any of the restricted fund groups. Transfers are classified in the following three categories:

Auxiliary Transfers. This item applies to the four-year institutions and their two-year branches. An auxiliary enterprise is an entity that exists to furnish goods or services to students, faculty, or staff, and charges a fee directly related to, although not necessarily equal to, the cost of the goods or services. Most auxiliaries are expected to be self-supporting. These include dormitories, bookstores, food services, and health services. Student organizations, publications, and college unions may require a subsidy from the unrestricted educational and general budget.

Mandatory Transfers. This category includes transfers to restricted fund groups, excluding auxiliaries, arising out of legal agreements related to the financing of educational facilities, and grant agreements with the federal government or other external sources.

Non-Mandatory Transfers. This category includes transfers from the unrestricted current funds group to any restricted fund group to serve a variety of objectives unique to an institution. The most common non-mandatory transfers are to auxiliaries, to the plant reserve fund, and other transfers to loan funds, quasi-endowment funds, or pre-payments of debt principal.

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## Table 5. Annual Full-Time Equivalent Enrollment (FTE) for FY2009-10

| Four-Year Universities | | Two-Year Colleges | | | |
|---|---|---|---|---|---|
| | 2009-10 FTE | | 2009-10 FTE | | 2009-10 FTE |
| ASUJ | 10,482 | ANC | 1,424 | OTC | 951 |
| ATU | 6,659 | ASUB | 3,365 | OZC | 958 |
| HSU | 3,391 | ASUMH | 1,070 | PCCUA | 1,364 |
| SAUM | 2,876 | ASUN | 1,368 | PTC | 7,080 |
| UAF | 17,912 | BRTC | 1,706 | RMCC | 636 |
| UAFS | 5,810 | CCCUA | 914 | SACC | 1,261 |
| UALR | 9,687 | EACC | 1,059 | SAUT | 1,388 |
| UAM | 2,337 | MSCC | 1,222 | SEAC | 1,544 |
| UAPB | 3,385 | NAC | 1,779 | UACCB | 1,324 |
| UCA | 11,113 | NPCC | 2,380 | UACCH | 1,058 |
| | | NWACC | 5,112 | UACCM | 1,749 |
| Subtotal | 73,651 | | | | 40,710 |
| Grand Total | | | | | 114,361 |

Note: For funding purposes, FTE calculated as of July 1, 2010.

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## TABLE 6
## 2010-11 Full-time Annualized Fall Tuition and Mandatory Fees

**TWO-YEAR INSTITUTION RESIDENT**

| INSTITUTION | ADHE ESTIMATE OF 2010-11 SREB AVERAGE TUITION & FEES | 2010-11 ANNUAL TUITION | 2010-11 ANNUAL FEES | 2010-11 TUITION & FEES |
|---|---|---|---|---|
| **LOCAL TAXES (IN-DISTRICT)** | | | | |
| ANC | 2,273 | 1,620 | 220 | 1,840 |
| CCCUA | 2,273 | 1,500 | 280 | 1,780 |
| EACC | 2,273 | 1,950 | 240 | 2,190 |
| MSCC | 2,273 | 1,950 | 320 | 2,270 |
| NAC | 2,273 | 1,770 | 150 | 1,920 |
| NPCC | 2,273 | 2,040 | 330 | 2,370 |
| NWACC | 2,273 | 2,100 | 513 | 2,613 |
| PCCUA | 2,273 | 1,710 | 440 | 2,150 |
| RMCC | 2,273 | 1,710 | 330 | 2,040 |
| SACC | 2,273 | 2,130 | 220 | 2,350 |
| UACCB | 2,273 | 1,710 | 590 | 2,300 |
| UACCH | 2,273 | 1,695 | 276 | 1,971 |
| UACCM | 2,273 | 2,190 | 630 | 2,820 |
| **AVERAGE ANNUAL** | **2,273** | **1,852** | **349** | **2,201** |
| **LOCAL TAXES (OUT-OF-DISTRICT/IN-STATE)** | | | | |
| ANC | 2,643 | 1,920 | 220 | 2,140 |
| ASUMH | 2,643 | 2,400 | 510 | 2,910 |
| CCCUA | 2,643 | 1,800 | 280 | 2,080 |
| EACC | 2,643 | 2,190 | 240 | 2,430 |
| MSCC | 2,643 | 2,400 | 320 | 2,720 |
| NAC | 2,643 | 2,430 | 150 | 2,580 |
| NPCC | 2,643 | 2,340 | 330 | 2,670 |
| NWACC | 2,643 | 3,300 | 513 | 3,813 |
| PCCUA | 2,643 | 2,010 | 440 | 2,450 |
| RMCC | 2,643 | 2,100 | 330 | 2,430 |
| SACC | 2,643 | 2,400 | 220 | 2,620 |
| UACCB | 2,643 | 2,070 | 590 | 2,660 |
| UACCH | 2,643 | 1,845 | 276 | 2,121 |
| UACCM | 2,643 | 2,400 | 630 | 3,030 |
| **AVERAGE ANNUAL** | **2,643** | **2,258** | **361** | **2,618** |
| **NO LOCAL TAXES (IN-STATE)** | | | | |
| ASUB | 2,643 | 2,430 | 360 | 2,790 |
| ASUN | 2,643 | 2,340 | 210 | 2,550 |
| BRTC | 2,643 | 2,100 | 360 | 2,460 |
| OTC | 2,643 | 1,800 | 512 | 2,312 |
| OZC | 2,643 | 2,250 | 470 | 2,720 |
| PTC | 2,643 | 2,460 | 400 | 2,860 |
| SAUT | 2,643 | 2,640 | 630 | 3,270 |
| SEAC | 2,643 | 2,340 | 430 | 2,770 |
| **AVERAGE ANNUAL** | **2,643** | **2,295** | **422** | **2,717** |

Full-time undergraduate is defined as 30 credit hours per year per SREB guidelines.

## TABLE 6
## 2010-11 Full-time Annualized Fall Tuition and Mandatory Fees

**TWO-YEAR INSTITUTION NON-RESIDENT**

| INSTITUTION | ADHE ESTIMATE OF 2010-11 SREB AVERAGE TUITION & FEES | 2010-11 ANNUAL TUITION | 2010-11 ANNUAL FEES | 2010-11 TUITION & FEES |
|---|---|---|---|---|
| **LOCAL TAXES** | | | | |
| ASUMH | 8,196 | 4,050 | 510 | 4,560 |
| ANC | 8,196 | 3,420 | 220 | 3,640 |
| CCCUA | 8,196 | 4,500 | 280 | 4,780 |
| EACC | 8,196 | 2,610 | 240 | 2,850 |
| MSCC | 8,196 | 4,200 | 320 | 4,520 |
| NAC | 8,196 | 4,560 | 150 | 4,710 |
| NPCC | 8,196 | 4,020 | 330 | 4,350 |
| NWACC | 8,196 | 4,650 | 513 | 5,163 |
| PCCUA | 8,196 | 3,210 | 440 | 3,650 |
| RMCC | 8,196 | 5,100 | 330 | 5,430 |
| SACC | 8,196 | 4,380 | 220 | 4,600 |
| UACCB | 8,196 | 4,200 | 590 | 4,790 |
| UACCH | 8,196 | 3,615 | 276 | 3,891 |
| UACCM | 8,196 | 3,510 | 630 | 4,140 |
| **AVERAGE ANNUAL** | **8,196** | **4,002** | **361** | **4,362** |
| **NO LOCAL TAXES** | | | | |
| ASUB | 8,196 | 4,170 | 360 | 4,530 |
| ASUN | 8,196 | 3,930 | 210 | 4,140 |
| BRTC | 8,196 | 5,460 | 360 | 5,820 |
| OTC | 8,196 | 3,600 | 512 | 4,112 |
| OZC | 8,196 | 5,040 | 470 | 5,510 |
| PTC | 8,196 | 4,050 | 400 | 4,450 |
| SAUT | 8,196 | 3,960 | 630 | 4,590 |
| SEAC | 8,196 | 4,680 | 430 | 5,110 |
| **AVERAGE ANNUAL** | **8,196** | **4,361** | **422** | **4,783** |

Full-time undergraduate is defined as 30 credit hours per year per SREB guidelines.

# TABLE 6

## 2010-11 Full-time Annualized Fall Tuition and Mandatory Fees

**FOUR-YEAR INSTITUTION UNDERGRADUATE RESIDENT**

| INSTITUTION | ADHE ESTIMATE OF 2010-11 SREB AVERAGE TUITION & FEES | 2010-11 ANNUAL TUITION | 2010-11 ANNUAL FEES | 2010-11 TUITION & FEES |
|---|---|---|---|---|
| UAF | 7,601 | 5,210 | 1,557 | 6,767 |
| **LEVEL 1 GROUP AVERAGE** | **7,601** | **5,210** | **1,557** | **6,767** |
| ASUJ | 6,452 | 5,100 | 1,540 | 6,640 |
| UALR | 6,452 | 5,228 | 1,415 | 6,643 |
| UCA | 6,452 | 5,235 | 1,673 | 6,908 |
| **LEVEL 3 GROUP AVERAGE** | **6,452** | **5,188** | **1,543** | **6,730** |
| ATU | 6,345 | 5,100 | 808 | 5,908 |
| HSU | 6,345 | 5,340 | 1,104 | 6,444 |
| **LEVEL 4 GROUP AVERAGE** | **6,345** | **5,220** | **956** | **6,176** |
| SAUM | 5,051 | 5,340 | 1,086 | 6,426 |
| UAM | 5,051 | 3,600 | 1,390 | 4,990 |
| **LEVEL 5 GROUP AVERAGE** | **5,051** | **4,470** | **1,238** | **5,708** |
| UAPB | 5,096 | 3,750 | 1,283 | 5,033 |
| UAFS | 5,096 | 3,570 | 1,348 | 4,918 |
| **LEVEL 6 GROUP AVERAGE** | **5,096** | **3,660** | **1,316** | **4,976** |

**FOUR-YEAR INSTITUTION UNDERGRADUATE NON-RESIDENT**

| INSTITUTION | ADHE ESTIMATE OF 2010-11 SREB AVERAGE TUITION & FEES | 2010-11 ANNUAL TUITION | 2010-11 ANNUAL FEES | 2010-11 TUITION & FEES |
|---|---|---|---|---|
| UAF | 20,842 | 14,443 | 1,557 | 16,000 |
| **LEVEL 1 GROUP AVERAGE** | **20,842** | **14,443** | **1,557** | **16,000** |
| ASUJ | 15,643 | 13,320 | 1,540 | 14,860 |
| UALR | 15,643 | 14,175 | 1,415 | 15,590 |
| UCA | 15,643 | 10,470 | 1,673 | 12,143 |
| **LEVEL 3 GROUP AVERAGE** | **15,643** | **12,655** | **1,543** | **14,198** |
| ATU | 14,857 | 10,200 | 808 | 11,008 |
| HSU | 14,857 | 10,680 | 1,104 | 11,784 |
| **LEVEL 4 GROUP AVERAGE** | **14,857** | **10,440** | **956** | **11,396** |
| SAUM | 14,820 | 8,100 | 1,086 | 9,186 |
| UAM | 14,820 | 8,250 | 1,390 | 9,640 |
| **LEVEL 5 GROUP AVERAGE** | **14,820** | **8,175** | **1,238** | **9,413** |
| UAPB | 12,287 | 8,700 | 1,283 | 9,983 |
| UAFS | 12,287 | 9,540 | 1,348 | 10,888 |
| **LEVEL 6 GROUP AVERAGE** | **12,287** | **9,120** | **1,316** | **10,436** |

Full-time undergraduate is defined as 30 credit hours per year per SREB guidelines.

# TABLE 6

## 2010-11 Full-time Annualized Fall Tuition and Mandatory Fees

**FOUR-YEAR INSTITUTION GRADUATE RESIDENT**

| INSTITUTION | ADHE ESTIMATE OF 2010-11 SREB AVERAGE TUITION & FEES | 2010-11 ANNUAL TUITION | 2010-11 ANNUAL FEES | 2010-11 TUITION & FEES |
|---|---|---|---|---|
| UAF | 8,095 | 7,355 | 1,203 | 8,558 |
| **LEVEL 1 GROUP AVERAGE** | **8,095** | **7,355** | **1,203** | **8,558** |
| ASUJ | 5,756 | 4,680 | 714 | 5,394 |
| UALR | 5,756 | 5,880 | 1,132 | 7,012 |
| UCA | 5,756 | 5,160 | 1,369 | 6,529 |
| **LEVEL 3 GROUP AVERAGE** | **5,756** | **5,240** | **1,072** | **6,312** |
| ATU | 6,378 | 4,680 | 714 | 5,394 |
| HSU | 6,378 | 5,304 | 1,003 | 6,307 |
| **LEVEL 4 GROUP AVERAGE** | **6,378** | **4,992** | **859** | **5,851** |
| SAUM | 4,828 | 5,304 | 866 | 6,170 |
| UAM | 4,828 | 4,320 | 1,104 | 5,424 |
| **LEVEL 5 GROUP AVERAGE** | **4,828** | **4,812** | **985** | **5,797** |
| UAPB | 5,692 | 3,840 | 1,062 | 4,902 |
| **LEVEL 6 GROUP AVERAGE** | **5,692** | **3,840** | **1,062** | **4,902** |

**FOUR-YEAR INSTITUTION GRADUATE NON-RESIDENT**

| INSTITUTION | ADHE ESTIMATE OF 2010-11 SREB AVERAGE TUITION & FEES | 2010-11 ANNUAL TUITION | 2010-11 ANNUAL FEES | 2010-11 TUITION & FEES |
|---|---|---|---|---|
| UAF | 20,100 | 17,401 | 1,203 | 18,604 |
| **LEVEL 1 GROUP AVERAGE** | **20,100** | **17,401** | **1,203** | **18,604** |
| ASUJ | 13,376 | 13,224 | 1,246 | 14,470 |
| UALR | 13,376 | 13,356 | 1,132 | 14,488 |
| UCA | 13,376 | 10,320 | 1,369 | 11,689 |
| **LEVEL 3 GROUP AVERAGE** | **13,376** | **12,300** | **1,249** | **13,549** |
| ATU | 14,535 | 9,360 | 714 | 10,074 |
| HSU | 14,535 | 10,608 | 1,003 | 11,611 |
| **LEVEL 4 GROUP AVERAGE** | **14,535** | **9,984** | **859** | **10,843** |
| SAUM | 12,431 | 7,800 | 866 | 8,666 |
| UAM | 12,431 | 9,600 | 1,104 | 10,704 |
| **LEVEL 5 GROUP AVERAGE** | **12,431** | **8,700** | **985** | **9,685** |
| UAPB | 13,339 | 8,856 | 1,062 | 9,918 |
| **LEVEL 6 GROUP AVERAGE** | **13,339** | **8,856** | **1,062** | **9,918** |

# TABLE 6

## 2010-11 Full-time Annualized Fall Tuition and Mandatory Fees

**PROFESSIONAL UNDERGRADUATE**

| INSTITUTION | ADHE ESTIMATE OF 2010-11 SREB AVERAGE TUITION & FEES | 2010-11 ANNUAL TUITION | 2010-11 ANNUAL FEES | 2010-11 TUITION & FEES |
|---|---|---|---|---|
| **RESIDENT** | | | | |
| UAMS - HRP | N/A | 6,240 | 240 | 6,480 |
| UAMS- NURSING | N/A | 5,256 | 265 | 5,521 |
| **NONRESIDENT** | | | | |
| UAMS - HRP | N/A | 15,576 | 240 | 15,816 |
| UAMS- NURSING | N/A | 13,080 | 256 | 13,336 |

**PROFESSIONAL GRADUATE**

| INSTITUTION | ADHE ESTIMATE OF 2010-11 SREB AVERAGE TUITION & FEES | 2010-11 ANNUAL TUITION | 2010-11 ANNUAL FEES | 2010-11 TUITION & FEES |
|---|---|---|---|---|
| **RESIDENT** | | | | |
| UAF-LAW | 14,782 | 7,748 | 1,281 | 9,029 |
| UALR-LAW | 14,782 | 8,050 | 1,539 | 9,589 |
| UAMS-MEDICINE | 19,842 | 17,980 | 1,177 | 19,157 |
| UAMS-PHARMACY | 17,266 | 12,140 | 525 | 12,665 |
| UAMS-GRADUATE | N/A | 5,840 | 240 | 6,080 |
| **NONRESIDENT** | | | | |
| UAF-LAW | 29,123 | 16,656 | 1,281 | 17,937 |
| UALR-LAW | 29,123 | 17,646 | 1,539 | 19,185 |
| UAMS-MEDICINE | 39,662 | 35,690 | 1,177 | 36,867 |
| UAMS-PHARMACY | 31,365 | 24,280 | 525 | 24,805 |
| UAMS-GRADUATE | N/A | 12,540 | 240 | 12,780 |

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I. Introduction:

The Arkansas State University System will create better educated citizens prepared for a global and technological society by providing quality undergraduate and graduate education, useful research, and dedicated public service.

Arkansas State University System (ASU System) serves a changing global society by supporting the Board of Trustees and providing administrative functions support to all the ASU campuses. This mission is accomplished at ASU's four campuses, seven degree-centers, one technical center, and by partnering with six higher education institutions. Collectively, these institutions share a common vision and a fundamental commitment by providing high-quality educational opportunities at locations our customers demand, thereby enhancing the lives of the citizens of the State of Arkansas, the nation, and the world.

All campuses within the Arkansas State University System collectively have an annual operating budget of $201 million. While each campus functions autonomously in its day-to-day operations, System Administration coordinates various operations of the University by providing services that are more efficiently and effectively carried-out on a university-wide basis. In addition to the President's Office, administrative functions of system administration include fiscal management, legal counsel services, university advancement, governmental relations, benefits and risk management, system data management, information technology, internal audit and budget management.

II. System Mission Statement:

The mission of the Arkansas State University System is to contribute to the educational, cultural, and economic advancement of Arkansas by providing quality general undergraduate education and specialized programs leading to certificate, associate, baccalaureate, masters, professional, and doctoral degrees; by encouraging the pursuit of research, scholarly inquiry, and creative activity; and by bringing these intellectual resources together to develop the economy of the state and the education of its citizens throughout their lives.

Each component of the Arkansas State University System will be characterized by:

- A supportive learning environment; personal development, leadership, and service opportunities; and facilities, technologies and support necessary to meet the needs of students, faculty, and staff;

- Racial, ethnic, gender and cultural diversity in the faculty, staff, and student body, supported by practices and programs that embody the ideals of an open, democratic, and global society;

- Instructional technologies, student support services, and on-line and distance education to advance the purposes of teaching and learning;

- A commitment to sharing human, physical, information, and other resources among system components, and with state agencies, schools and higher education institutions, to expand and enhance programs and services available to the citizens of Arkansas.

II. System Goals:

Provide higher education services to all who desire it, create new knowledge, and serve the global community.

III. Programs and Program Definitions:

Program 1: Campus Support Services

Program Definition: To provide support in various ways for all campuses within the Arkansas State University System.

Goal 1: Expansion of the Fiscal Resource Management function

Objective: To expand the Fiscal Resource Management function to include all campuses within the ASU-System.

Strategies:

- Fully fund the office of the Vice President for System Operations;
- Provide partial funding for an ASU-System budget officer;
- Provide personnel and financial resources to support the continued growth of the ASU-System, and;
- Provide sound financial guidance to all campuses within the ASU-System to allow consistency and continuously strive to be fiscally responsible.

Goal 2: Expand and Extend Internal Audit

Objective: To expand and extend Internal Audit to all campuses in the ASU-System to provide independent, objective analyses of the University's operations.

Strategies:

- The Internal Audit Department currently has a staff of 1½ auditors. Additional staff auditor positions and the associated operational expenses are needed to obtain this strategy. This request is made to maintain ongoing, routine internal audit coverage as new campuses are added to the Arkansas State University System.

- The Internal Audit Department was established in 1980 to assist the management of Arkansas State University in achieving its overall objectives of staying on the cutting edge of institutional accountability and productivity in higher education, increasing quality in its management and

financial systems, and improving management and financial systems, and improving the state's investment in higher education and service to its constituencies. The goal of the Internal Audit Department is to provide independent, objective analyses of the University's financial management operations, and proactively assist the University in addressing potential problems before they become material.

Goal 3: Expand and Extend Benefits and Risk Management

Objective: To expand and extend benefits and risk management to all campuses in the ASU System to provide cost effective and consistent management of the University's benefits packages as well as risk management for the University.

Strategies:

- Fund and implement staff positions to provide consistent management of the benefits and risks for the university.
- Provide personnel and financial resources to support the continued growth of the ASU-System.

Goal 4: Expand and Extend Advancement Services

Objective: To expand and extend advancement services to all campuses in the ASU System to provide cost effective and consistent management of the University's advancement services.

Strategies:

- Fund and implement staff positions to provide consistent management of advancement services.

- Provide personnel and financial resources to support the continued growth of the ASU-System.

Goal 5: Provide operating support for an ASU Systems new building.

Objective: To provide a more permanent facility to house the System operations.

Strategies:

- Fully fund the operating cost of a new facility.

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## I. Introduction:

Arkansas State University-Jonesboro's strategic plan is aligned with requests for legislative appropriations for the biennium ending June 30, 2013, and has been prepared in accordance with Act 221 of 2001. The requested revenue appropriations are those necessary to maintain existing programs at a quality level and to bring the university's funding to a level that will support actual enrollment. The programs offered by the university are designed to meet the needs of the state, the region, and the nation. They require an adequate level of funding to provide quality educational experiences that the taxpayers of Arkansas need and deserve. Educating young people for a global knowledge-based economy, as well as retraining and lifelong learning for the already employed citizens of Arkansas and providing the impetus and support for technology-based economic development, are the key to diversifying and improving our state's economy. Both the innovative and more traditional programs offered by Arkansas State University-Jonesboro (ASUJ) have been developed in cooperation with the Arkansas State Board of Higher Education and are continuously under review both internally and externally. Internal reviews are conducted by departmental, college, and institutional committees of faculty, administrative staff, and students. External reviews are performed by the Arkansas Department of Higher Education, regional and national accrediting agencies, as well as professional associations. This continuous review process ensures consistent quality and vitality in the programs and activities of the university to better serve the state.

## II. Institutional Mission Statement:

Arkansas State University-Jonesboro educates leaders, enhances intellectual growth and enriches lives. (ASU= $e^3$)

## III. Institutional Goals:

Arkansas State University-Jonesboro aspires to be an academic leader recognized for innovation and quality in teaching and learning, international standing in strategic research areas, and commitment to outreach and service to the Delta and beyond.

## IV. Programs and Program Definitions:

PROGRAM 1: STRENGTHEN INSTRUCTION
Program Definition: Enhance and improve the quality of instruction.

Goal 1: Maintain a High Quality Level in Existing University Facilities

Objective: To provide for on-going renewal of aging building infrastructure.

Strategies:

- Undertake renovation and system replacement projects to remedy the following typical deferred maintenance/capital renewal needs:
  - As buildings age, the exterior envelope deteriorates even with the best routine maintenance to the point that major roof replacements and upgrades to exterior walls or foundations are required.
  - Mechanical, electrical, and plumbing systems designed 30 plus years ago do not meet current standards for indoor air quality and major components reach a stage of obsolescence beyond their useful life requiring replacement to function reliably.

The above strategies will have the effect of contributing positively to increased enrollment, retention, and graduation rates of both undergraduate and graduate students, as well as the recruitment and retention of high quality faculty.

Goal 2: Increase the personal safety of every student, faculty, and staff member on the campus.

Objective: To provide on-going support for campus security issues.

Strategies:

- Implement recommendations of task force on campus security:
  - Increase level of University Police Patrol by providing additional certified police officers for this purpose.
  - Fully implement the Rave Emergency Alert notification system which would immediately notify students, faculty, and staff by email and text message of any emergency on the ASUJ campus.
  - Provide additional security for the perimeter of Collegiate Park residence hall including vehicle access gates, pedestrian gates, and security cameras.
  - Expand student patrol service into the core of campus residential facilities.
  - Upgrade lighting across campus.
  - Install additional emergency phones across campus.
  - Develop a marketing plan to promote ASUJ safety resources and practices.
  - Provide emergency response training for faculty, staff and students.
  - Initiate crime watch programs on campus and post signage designating such areas.

Goal 3: Increase access to academic programs and services through technology.

Objective: To expand the university's impact on learning and training by providing electronic access to programs and services to those citizens beyond physical reach of the campus and often beyond reach of any Arkansas campus.

Strategies:

- The university purchases and implements hardware and software applications to make available on-line access to services:
  - Admissions application process.
  - Advisement and Registration available on-line.
  - Web portals developed to communicate with students and deliver specific, targeted services.
  - Podcasts, blogs, and RSS (Really Simple Syndication is a lightweight XML format designed for sharing

headlines and other Web content) to reach students beyond our physical boundaries.

- Increase the number of courses available to citizens beyond the campus through courses delivered online.
- The university continues to seek an appropriate e-portfolio solution for students.
- Expand access to online scholarly databases in major research areas. The university will expand its holding of online databases.
- Provide digitization of research materials for collaborative research projects with scholars on campus and at other institutions.
- Expand server space to accommodate peer-reviewed journals inherited or begun by faculty members.
- Provide web space at ASU to maintain sites of professional organizations.
- Expand the cache of projectors and laptops for faculty presentations in various fora, including presentations to local and regional civic and business organizations as well as public schools.
- Increase the number of on-line courses and academic programs available to students.

Goal 4: Enhance funding for Library Resources.

Objective: To acquire and/or license academic resources that expand the amount of relevant and necessary materials available for use by students, faculty, and researchers, thereby increasing opportunities for success.

Strategies:

- Enable the Library to acquire additional resources to support research and student learning as well as cover annual cost increases due to inflation.
- Develop and implement new methods of accessing academic resources that enhance the effective use of those resources.
- Expand Library instruction programs to increase the skill level of the university community in the areas of research strategies, online searching, and identifying relevant resources.

Goal 5: Globalize the University

Objective: Recruit more effectively well-qualified students from around the world to enhance the quality of the learning environment at the university. Encourage faculty and students to participate in academic experiences outside of the United States.

Strategy:

- Develop a comprehensive plan for marketing the university throughout the world and implement this plan aggressively through the continuing support of the International Center for English (ICE) to enable international students to gain necessary English competency to enter and succeed in academic programs (undergraduate and graduate) at the university. Devise and employ strategies (e.g., bridge classes) to help international students to transition into the academic community. Establish a support network to assist faculty and students with successful engagement with minimal risk in the wide array of academic experiences outside of the United States.

Goal 6: Improve the Quality of Teachers for Arkansas

Objective: Enhance student learning and student access to education through continued commitment to professional development schools, development of faculty expertise in technology-rich delivery systems, university outreach to underperforming public schools in our region of service, and professional faculty development.

Strategies:

- To achieve the above objective the College of Education (COE) has partnered and will continue partnerships with seven public elementary schools. Partnership schools strengthen the education for students and create opportunities for the university and K-12 schools to have authentic and exemplary practices coupled with continuous inquiry, research and reflection. Our continued membership in the Holmes Group, a national

consortium of colleges of education, strengthens our abilities to meet academic needs of our faculty and students. The COE desires to expand our partnerships to mid-level and secondary schools.

- The College of Education continues to lead in technology related delivery systems. The professional education programs use an electronic portfolio for students known as Live Text. The college continues to use compressed and internet video and increasingly web-assisted and web-based courses to develop courses to place bound students. The college is developing the university's first web/assisted based degree (MSE-Special Education). The college needs to expand and enlarge our ability to deliver more courses and programs on-line.
- The College of Education is delivering academic outreach support services to a variety of schools in northeast Arkansas and the Delta. There is a need to enlarge our outreach in math/science and reading/literacy in our service area and to provide continuing support, particularly in support of math/science and other STEM initiatives. Additional personnel will improve the results in these critical academic areas.
    - The two Math and Science consortia, administered by the Center for Education Excellence, have six full-time professional educators in the areas of math and science working with school districts and teachers to enhance and enrich teaching and learning in these underperforming schools.
    - Grants have provided a number of opportunities to provide access for students to higher education through programs for students and teachers such as the Advanced Placement Institute, the Educational Renewal Zone program, which addresses the needs of schools labeled as distressed by the state of Arkansas, and the Childhood Services program, which delivers services to pre-kindergarten programs and workers state-wide.

Goal 7: Provide New and Expanding Health Professions Programming to Meet Workforce Needs in the Delta and the State of Arkansas.

Objective: Provide programs and the technological infrastructure to meet the documented and projected needs of a changing health professions workforce. The University is focusing on increasing the numbers and educational levels of health practitioners in the Delta/Arkansas region.

Strategy:

- Create partnerships that provide accessible degree programs at associate, baccalaureate and graduate levels and create post-professional opportunities for practicing clinicians.

Goal 8: Enhance Funding levels for Degree Centers to accommodate Enrollment Growth, Enrollment Geographical Shifts, Advancing Technological Needs, and Requests for Additional Educational Programs.

Objective: To obtain adequate funding per full-time equivalent (FTE) student proportional to the university's growth, to offer baccalaureate and graduate degree programs at ASU Degree Centers established on two-year campuses, to expand those programs to meet the needs of presently unserved students, and to acquire and maintain appropriate technology to properly deliver and enhance instruction at off-campus locations.

Strategies:

- ASUJ continues to show enrollment growth. With more adequate funding, the university will renew and expand efforts to meet the educational needs of the citizens of the region and state.
- ASUJ's enrollment growth for the past ten years can be attributed in large part to the four-year and graduate programs offered in ASU degree centers established in cooperation with five two-year institutions in the state. Centers were established in order that ASUJ might provide higher education opportunities for a large portion of the state's population. ASUJ also has agreements with two four-year institutions to provide graduate degrees and two additional off-campus ASUJ facilities which have significantly impacted enrollment statistics. ASUJ seeks to expand this successful operation and grow the degree centers and other off-campus sites.
- ASUJ has been a leader in the state and the region in the use of internet protocol video (IPV) technology for the past twelve years. This technology is used for the delivery of quality instruction, advisement of students, distance interviews for graduating students and potential ASUJ employees, and professional development of faculty at degree centers and distant sites. It is imperative that, as technology changes, ASUJ has the ability to upgrade our IPV sites to reflect those changes. ASUJ requires adequate targeted funding to maintain this

technology and its services to the students, communities, and fellow institutions in Arkansas, the region, and the nation.

Goal 9: Enhancement of the College of Engineering

Objective: Enhance the infrastructure of the College of Engineering to provide international competitiveness and regional relevance to engineering and technology.

Strategies:

- ASUJ is seeking funds to provide the necessary infrastructure for the College of Engineering to contribute to regional economic development. Development of named degrees in Civil Engineering, Mechanical Engineering, and Electrical Engineering in addition to the current general Engineering degree will provide stronger academic training to serve regional needs and a basis for international competitiveness.
- Implementation of more experiential learning and service learning in the engineering curriculum is needed to improve competitiveness and relevance. Considerable enhancement of teaching labs and modern equipment and instrumentation is needed to support these curriculum innovations.

Goal 10: To enhance the unique and innovative Heritage Studies Ph.D. Program

Objective: To effectively integrate the research activities of the Heritage Studies Ph.D. Program into academic instruction and community service provided by and through ASUJ.

Strategies:

- Encourage and support faculty who direct dissertations and chair portfolio committees
- Provide practicum experiences involving doctoral students in practical and innovative heritage-related career development opportunities.

- Provide support for Delta Heritage Initiatives in the identification, preservation, development, and promotion of heritage sites that enrich the historic and cultural diversity of Arkansas and the Lower Mississippi River Valley Region
- Stimulate and support innovative interdisciplinary research that studies the heritages represented at ASUJ and the communities that the university serves.

Goal 11: Create a Digital Media Learning Environment and Research Center

Objectives:

- To extend a contemporary digital media environment for students studying journalism, radio-television, new media and/or digital media and design.
- To create a center in which faculty and students can explore innovations to improve content and delivery of news to local communities.

Strategies:

- Optimize the conversion of video production facilities to digital/high definition technology.
- Pursue alternative delivery methods for public content, as well as, private feeds to other educational institutions and media outlets utilizing cell phone video, specialized IP delivery, streaming audio and video, and podcasting.
- Develop a cross-platform multimedia newsroom to encourage collaborative news products by students in print, broadcast and online journalism.
- Complete KASU's conversion to digital technology and expansion of service via Internet streaming.
- Establish a multimedia, cross-platform training program for professionals, teachers, and others wanting to expand and enhance their knowledge of digital media hardware and software.

Goal 12: Create a Diverse University Environment

Objective: To attract and retain a diversified student body.

Strategies:

- Work with community organizations to identify and assist ASUJ in attracting Arkansas' brightest students of color.
- Work with local industries to provide internships for participants in the Arkansas Commitment program and for participants in other minority recruiting programs seeking to keep the "brightest" in Arkansas.
- Supplement these programs with existing efforts to recruit first-generation college students and students from economically disadvantaged backgrounds.
- Develop recruiting activities, techniques, and materials that specifically and successfully target minority students.
- Develop and implement a mentoring program for minority students who are most at risk of dropping out. For example, African American males have a six-year graduation rate of 18.9 percent. A mentoring program implemented as part of the FYRE (First Year Experience) program for all first-and second-year African American males would work to improve the graduation rate. The program will be residence hall based with African American male peer counselors living in the residence halls serving as "Big Brothers" to first- and second-year African American male students. The peer mentors will meet weekly with the students to guide them through and around pitfalls while leading them toward success. The mentors also will make sure the students are becoming involved in positive things on campus and check on their academic progress/performance throughout the semester to assist in retention efforts.
- Integrate diversity and global perspectives into the academic curriculum and into programs and services for the university community.
- Develop capstone courses focusing on diversity and multiculturalism.
- Incorporate a focus on diversity and multiculturalism in general education and first year experience courses as appropriate.

- Implement a system of responsibility, accountability, and recognition for advancing a multiculturally diverse campus community.

Goal 13: Diversify Faculty and Staff

Objective: To attract and retain a diverse faculty and staff at ASUJ.

Strategies:

- To fully implement ASUJ's five-year diversity plan; and to continue the university's Affirmative Action Policy.
- As positions become available, every college, department, and administrative unit will extend personal contacts to qualified minority candidates to assure them of ASUJ's commitment to diversity.
- To identify potential minority faculty from among our graduate students and temporary faculty, and provide professional development opportunities for junior faculty.
- To direct resources toward recruitment efforts to attract and retain qualified minority faculty in highly competitive disciplines, and qualified minority staff in highly competitive functions and services.

Goal 14: Increase Student Success

Objective: To improve retention and graduation rates of ASUJ students.

Strategies:

- Enhance the Restart@State intervention program for students placed on academic suspension. The program has helped 60 percent of "high academic risk" students to get on track to academic success.
- Continue development of the "College Choices" intervention program for students placed on academic probation at the conclusion of their first enrollment period. This program's objective is to steer students back on track before they go on academic suspension.
- Expand the Early Alert Program to identify and assist "at risk" students regardless of classification. Current

intervention measures concentrate on intrusive advising for first-year students, improvements in study skills, time management, and other academic skills.

- Increase the focus on, and availability of, learning assistance activities and programs.
    - Develop a ***Center for Student Success*** that provides multifaceted approaches to learning assistance which includes supplemental instruction (SI), peer tutoring, a learning diagnostics lab, video study sessions, group and problem-based learning and transitional instruction (developmental/remedial) and "Bridge Programs" for at-risk students.
- Develop a comprehensive academic advising system that promotes student success.
    - Increase academic advisor mentoring and training opportunities through the development of a ***Master Advisor Program*** for faculty.
    - Emphasize the importance of first year advising.
    - Develop career programming to target undecided majors.
    - Recognize and reward advising as teaching.
    - Implement an intrusive advising and intervention program.
    - Conduct regular assessments of advising practices.
- Develop programs and services that address the needs of non-traditional and under-represented students.
    - Increase availability of web-based courses and academic programs.
    - Increase evening and weekend course availability with a rotation schedule that allows for completion of academic programs in a timely manner.

Goal 15: Improve the quality of instruction and learning in developmental education.

Objective: To provide graduate level programming in developmental education disciplines to enhance instruction and learning in higher education institutions for underprepared students. (Note: Nationwide, there are few programs of study that focus on preparing higher education faculty for instruction of developmental course work. This program will prepare faculty for teaching in two- and four-year institutions within the state and region.)

Strategies:

- Offer graduate certificate and specialist training in the teaching of developmental education disciplines.
- Develop learning laboratories for enhancing the learning outcomes of underprepared students which will be used in conjunction with graduate programming.
- Encourage and support graduate and faculty research in developmental education.

Goal 16: Increase Numbers and Quality of Graduate Students

Objective: As ASUJ continues to move toward doctoral status as a university, masters and doctoral programs will be competing for the brightest students across the nation and abroad. Active recruitment programs and competitive graduate assistantships are essential for ASUJ to attract the most able students to work with faculty on research projects which are a part of the developing programs.

Strategies:

- Develop a Graduate Student Recruitment Scholarship. Many universities include a tuition waiver with their awards to graduate assistantships. While ASUJ has been waiving out-of-state tuition for graduate assistants for a number of years, the necessity of paying in-state tuition, combined with the fact that ASUJ stipend rates are not highly competitive, attributes to the fact that some of the most qualified students who would have otherwise chosen to attend ASUJ and work with ASUJ faculty cannot afford to do so. This scholarship would allow ASUJ to compete with other universities which offer higher stipends.
- Support administrative activities of the new Director of the Molecular Biosciences program to facilitate regional and national recruitment through interactions with regional undergraduate institutions, presentations at national meetings, national advertisements, and effective and compelling web pages.
- Develop innovative programs that incorporate cross-disciplinary and entrepreneurial experiences and internships for students.

Goal 17: Create new Professional Science Masters (PSM) Programs Along with other Applied Masters Programs.

Objective: The Professional Science Masters (PSM) is a two-year post-graduate degree for science and mathematics majors who are interested in a wider variety of career options than provided by current graduate programs in the fields of science and mathematics. Program graduates would have advanced training tailored to area and regional needs and would contribute to the economic growth of businesses and industries within the region.

Strategy:

- A PSM degree offers training in industry-specific skills – including business basics, project management, intellectual property, regulatory affairs, clinical trails management, and/or finance – along with advanced work in the student's discipline. These programs are developed in concert with industry and are designed to dovetail into present and future professional career opportunities. Programs consist of two years of training in an emerging or interdisciplinary area. Many include internships and "cross-training" in business and communications.

Goal 18: Expand Scholarships for 2-year Students who transition to ASUJ.

Objective: To expand the financial resources to fund transfer scholarships for two-year students to attend either ASUJ or one of the degree centers at Beebe or Mountain Home.

Strategy:

- Provide scholarships to cover tuition and fees up to 15 hours for a total of four semesters for 160 new transfer students per year.

Goal 19: Increase the Recruitment and Retention of Classified Employees

Objective: To improve the recruitment and retention of ASUJ classified staff through the funding of the merit pay program.

Strategies:

- The merit program for classified employees was reinstated with Act 688 of 2009. ASUJ would fully utilize this program to provide additional compensation opportunities for high performing classified employees with overall performance evaluation ratings as follows:
    - Satisfactory – 1.5% merit increase;
    - Above Average – 3%, and;
    - Exceeds Standards – 4.5%.

Goal 20: Improve the recruitment and retention of ASUJ faculty and non-classified staff.

Objective: To improve the recruitment and retention of ASUJ faculty and non-classified staff through more competitive salaries and professional development opportunities.

Strategies:

- Improve entry-level and existing chronically low salaries compared to regional market levels.
- Provide increased opportunities for relevant faculty and staff development.
- Recruit highly qualified faculty having multiple research applications to be used to further develop interdisciplinary areas of study.
- Institute mentoring programs and tenure/promotion workshops.

Goal 21: Increase Americans with Disabilities Act Compliance and Support

Objective: To make all academic and student support services accessible and supportive of students, faculty, and staff with disabilities.

Strategies:

- The enrollment of students with disabilities at ASUJ has increased significantly. Statistics indicate that one in every six students matriculating into higher education has a disability. Over 500 students with disabilities

currently utilize the programs offered by the ASUJ Office of Disability Services.

- Consequently, the demands placed upon the Office of Disability Services and this university to comply with the requirements and intent of Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act are greatly exacerbated.
- It is imperative that programs are implemented and that students feel comfortable in requesting and utilizing required accommodations. In many instances, a lack of access could negatively impact retention rates.

Goal 22: Enhance Funding for First Year Student Housing

Objective: To develop and implement a First Year Residential program and maximize the opportunity for successful retention of first year students.

Strategies:

- Reconfigure residential space and common area space into classrooms and advising centers accessible inside residence halls.
- Employ 60 Resident Assistants and Peer Mentors trained in student development. These paraprofessionals will live on the floors with the First Year students providing guidance and serving as role models.
- Provide funds to support faculty outreach programs designed to bring faculty members into the students' residence halls for educational, occupational, and service programs.
- Design and construct three "faculty in residence" apartments inside the residence halls. Faculty members will reside in these apartments. These faculty members will interact with residents formally and informally cultivating mentoring relationships.

Goal 23: Expand Experiential Learning in the Curricula

Objective: To enhance the quality of significant learning and discipline-specific skills development through the implementation of experiential and service learning experiences throughout the curricula.

Strategy:

- Fund 200 undergraduate research aide positions to be distributed across all disciplines, which will be supervised by faculty who engage in discipline-specific research and service activities designed to improve skills development and relevant learning within the discipline.

Goal 24: Expand innovative professional development opportunities for teachers in K-12 focusing on Arkansas history.

Objective: Assist teachers in the region in meeting legislatively mandated standards for professional development and in-service training.

Strategies:

- Utilize ASU's Delta Heritage SITES (System Initiatives for Teaching and Economic Support) to offer educational opportunities that focus on aspects of Arkansas history that have national significance.
- Expand on offerings at the Hemingway-Pfeiffer Museum and Educational Center at Piggott. During the summer 2006, more than 300 teachers participated in staff development workshops approved for credit through the Arkansas Department of Education. These teachers have requested that additional sessions be offered in the future.
- Develop classes similar to those offered at the Piggott Heritage SITE at the Southern Tenant Farmers Museum in Tyronza and the Lakeport Plantation at Lake Village.
- Develop a broad range of professional development opportunities that are in line with curriculum frameworks and incorporate fresh ideas and new approaches that will enhance teaching and learning.

PROGRAM 2: RESEARCH

Program Definition: Make improvements and expand the current research initiatives.

Goal 1: Increase Research Supportive Infrastructure

Objective: Facilitate fund raising efforts, equipment acquisition and maintenance, scholarly development and

compliance with federal guidelines.

Strategies:

- Institute workshops in grant writing.
- Assist with identifying funding opportunities for scholarly activities and support equipment.
- Institute and oversee institutional committees to ensure compliance with federal guidelines for biosafety, animal care and use, time and effort reporting, radiation safety, chemical safety and export controls.
- Support maintenance contracts on key instrumentation and infrastructure investments to ensure research competitiveness.
- Support travel to locations for exhibits, presentations or symposia participation.

Goal 2: Increase Expertise in Specific Research Clusters

Objective: Gain national and international prominence in multiple areas of expertise in faculty and staff scholarly activities.

Strategies:

- Enhance existing research clusters in Environmental Science and Toxicology; Laser Sensors and Applications; Learning-Centered Research, Evaluation and Implementation; and Heritage and Cultural Studies, through strategic faculty hires, enabling start up packages, seed grants, and graduate student support.
- Enhance emerging targeted research clusters in Plant Biotechnology, Food Science, and Technology
- Identity Management Solutions through multiple faculty hires, enabling start up packages, seed grants, and graduate student support.
- Enhance library access to scholarly publications—online and in print.

Goal 3: Achieve knowledge-based economic development in northeast Arkansas.

Objective: Enhance opportunities for faculty and staff in colleges and administrative departments to become entrepreneurial and to increase intellectual property-driven activities.

Strategies:

- File patent and copyright applications based on disclosures of inventions from faculty and staff.
- Pursue opportunities to license technology and copyrights to outside companies.
- Enable development of new companies from within the university community to capitalize on internal inventions and copyrights, and develop a technology incubator and research park.

Goal 4: Enhance and Integrate the Arkansas Biosciences Institute Initiative funded from the Tobacco Settlement Proceeds.

Objective: To effectively utilize the research and academic activities of the Arkansas Biosciences Institute (ABI) within Arkansas State University-Jonesboro, the community, region, and state.

Strategies:

- Provide support for the teaching and service activities of the ABI faculty.
- Develop, in conjunction with other ABI partners, a joint program of electronic journal access.
- Increase outreach activities using the proven interest in the plant biotechnology research conducted within ABI to increase interest in STEM disciplines.
- Provide mentoring programs to enhance research skills of non-ABI faculty through interactions with ABI researchers and staff.
- Provide support for the technology transfer and economic development activities of ABI faculty and staff.
- Create monthly seminar series bringing in nationally known speakers on a wide array of topics.
- Create monthly forums for community and press on appropriate issues of public concern. Develop a traveling ABI speakers' series to communicate ABI research activities to other institutions and constituencies throughout the state.

Goal 5: Establish an Institute for Environmental Sustainability

Objective: To establish ASUJ as a Research Institute bridging Agriculture, Industry, and the Environment.

Strategies:

- Research in the Institute will center on global issues of environmental sustainability in agricultural deltas.
- Integrating agriculture in the Arkansas Delta with research programs in the environmental sciences, faculty and students will work in cross-disciplinary research teams whose research centers on issues of environmental sustainability in the region, nationally, and internationally.
- Coordinate programs such as the federally funded Mississippi Embayment Ground Water Resources Study and the Delta Water Center and the on-going plant-based research of the ASUJ Biosciences Institute will lead to the development of a nationally and internationally renowned center of excellence.
- The Institute will foster a climate of collaboration and serve as a virtual research institute for research efforts in assessing the impact of agriculture (both historical and current) on the environment.
- Additional faculty hires would be targeted to the study of emerging issues such as phytoremediation that leverages the biotechnology work of the Arkansas Biosciences Institute with the environmental assessment expertise of ASUJ faculty. An additional focus will be an expansion of the Ecotoxicology Research Facility to include the issues associated with nanotechnology thus bridging environmental research with emerging industrial and medical sectors.
- The Institute will serve students and the community through internships, fellowships, and public forums/conferences designed to disseminate research and Institute developed technologies to the stakeholders of the region.

Goal 6: Enhance Agricultural Research and Education to Serve Eastern Arkansas

Objective: Expand support of the ASUJ Farm Complex to enable implementation of new research initiatives.

Strategy:

- The ASUJ Farm Complex requires extensive facilities upgrades in order to support new and expanded research initiatives, including expanded collaborations with the UA Division of Agriculture, USDA, EPA, and other state, regional, and national collaborators.

Goal 7: Expand Research in the Mississippi River Delta Region

Objective: Integrate research needs and opportunities in the Delta with the ASU Heritage Studies Ph.D. program.

Strategies:

- The Arkansas Delta is the most impoverished region in the state and one of the poorest regions in the nation, yet it has a rich and complex natural and cultural heritage that must be documented.
- Little research has been done to understand this region's comparative relationship with other river deltas in the world, other regions in the South, or the rest of Arkansas. Such comparative studies will continue as a focus of the Heritage Studies Ph.D. program.
- Much of the heritage of the Delta resides in oral tradition and must be systematically gathered and transcribed for use in further research and for the benefit of future generations. Already, the development of this region in the early 20th century is being lost as this generation passes.

PROGRAM 3: COMMUNITY SERVICE

Program Definition: Continue to closely align our campus services and academic programs with our community's needs.

Goal 1: Provide Student Affairs Internships.

Objective: Provide support for student education and professional development by funding Student Affairs internships. Students in professional programs such as Counseling Ed.S. and College Student Personnel Services M.S. require internship experience prior to graduation.

Strategies:

- Enable Student Affairs departments to attract and support promising future Student Affairs professionals through paid internship positions funded through part-time employment appropriations.
- Enable departments to expand professional services to the university community in a cost efficient manner.

Goal 2: Provide Academic and Professional Internships and Service Learning Opportunities.

Objective: Develop resources for internships and service learning opportunities for students to work within the community and Delta region.

Strategies:

- Partner students through internships or service learning opportunities with civic or cultural organizations (i.e. Spanish majors working at the Hispanic Community Center)
- Enable departments to expand professional services to the university, local and regional community, and government in a cost efficient manner (i.e. Center for Survey Research, Political Science Department)
- Partner students with local industry for research or professional internships.

Goal 3: Provide Public Facilities Operational and Maintenance Support

Objective: To obtain operational support that will enable ASUJ to provide cultural and community enrichment opportunities to Jonesboro and Northeast Arkansas residents.

Strategies:

- ASUJ supports community enrichment opportunities through public access to university facilities including, but not limited to the Fowler Center, the Dean B. Ellis Library, the ASU Museum, and the Center for Economic Development, the Equine Center, the football stadium, the Convocation Center, Regional Programs, and other

campus facilities.

- Funding for public use of these facilities would allow ASUJ to continue to offer access to our state taxpayers at a minimal charge.

Goal 4: Develop an Inter-modal Mass Transit, Pedestrian Access, and Parking System

Objective: To make ASUJ accessible and navigable by vehicular, pedestrian, and bimodal transportation methods.

Strategies:

- Construction of a tri-level parking garage located on the Southwest portion of campus will provide additional parking spaces to support growth in this region of campus; e.g., the Biosciences Research facility, a new College of Business building and the new Recreational/Athletic fields. Funds are needed for operational costs and bond debt payments.
- Development of a shuttle service to facilitate parking in locations on the periphery of the campus core. Individuals parking in the out-lying areas would have access to a shuttle which would transport them from vehicles to the campus core at appointed schedules during the day. This will have a double benefit of freeing up not only premium parking places, but lessening the vehicular traffic on campus, thus increasing safety. Funds are needed for operational costs and debt payments.

Goal 5: Expand programs that contribute to community economic development and secure operational support for Delta Heritage SITES.

Objective: Establish and secure operational support Delta Heritage SITES (System Initiatives for Teaching and Economic Support) to serve as an economic catalyst and educational laboratory in the Arkansas Delta region.

Strategies:

- ASU has developed the Hemingway-Pfeiffer Museum and Educational Center at Piggott, the Southern Tenant Farmers Museum in Tyronza, and the Lakeport Plantation in Lake Village.
- Each of these SITES tells a story of national significance and has the potential to attract tourists and preservation professionals from around the country establishing heritage tourism as an economic engine for the communities.
- Based on current tourism expenditures in the region, each SITE is projected to generate $1.2 million in direct tourism expenditures annually in each community.
- Evidence of the potential for these sites to stimulate economic development has been demonstrated in Piggott, where the community added 18 new tourism-related businesses within the first two years after opening the Hemingway-Pfeiffer Museum.
- These Heritage SITES, in conjunction with the ASU Museum, the Department of Arkansas Heritage, the Arkansas Parks and Tourism Department and other partners will provide preservation, heritage tourism and museum development assistance, and services to other communities within their respective regions.

Goal 6: Enhance Economic Development throughout the Delta.

Objective: Position the Delta Center for Economic Development as the entity to regionalize or bring together entities throughout the Delta to coordinate and facilitate continued Economic development for the area.

Strategies:

- Support the Delta Economic Development Center to adequately meet ADHE's requirement that economic development activities are a key component of the role, scope, and mission of academic institutions throughout the state.
- Facilitate the acquisition of and participation in the development of funding enhancement of the infrastructure of the Delta Center for Economic Development in order to expand/grow economic development activities throughout the state.

## ARKANSAS STATE UNIVERSITY-JONESBORO
## STATE TREASURY
## SERIES 11 NARRATIVE FOR ADDITIONAL APPROPRIATION

ARKANSAS STATE UNIVERSITY-JONESBORO is a formula driven entity and did not make a request for general revenue. The increase in general revenue funding is a result of the recommendation made by the Arkansas Higher Education Coordinating Board.

Use of New Funds:

| | 2011-12 | 2012-13 |
|---|---|---|
| 2% COLA Increase for all employees (Classified, Non-Classified & Faculty): | $ 1,272,324 | $ 1,297,770 |
| Increase in Fringe Benefits associated with 2% COLA & new Faculty Positions | 244,787 | 335,340 |
| Additional Faculty Positions - due to student growth | 371,892 | 1,149,920 |
| Inflationary cost increases for Maintenance & Operations | 378,435 | 423,730 |
| | $ 2,267,438 | $ 3,206,760 |

## ARKANSAS STATE UNIVERSITY-SYSTEM
## STATE TREASURY
## SERIES 11 NARRATIVE FOR ADDITIONAL APPROPRIATION

| | 2011-12 | 2012-13 |
|---|---|---|
| 2% COLA Increase for all employees (Classified & Non-Classified): | $ 29,192 | $ 37,841 |
| Fringe Benefits Changes | | 1,425 |
| Inflationary cost increases for Maintenance & Operations of System Office | | 9,199 |
| Inflationary cost increases for Travel | | 1,335 |
| Total | $ 29,192 | $ 49,800 |

## ARKANSAS STATE UNIVERSITY-HERITAGE SITES
## STATE TREASURY
## SERIES 11 NARRATIVE FOR ADDITIONAL APPROPRIATION

Fully fund Heritage SITES (Hemingway-Pfeiffer House in Piggott, Southern Tenant Farmers Museum in Tyronza, Lakeport Plantation at Lake Village & Heritage Center)

| | 2011-12 | 2012-13 |
|---|---|---|
| Classified Salaries (9 positions) | $ 228,110 | $ 6,843 |
| Non-Classified Salaries (15 positions) | 805,706 | 24,171 |
| Extra Help | 48,936 | 1,468 |
| Staff Benefits | 291,258 | 8,739 |
| Maintenance & Operations | 590,774 | 17,723 |
| Capital Outlay | 154,500 | 4,635 |
| Total | $ 2,119,284 | $ 63,579 |

## ARKANSAS STATE UNIVERSITY-JONESBORO
## CASH APPROPRIATION
## SERIES 11 NARRATIVE FOR ADDITIONAL APPROPRIATION

No changes were requested in Cash Appropriation.

**ARKANSAS STATE UNIVERSITY-JONESBORO**
**PERSONAL SERVICES REQUEST**
**SERIES 11 NARRATIVE**

**Classified Position Request:**

| | |
|---|---|
| 4 - Network Support Specialist | All four positions will be utilized to better align current job duties and responsibilities with appropriate title as defined by the Office of Personnel Management. |
| 1 - Systems Analyst | This position will serve as a full-time technology research specialist and will be responsible for researching new software and hardware technologies to meet the ever increasing demands for new uses of technology on campus. |
| 1 - Computer Support Specialist | This position is necessary to support the increase in servers, rapidly changing technologies and audit/security requirements to meet the demands for growing workloads and continue to maintain the level of services required. |
| 1 - Website Developer | The service needs of the institution continue to escalate with more services provide via web-based portals. This position is necessary to assist in the maintenance of the web content and will be utilized to build web applications and scripts for the ASUJ website. |
| 1 - Budget Specialist | This position is necessary to provide budget support in the area of the Office of International Programs which has required extra support due to the exponential growth in the area of international enrollment. |

| | |
|---|---|
| 2 - Information System Analyst | With the additional demands created by peripheral system growth, support staff cannot keep pace with user demands for automation and reporting support. These positions would provide support in the area of creating university-wide efficiency through the development of workflows and other enhanced programmatic techniques. |
| 1 - Information System Security Analyst | This position would be utilized to coordinate the Institutional IT security initiatives to be in compliance with The Higher Education Opportunity Act of 2008 (HEOA) |
| 4 - Assistant Registrar | These positions would provide much needed support for the registrar function at the university due to the continuing and future growth of the on-line educational programs provided by the university. |
| 4 - Financial Aid Analyst | These positions would provide much needed support for the financial aid function at the university due to the continuing and future growth of the on-line educational programs provided by the university. |
| 5 - Fiscal Support Analyst | These positions would provide additional support in budgetary analysis and oversight for upper level administration (Academic Deans, Chairs and Department Directors) as well as support for the continually growing level of grants received by the institution. |
| 1 - Multi-Media Specialist | This position would serve as the videographer for the institution which would be responsible for creating and maintaining multi-media content for the ASUJ website. |
| 4 - Call Center Specialist | These positions would be utilized to replace the existing HE Public Safety Dispatcher titles currently being used by the institution. This title would better align the job duties and responsibilities of the position with the appropriate title. |

| | |
|---|---|
| 4 - Admissions Analyst II | These positions would provide much needed support for the admission function at the university due to the continuing and future growth of the on-line educational programs provided by the university. |
| 10 - Administrative Specialist II | As ASUJ continues to expand in the areas of educational offerings, grant awards and student enrollment, so does the need for administrative support. These positions would provide positions which would provide for program growth over the next biennium. |
| 2 - Library Technician | One position would be utilized to appropriately title an existing employee and align the positions current duties and responsibilities with the appropriate title. An additional position is necessary due to the growth of on-line educational programs and would provide support to the growing number of students using this method of course delivery. |
| 15 - Heavy Equipment Operator | These positions would be utilized to support the landscape and hardscape needs of the campus. |

**Non-Classified Position Request:**

| | |
|---|---|
| 1 - Director of Interactive Teaching & Tech Cntr | This position would be utilized to more accurately align job duties and responsibilities with appropriate title. This position directs the efforts related to the teaching and learning of technologies in the classroom which enhances how faculty teach whether by distance education, on-line teaching, traditional classroom and/or a combination of all methods. |

| | |
|---|---|
| 1 - Archivist | This position will utilize specific archival skills and training to process, arrange, and describe manuscript and electronic record collections. These collections include both personal papers and administrative records covering a variety of topics and subject areas. The archivist will be responsible for several archival processing projects and their duties will include creating inventories, finding aids, and answering reference questions pertaining to the archives. They will be responsible for organizing and maintaining print and electronic collections according to archival standards in order to assure the long-term viability of unique resources. |
| 5 - Project/Program Specialist | These positions will be utilized to provide support for grant writing and pre-award preparation while interfacing with faculty and staff of the university who are seeking funding from external and internal sources for research, instruction or service functions. |
| 1 - Associate Registrar | This position is necessary to provide support for the registrar function of the university. This position would create custom built web tools for tracking legislative mandates such as textbooks, eight semester graduation guarantee, and remediation requirements. |
| 2 - Student Development Specialist | These positions would be utilized to provide recruiting support staff in the Northwest Arkansas, Missouri, Tennessee, Mississippi, Kentucky and other areas outside the state of Arkansas. These positions would also expand the use of social media outlets (Facebook and Twitter), our web search, lead generation partnerships with Hobson's and Cappex.com, and our Power Up web portal developed by Azorus to assist in the recruitment of students. |
| 2 - Academic Advisors | These positions are necessary to meet the needs of growing/expanding programs. |
| 20 - College of Business Faculty | These positions would be utilized to recruit and maintain high quality faculty within the College of Business. Existing line-item maximums are too low to provide salaries which |

| | |
|---|---|
| | are competitive in the external market. |
| 20 - Part-time Faculty | The growth of the off-campus and non-traditional student populations necessitates a proportional increase in the faculty numbers serving those students. Acquiring these positions provides the university the opportunity to partner with local communities and other educational institutions to identify experts in such fields as business, education, technology, agriculture, and health professions. Such experts are involved in the daily proactive of their chosen fields and can enhance our students' educational growth with real-life, timely, and practical applications of theory. |
| 20 - Graduate Assistant | The rapid expansion of the research activities at ASUJ and the integration of research into the academic mission have created the need for a large number of new graduate assistant positions. Many GA's will be employed on expanding grant opportunities while other positions are required in new Master's and Ph.D. programs for recruiting and student support. |

**ARKANSAS STATE UNIVERSITY-SYSTEM**
**PERSONAL SERVICES REQUEST**
**SERIES 11 NARRATIVE**

**Non-Classified Position Request:**

| | |
|---|---|
| 1 - Associate General Counsel | This position will serve as an assistant to the ASU-System general counsel for all campuses. This position prepares appellative briefs, presents oral arguments to the courts of review, drafts policies, procedures and other guidance documents for use by all campuses. |

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## INSTITUTION APPROPRIATION SUMMARY
## 2011-13 BIENNIUM

**INSTITUTION** **ARKANSAS STATE UNIVERSITY**

| | | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| | APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 | STATE TREASURY | 60,147,711 | | 62,155,303 | | 67,276,226 | | 83,236,084 | | 65,795,395 | | 85,941,511 | | 69,115,535 | |
| 2 | CASH | 55,499,000 | | 237,174,683 | | 237,174,683 | | 237,174,683 | | 237,174,683 | | 237,174,683 | | 237,174,683 | |
| 3 | ARKANSAS BIOSCIENCES INSTITUTE | 3,883,247 | | 3,118,442 | | 4,966,145 | | 5,139,960 | | 5,139,960 | | 5,319,859 | | 5,319,859 | |
| 4 | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | | | |
| 11 | TOTAL | $119,529,958 | 1,819 | $302,448,428 | 1,824 | $309,417,054 | 2,072 | $325,550,727 | 2,171 | $308,110,038 | 2,147 | $328,436,053 | 2,171 | $311,610,077 | 2,147 |
| | **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 12 | PRIOR YEAR FUND BALANCE* | 447,995 | 0% | 737,973 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 13 | GENERAL REVENUE | 53,941,889 | 45% | 55,858,938 | 18% | | | 77,678,276 | 24% | 60,237,587 | 20% | 80,383,703 | 24% | 63,557,727 | 20% |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUND | 5,878,074 | 5% | 5,557,808 | 2% | | | 5,557,808 | 2% | 5,557,808 | 2% | 5,557,808 | 2% | 5,557,808 | 2% |
| 15 | WORKFORCE 2000 | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 16 | CASH FUNDS | 55,499,000 | 46% | 237,174,683 | 78% | | | 237,174,683 | 73% | 237,174,683 | 77% | 237,174,683 | 72% | 237,174,683 | 76% |
| 17 | SPECIAL REVENUES | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 18 | FEDERAL FUNDS | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 19 | TOBACCO SETTLEMENT FUNDS | 3,883,809 | 3% | 3,118,442 | 1% | | | 5,139,960 | 2% | 5,139,960 | 2% | 5,319,859 | 2% | 5,319,859 | 2% |
| 20 | OTHER FUNDS | 617,164 | 1% | 584 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 21 | TOTAL INCOME | $120,267,931 | 100% | $302,448,428 | 100% | | | $325,550,727 | 100% | $308,110,038 | 100% | $328,436,053 | 100% | $311,610,077 | 100% |
| 22 | EXCESS (FUNDING)/APPROPRIATION | ($737,973) | | $0 | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $13,962,870 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $10,250,413 |
| INVENTORIES | $936,294 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | N/A |
| INSURANCE DEDUCTIBLES | $100,000 |
| MAJOR CRITICAL SYSTEMS FAILURES | |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $11,497,278 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | |
| OTHER (FOOTNOTE BELOW) | |
| UNRESERVED EDUCATIONAL & GENEREAL FUND BALANCE | ($8,821,115) |

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

ARKANSAS STATE UNIVERSITY-JONESBORO

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 51,207,069 | 48,134,410 | 53,140,670 | 55,380,755 |
| 2 | RESEARCH | 2,777,866 | 126,395 | 3,192,484 | 3,320,183 |
| 3 | PUBLIC SERVICE | 3,490,110 | 2,050,737 | 6,122,513 | 6,367,413 |
| 4 | ACADEMIC SUPPORT | 16,298,890 | 15,050,874 | 15,866,707 | 16,501,375 |
| 5 | STUDENT SERVICES | 8,919,419 | 6,379,843 | 8,603,138 | 8,947,263 |
| 6 | INSTITUTIONAL SUPPORT | 13,238,031 | 20,207,232 | 20,914,485 | 21,102,715 |
| 7 | PHYSICAL PLANT M&O | 12,364,742 | 13,094,410 | 13,552,714 | 14,094,823 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 17,628,156 | 19,270,109 | 19,655,511 | 20,048,621 |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | MANDATORY TRANSFERS | 2,889,483 | 3,541,559 | 3,665,514 | 3,848,789 |
| 14 | AUXILIARY TRANSFERS | 1,124,720 | 1,124,400 | 1,142,715 | 1,142,715 |
| 15 | NON-MANDATORY TRANSFERS | 11,137,482 | (476,000) | | |
| 16 | TOTAL UNREST. E&G EXP. | $141,075,968 | $128,503,969 | $145,856,450 | $150,754,654 |
| 17 | NET LOCAL INCOME | 82,913,932 | 69,487,168 | 84,572,211 | 86,263,655 |
| 18 | PRIOR YEAR BALANCE*** | | | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 51,660,295 | 53,496,258 | 55,726,431 | 58,933,191 |
| 20 | EDUCATIONAL EXCELLENCE | 5,878,074 | 5,557,808 | 5,557,808 | 5,557,808 |
| 21 | WORKFORCE 2000 | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | |
| 23 | OTHER STATE FUNDS ** | 623,667 | | | |
| 24 | TOTAL SOURCES OF INCOME | $141,075,968 | $128,541,234 | $145,856,450 | $150,754,654 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

**Other State Funds:**

| | | | |
|---|---|---|---|
| GIF | $ | 489,959 | Restored RSA funding cut on May 4, 2010 |
| Tuition Adjustment | | 45,147 | |
| M & R Transfer | | 88,561 | |
| | | 623,667 | |

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

ARKANSAS STATE UNIVERSITY-SYSTEM

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | NON-CLASSIFIED SALARIES | 1,437,440 | 1,467,234 | 1,637,684 | 1,637,684 | 1,686,814 | 1,686,814 |
| 2 | CLASSIFIED SALARIES | 110,474 | 116,725 | 119,059 | 119,059 | 122,630 | 122,630 |
| 3 | STAFF BENEFITS | 350,843 | 422,624 | 461,999 | 461,999 | 475,859 | 475,859 |
| 4 | EXTRA HELP | 0 | 0 | 0 | 0 | 0 | 0 |
| 5 | MAINTENANCE & OPERATIONS | 543,789 | 459,936 | 501,625 | 501,625 | 515,161 | 515,161 |
| 6 | CAPITAL OUTLAY | 0 | 0 | 0 | 0 | 0 | 0 |
| 7 | TRAVEL | 0 | 44,500 | 44,500 | 44,500 | 45,835 | 45,835 |
| 8 | DEBT SERVICE | 0 | 0 | 0 | 0 | 0 | 0 |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $2,442,546 | $2,511,019 | $2,764,866 | $2,764,866 | $2,846,299 | $2,846,299 |
| 17 | NET LOCAL INCOME | 139,313 | 148,339 | 151,306 | 151,306 | 154,332 | 154,332 |
| 18 | PRIOR YEAR BALANCE*** | | | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 2,281,594 | 2,362,680 | 2,613,560 | 2,391,872 | 2,691,967 | 2,441,673 |
| 20 | EDUCATIONAL EXCELLENCE | | | | | | |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS ** | 21,639 | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $2,442,546 | $2,511,019 | $2,764,866 | $2,543,178 | $2,846,299 | $2,596,005 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

**Other State Funds:**

GIF $ 21,639 Restored RSA funding cut on May 4, 2010

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

ARKANSAS STATE UNIVERSITY-HERITAGE SITES

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | NON-CLASSIFIED SALARIES | 0 | 0 | 805,706 | 805,706 | 829,877 | 829,877 |
| 2 | CLASSIFIED SALARIES | 0 | 0 | 228,110 | 228,110 | 234,953 | 234,953 |
| 3 | STAFF BENEFITS | 0 | 0 | 291,258 | 291,258 | 299,997 | 299,997 |
| 4 | EXTRA HELP | 0 | 0 | 48,936 | 48,936 | 50,404 | 50,404 |
| 5 | MAINTENANCE & OPERATIONS | 0 | 0 | 590,774 | 590,774 | 608,497 | 608,497 |
| 6 | CAPITAL OUTLAY | 0 | 0 | 154,500 | 154,500 | 159,135 | 159,135 |
| 7 | TRAVEL | 0 | 0 | 0 | 0 | 0 | 0 |
| 8 | DEBT SERVICE | 0 | 0 | 0 | 0 | 0 | 0 |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $0 | $0 | $2,119,284 | $2,119,284 | $2,182,863 | $2,182,863 |
| 17 | NET LOCAL INCOME | 0 | 0 | | | | |
| 18 | PRIOR YEAR BALANCE*** | | | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 0 | 0 | 2,119,284 | 2,119,284 | 2,182,863 | 2,182,863 |
| 20 | EDUCATIONAL EXCELLENCE | | | | | | |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS ** | | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $0 | $0 | $2,119,284 | $2,119,284 | $2,182,863 | $2,182,863 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

ARKANSAS STATE UNIVERSITY-JONESBORO
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 61,238,906 | 60,214,123 | 62,463,684 | 63,712,958 |
| 2 | ALL OTHER FEES | 3,597,872 | 1,364,292 | 3,669,829 | 3,743,226 |
| 3 | OFF-CAMPUS CREDIT | 5,463,147 | 4,220,123 | 5,572,410 | 5,683,858 |
| 4 | NON-CREDIT INSTRUCTION | 2,894,186 | 1,042,148 | 2,952,070 | 3,011,111 |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | 778,772 | 584,900 | 0<br>794,347 | 0<br>810,234 |
| 6 | INVESTMENT INCOME | 1,079,284 | 400,000 | 1,100,870 | 1,122,887 |
| 7 | OTHER CASH INCOME: | 7,861,765 | 1,661,582 | 8,019,000 | 8,179,380 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 82,913,932 | 69,487,168 | 84,572,211 | 86,263,655 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $82,913,932 | $69,487,168 | $84,572,211 | $86,263,655 |

FORM 11-3

| **Other Cash Income:** | **Actual 2009-2010** | **Budgeted 2010-2011** |
|---|---|---|
| Federal Grants | $ 1,259,165 | $ 327,272 |
| State Grants | 600,284 | 100,000 |
| Private & Local Grants | 4,382,623 | 100,000 |
| Rental & Lease Income | 177,351 | 0 |
| Other Miscellaneous Income | 1,442,342 | 1,134,310 |
| **Total** | **$ 7,861,765** | **$ 1,661,582** |

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

ARKANSAS STATE UNIVERSITY-SYSTEM
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | | | | |
| 2 | ALL OTHER FEES | | | | |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | | | | |
| 7 | OTHER CASH INCOME: | 139,313 | 148,339 | 151,306 | 154,332 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 139,313 | 148,339 | 151,306 | 154,332 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $139,313 | $148,339 | $151,306 | $154,332 |

FORM 11-3

| **Other Cash Income:** | **Actual 2009-2010** | **Budgeted 2010-2011** |
|---|---|---|
| Transfer from Foundation | 139,313 | 148,339 |
| **Total** | **$ 139,313** | **$ 148,339** |

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CKA0000 INSTITUTION ARKANSAS STATE UNIVERSITY-JONESBORO APPROPRIATION 299

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 47,360,092 | 48,737,973 | 53,069,859 | 49,705,069 | 52,190,322 | | |
| 2 | EXTRA HELP WAGES | | 60,000 | 72,405 | 60,000 | 60,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 6,135,385 | 6,550,000 | 6,660,651 | 6,763,927 | 7,102,123 | | |
| 5 | OPERATING EXPENSES | 6,063,673 | 6,106,746 | 6,366,435 | 6,447,115 | 6,880,227 | | |
| 6 | CONFERENCE FEES & TRAVEL | | 0 | 56,876 | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | 200,000 | 200,000 | 200,000 | 200,000 | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | 500,000 | 500,000 | 500,000 | 500,000 | 500,000 | | |
| 11 | M & R EXPENSES | 88,561 | 584 | | | | | |
| 12 | HEMINGWAY-PFEIFER HOUSE, TENANT FARMERS MUSEUM, LAKEPORT PLANTATION, AND THE HERITAGE CENTER EXPENSES | | 0 | 350,000 | 2,119,284 | 2,182,863 | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $60,147,711 | $62,155,303 | $67,276,226 | $65,795,395 | $69,115,535 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 447,995 | 737,973 | | | | | |
| 16 | GENERAL REVENUE | 53,941,889 | 55,858,938 | | 60,237,587 | 63,557,727 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | 5,878,074 | 5,557,808 | | 5,557,808 | 5,557,808 | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 617,726 | 584 | | | | | |
| 22 | TOTAL INCOME | $60,885,684 | $62,155,303 | | $65,795,395 | $69,115,535 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($737,973) | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

*** Miscellaneous contains appropriation for ASU-Heritage SITES (Hemingway-Pfeifer House, Tenant Farmers Museum, Lakeport Plantation & Heritage Center)

| **Other State Treasury Funds:** | **Actual 2009-2010** | |
|---|---|---|
| Tuition Adjustment | $ 45,147 | |
| GIF (Restored RSA funding cut on May 4, 2010) | 511,599 | |
| M & R Transfer | 88,561 | 584 |
| Other Transfers out | (27,581) | |
| Total | $ 617,726 | |

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND TSF0100 INSTITUTION ARKANSAS STATE UNIVERSITY-JONESBORO APPROPRIATION 318
ARKANSAS BIOSCIENCES INSTITUTE

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 1,602,265 | 1,718,032 | 1,978,969 | 2,048,233 | 2,119,921 | | |
| 2 | EXTRA HELP WAGES | 51,000 | 15,000 | 15,000 | 15,000 | 15,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 368,995 | 399,781 | 510,506 | 528,374 | 546,867 | | |
| 5 | OPERATING EXPENSES | 1,307,216 | 870,629 | 2,312,170 | 2,393,096 | 2,476,854 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | 553,771 | 115,000 | 149,500 | 155,258 | 161,217 | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $3,883,247 | $3,118,442 | $4,966,145 | $5,139,960 | $5,319,859 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | | | | | | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | 3,883,809 | 3,118,442 | | 5,139,960 | 5,319,859 | | |
| 21 | OTHER STATE TREASURY FUNDS*** | (562) | | | | | | |
| 22 | TOTAL INCOME | $3,883,247 | $3,118,442 | | $5,139,960 | $5,319,859 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

***Other Transfers Out

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: Arkansas State University - Jonesboro

Program: ASU-AR Biosciences Institute

Act #: 90 Section(s) #: 3 & 4

Estimated Carry Forward $ 125,000.00 Funding Source: Tobacco Settlement

**Accounting Information:**

Business Area: 0125 Funds Center: 318 Fund: TSF Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

Carry forward is requested to facilitate the continuation of faculty research projects in agriculture, medicine, and environmental science.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. G. Daniel Howard — Chancellor

08-26-2010 — Date

## APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2050000 INSTITUTION ARKANSAS STATE UNIVERSITY-JONESBORO APPROPRIATION A70

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 17,704,056 | 22,032,300 | 22,032,300 | 22,032,300 | 22,032,300 | | |
| 2 | EXTRA HELP WAGES | 8,360,551 | 13,551,373 | 13,551,373 | 13,551,373 | 13,551,373 | | |
| 3 | OVERTIME | | 200,000 | 200,000 | 200,000 | 200,000 | | |
| 4 | PERSONAL SERVICES MATCHING | 7,232,413 | 14,459,570 | 14,459,570 | 14,459,570 | 14,459,570 | | |
| 5 | OPERATING EXPENSES | 12,293,597 | 45,792,069 | 45,792,069 | 53,947,069 | 53,947,069 | | |
| 6 | CONFERENCE FEES & TRAVEL | | 4,029,129 | 4,029,129 | 4,029,129 | 4,029,129 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 1,371,748 | 10,947,230 | 10,947,230 | 10,947,230 | 10,947,230 | | |
| 8 | DATA PROCESSING | | 8,155,000 | 8,155,000 | 0 | 0 | | |
| 9 | CAPITAL OUTLAY | 7,219,395 | 11,710,654 | 11,710,654 | 11,710,654 | 11,710,654 | | |
| 10 | CAPITAL IMPROVEMENTS | | 93,972,358 | 93,972,358 | 93,972,358 | 93,972,358 | | |
| 11 | DEBT SERVICE | 1,206,206 | 8,000,000 | 8,000,000 | 8,000,000 | 8,000,000 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | | 4,000,000 | 4,000,000 | 4,000,000 | 4,000,000 | | |
| 13 | PROMOTIONAL MATERIALS | 111,034 | 200,000 | 200,000 | 200,000 | 200,000 | | |
| 14 | RESALE | | 125,000 | 125,000 | 125,000 | 125,000 | | |
| 15 | | | | | | | | |
| 16 | CONTINGENCY | | | | | | | |
| 17 | TOTAL APPROPRIATION | $55,499,000 | $237,174,683 | $237,174,683 | $237,174,683 | $237,174,683 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | | | | | | | |
| 20 | FEDERAL CASH FUNDS | | | | | | | |
| 21 | OTHER CASH FUNDS | 55,499,000 | 237,174,683 | | 237,174,683 | 237,174,683 | | |
| 22 | TOTAL INCOME | $55,499,000 | $237,174,683 | | $237,174,683 | $237,174,683 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 1,781 | 1,786 | ****2024 | 2,123 | 2,099 | |
| TOBACCO POSITIONS | 38 | 38 | 48 | 48 | 48 | |
| EXTRA HELP ** | 911 | 911 | 2,114 | 2,114 | 2,114 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

**** Authorized column includes 20 additional 12-month faculty and 20 additional 9-month faculty positions from the growth pool.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

ARKANSAS STATE UNIVERSITY-JONESBORO
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 7,974,574 | 11,618,338 | | ($3,643,764) | 8,358,513 | 11,342,830 | 0 | ($2,984,317) |
| 2 RESIDENCE HALL | 8,948,835 | 4,032,117 | 3,584,658 | 1,332,060 | 9,344,815 | 4,471,904 | 4,711,369 | 161,542 |
| 3 MARRIED STUDENT HOUSING | 1,503,029 | 402,819 | 952,196 | 148,014 | 1,601,969 | 420,414 | 948,410 | 233,145 |
| 4 FACULTY HOUSING | 139,494 | 28,534 | | 110,960 | 287,892 | 129,800 | 0 | 158,092 |
| 5 FOOD SERVICES | 731,026 | 197,731 | | 533,295 | 400,000 | 227,834 | 0 | 172,166 |
| 6 COLLEGE UNION | 2,399,504 | 1,134,647 | 1,199,492 | 65,365 | 2,377,000 | 1,273,509 | 1,196,524 | (93,033) |
| 7 BOOKSTORE | 222,143 | 62,245 | | 159,898 | 222,143 | 68,000 | 0 | 154,143 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | 136,800 | 222,699 | | (85,899) | 171,000 | 207,721 | 0 | (36,721) |
| 9 STUDENT HEALTH SERVICES | | | | 0 | 0 | 0 | 0 | 0 |
| 10 OTHER | 3,814,503 | 3,572,186 | 408,733 | (166,416) | 3,317,944 | 2,702,044 | 0 | 615,900 |
| 11 SUBTOTAL | $25,869,908 | $21,271,316 | $6,145,079 | ($1,546,487) | $26,081,276 | $20,844,056 | $6,856,303 | ($1,619,083) |
| 12 ATHLETIC TRANSFER ** | 1,124,720 | | | 1,124,720 | 1,124,400 | | | 1,124,400 |
| 13 OTHER TRANSFERS *** | 231,334 | | | 231,334 | 494,683 | | | 494,683 |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | $27,225,962 | $21,271,316 | $6,145,079 | ($190,433) | $27,700,359 | $20,844,056 | $6,856,303 | $0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

| | Actual 2009-2010 | | | | Budgeted 2010-2011 | | | |
|---|---|---|---|---|---|---|---|---|
| Other: | Income | Operating Expenses | Debt Service | Net Income | Income | Operating Expenses | Debt Service | Net Income |
| Farms | 69,880 | 6,813 | 0 | 63,067 | 78,800 | 10,230 | 0 | 68,570 |
| Vending | 357,487 | 0 | 0 | 357,487 | 521,900 | 149,500 | | 372,400 |
| Convocation Center | 1,634,646 | 2,150,384 | 0 | (515,738) | 1,579,533 | 1,551,972 | 0 | 27,561 |
| Post Office | 18,491 | 105 | 0 | 18,386 | 19,491 | 6,000 | | 13,491 |
| Copy Machines | 4,763 | 9,638 | 0 | (4,875) | 10,000 | 10,000 | | 0 |
| Career Bonus | | | | | 0 | 33,448 | 0 | (33,448) |
| Parking | 1,309,833 | 480,071 | 408,733 | 421,029 | 1,094,000 | 462,226 | 407,726 | 224,048 |
| Property Management | 183,625 | 109,967 | 0 | 73,658 | 14,220 | 70,942 | 0 | (56,722) |
| Arkansas Services Center | 235,778 | 815,208 | 0 | (579,430) | 0 | 0 | 0 | 0 |
| | $ 3,814,503 | $ 3,572,186 | $ 408,733 | $ (166,416) | $ 3,317,944 | $ 2,294,318 | $ 407,726 | $ 615,900 |

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

ARKANSAS STATE UNIVERSITY-JONESBORO
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: 1521
(As of November 1, 2009 )

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 126 | Black Male: | 16 | Other Male: | 17 | Total | Male: | 159 |
| White Female: | 210 | Black Female: | 29 | Other Female: | 10 | Total | Female: | 249 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | 0 | Black Male: | 0 | Other Male: | 0 | Total | Male: | 0 |
| White Female: | 0 | Black Female: | 0 | Other Female: | 0 | Total | Female: | 0 |
| Classified Employees: | | | | | | | | |
| White Male: | 216 | Black Male: | 28 | Other Male: | 4 | Total | Male: | 248 |
| White Female: | 331 | Black Female: | 48 | Other Female: | 7 | Total | Female: | 386 |
| Faculty: | | | | | | | | |
| White Male: | 197 | Black Male: | 12 | Other Male: | 29 | Total | Male: | 238 |
| White Female: | 196 | Black Female: | 28 | Other Female: | 17 | Total | Female: | 241 |
| Total White Male: | 539 | Total Black Male: | 56 | Total Other Male: | 50 | Total | Male: | 645 |
| Total White Female: | 737 | Total Black Female: | 105 | Total Other Female: | 34 | Total | Female: | 876 |
| Total White: | 1,276 | Total Black: | 161 | Total Other: | 84 | Total | Employees: | 1,521 |
| | | | | **Total Minority:** | 245 | | | |

FORM 11-8

| | |
|---|---|
| *Finding No.1:* | **Arkansas State University-Jonesboro**<br>The University Internal Audit Department (IAD) reported instances of misappropriation of assets in the Childhood Services Department. According to IAD, Arkansas State Police arrested an employee, who was terminated, on suspicion of theft of property in July 2009. As of report date, law enforcement agencies, in conjunction with IAD, have an ongoing investigation of this matter. We will issue a report upon completion of the investigation. |

| | |
|---|---|
| *Finding No.2:* | **Information System Management Letter Finding**<br>**Arkansas State University-Jonesboro**<br>**NETWORK SECURITY:**<br><br>Network security should be utilized and kept current to prevent unauthorized personnel from gaining access to network/network resources.<br><br>Review of External Internet Protocol port scans and firewall configuration revealed potential vulnerabilities that, if exploited, could lead to unauthorized access of network resources.<br><br>The potential exists for unauthorized usage of computing assets through the use of exploited device ports or weak firewall configuration rules. |

| | |
|---|---|
| *Institution's Response:* | The University is currently developing policies and procedures to address these vulnerabilities. A planned weaknesses and access control issues, pending funding approval. |

**Investigative Report – Review of Selected Transactions of the Childhood Development Associate Program as requested by the institution:**

Arkansas State University System Internal Audit determined, and this review confirmed, CDA Program Coordinator, Virginia DeMaine, whose employment was terminated on July 15, 2009, misappropriated CDA Program fees of $747,190 during the period August 7, 2002 through August 7, 2009. Of this amount, $733,009 remains due the University.

Demaine was charged with one count of theft of property on September 18, 2009 and trial has been scheduled for March 18, 2010.

The University is pursuing a civil suit against DeMaine and the bank in which these funds were deposited.

This report has been forwarded to the Second Judicial District Prosecuting Attorney, Federal Bureau of Investigation (FBI), and ASP. As of report date, FBI and ASP have ongoing investigations.

The basis of all institutional goals, objectives, and plans at Arkansas Tech University is founded in the Role and Scope of the University as determined by the State of Arkansas and the University Mission Statement approved by the Board of Trustees.

**Arkansas Tech University operates with one preeminent goal and purpose: to produce, for the benefit of our students and the people of Arkansas, the highest quality instruction and service which is possible within limits of the resources over which we have been appointed as stewards.**

All other activity on our campus, be it research, public service, outreach, student services, the administration of faculty and personnel polices, management of fiscal resources, the planning, construction and maintenance of the physical plant, private fund raising, or student extracurricular activities, is designed to augment, enhance and supplement this primary purpose of high quality instruction.

To ensure the orderly pursuit of this goal, Arkansas Tech University has engaged in a Strategic Planning process involving the entire campus community, which has been assisted and facilitated by the most outstanding higher education authority and consulting services in the United States. The University completed a major update of our existing Strategic Plan during the 2006-07 Academic Year.

Arkansas Tech University (Tech) is presently in the midst of its sixteenth year of implementation of this campus-wide strategic plan. Great strides have been made towards meeting priorities objectives set forth in the plan. We propose to:

- **Enhance the creation and delivery of first quality education services.**

Since 1995, Tech has established 58 new programs of study at various levels. Accreditation of Programs has been achieved or renewed in emergency administration and management (this is the first accredited program in the US), business, teacher education, nursing, medical assisting, health information management, electrical and mechanical engineering, computer science, Information systems, parks and recreation, hospitality administration, music, chemistry, practical nursing, cosmetology, automotive technology, paramedic/EMT, and physical therapist assistant.

- **Improve enrollment management by focusing on student success.**

Student enrollment has grown by 108% percent since 1997. Since 1995, each incoming freshman class has had average test scores and grades which were above the Arkansas, Southern Region, and National averages. Tech has won national awards for its retention programs, and a new first year orientation to the university course has been established for freshmen. Graduation and retention rates have consistently been above the average for Arkansas public colleges and universities.

- **Develop the physical plant to be appropriate to the university mission.**

Over $167 million dollars have been committed to new building, renovations, and the purchase of new instructional equipment during this period, while fiscal management of the University has remained sound. This has been accomplished in spite of many years of underfunding that occurred before the implementation by the General Assembly in 2005 of the state funding formula for higher education.

- **Expand university partnerships with private individuals, corporations, and foundations.**

Over $35 million in private funding has been received during the period since 1995, while the University endowment has grown ten fold.

- **Effectively market the university.**

With the approval of ADHE and within the guidelines provided by the General Assembly, an effective marketing plan has begun.

**Our Detailed Strategies:**

**Goal One: Enhance the creation and delivery of first quality education services**

- Develop and implement an Agriculture Education baccalaureate degree

**Enhance graduate offerings to enable Tech to achieve SREB four-year 3 status.**

- Evaluate the number, role, and compensation of graduate assistants
- Develop and implement a doctoral program in Executive Leadership (Ed.D.)
- Implement a Masters of Art in Teaching degree
- Develop and implement a mechanical engineering focus in the Master of Engineering degree
- Develop and implement a management focus in the Master of Engineering degree
- Implement the Master of Science in Health Infomatics degree

**Develop and implement a comprehensive master plan to increase retention and graduation rates.**

- Identify and implement strategies to increase class attendance
- Optimize use of technology to track class attendance and monitor retention data
- Develop a summer program to facilitate transition from high school to university
- Focus on special needs of first generation, minority, and developmental students
- Increase success rates in remedial courses, especially mathematics
- Fund grants to support innovative retention projects

**Increase emphasis and support for a campus culture of assessment.**

- Achieve accreditation of all eligible academic programs
- Focus on assessment and improvement of all academic programs
- Ensure that all academic departments have an effective assessment process
- Emphasize assessment and improvement of the general education program

**Develop and implement a master plan for distance education.**

- Provide accessible and frequent training opportunities for faculty and students
- Increase support for web, compressed video, and mixed technology courses
- Publish a manual containing best practices and expectations for distance courses

- Ensure effective  assessment of distance courses

**Strengthen the development of faculty and staff human resources.**

- Continue operation of the Center for Teaching and Learning to provide faculty and staff development opportunities
- Use the resources of the Arkansas Research and Eduation Optical Network (ARE-ON) to enhance faculty collaboration and leverage existing resources:  applications from Internet 2 and the National Lambda Rail

**Goal Two: Improve enrollment management by focusing on student success**
**Create a Freshmen Unit.**

- Focus on continuous improvement of services to students
- Create a seamless first year experience including orientation and advising
- Increase individual student and faculty contact time

**Establish annual institutional enrollment goals with appropriate financial aid and other assistance to support these goals.**

- Focus on improving the quality of our students
- Make student enrollment process easier for students (user-friendly)
- Review admission requirements

**Revise Career Services with focus on practicums, internships, cooperative education programs, employer services and placement (internal and external).**

**Goal Three: Develop the Physical Plant to be appropriate to the University mission**
**Plan for new construction to include sufficient parking with an eye toward solid growth and program efficiency.**

- Construct additional housing facilities as needed
- Renovate classroom facilities that are obsolete

**Continue implementing a master plan for the use of campus facilities including critical maintenance issues.**

- New Classroom
- Upgrade or construct athletic facilities
- Renovate existing educational and general buildings and housing facilities
- Address critical maintenance issue as funds are made available
- Continue upgrading campus landscaping and grounds and where possible have green areas.

**Establish a maintenance technology system that will provide information concerning the status of projects and other operational issues**.

- Evaluate campus utility usage with the intent to maximize efficiency
- Electronic work orders and accessible data base
- Interactive website for each major construction project

**Goal Four: Expand university partnerships with private individuals, corporations, and foundations**

**Cultivate the University's relationships with alumni, students, friends, and partnering organizations through outreach, education, and mutual support.**

**Develop partnerships with all constituencies by providing opportunities for new, continued, and renewed involvement.**

**Communicate the impact of the Tech experience as it relates to the success, life-long learning, and productive citizenship of current and future Tech alumni.**

**Actively seek support and aid to increase student access and persistence in higher education through activities and funding that will enhance the student experience at Tech.**

- Identify and promote the accomplishments and activities of faculty, staff, and students as a basis for attracting support and partnerships

**Goal Five: Effectively market the university**

**Continuously elevate the Arkansas Tech Brand.** Recognizing the importance of image in the college selection process as well as in fundraising efforts, Arkansas Tech University will strive for continuous improvement of our brand among high school students and their influencers, alumni, current students, and the community.

- Integrate all university marketing communications for brand consistency and budget effectiveness
- Develop necessary on-campus communications services in order to save money, streamline our efforts and allow for higher output
- Increase exposure through media relations and public relations
- Energize the visual image of the university by updating word marks and logos
- Develop a licensing program
- Explore and harness new media opportunities
- Allocate marketing budgets to remain competitive against other universities in the region
- Develop and execute annual external communications plans to include advertising, direct mail, public relations, and web-based marketing
- Improve and update web presence and web communications

**Ensure Stakeholder Satisfaction.**

Addressing the need to connect with students, faculty, staff, alumni, parents, communities, and government officials, the university will streamline internal communication, expand on communication vehicles, and enhance delivery of Arkansas Tech's message to neighboring communities as well as throughout the state and region. Beyond delivery of messages, the university will boost services and support offerings to enrich existing relationships and foster new bonds with stakeholders.

- Enhance internal communications

**Mission Statement:**
Arkansas Tech University, a state-supported institution of higher education, is dedicated to nurturing scholastic development, integrity, and professionalism. The University offers a wide range of traditional and innovative programs which provide a solid educational foundation for life-long learning to a diverse community of learners.

| **General Revenue Request Fund 2100000 Appropriation 567** | **FY 2011-12** | **FY 2012-13** |
|---|---|---|
| Arkansas Tech University is a formula driven entity and did not make a request for general revenue. The increase in general revenue funding is a result of the recommendation made by the Arkansas Higher Education Coordinating Board. Additional general revenue funding for the 2011-13 Biennium is: | $805,673 | $1,214,387 |

During the last three years, our student population has increased as follows:

| | Headcount | Number | Percentage |
|---|---|---|---|
| Fall 2008 | 7,492 | | |
| Fall 2009 | 8,814 | 1,322 | 17.65% |
| Fall 2010 | 9,801 | 987 | 11.20% (unofficial, as of 11th class day) |

**Changes in Physical Plant**

Since 2008 we have added 261,173 gross square feet of building space composed in 21 buildings. During that same period of time, the maintenance needs on all of our facilities have increased from $139,884,458 in 2008 to $155,440,479 in 2010 and $8,294,400 of the maintenance needs are classified as critical. Detailed calculations of this information can be found in the F.A.P. 2010 Facilities Audit Program submitted to the Arkansas Department of Higher Education in March of 2010. We will apply the additional funding listed in this request to:

- Compensate existing employees

- Add new faculty and staff to support out growing student population
- Added utility and maintenance costs that have been generated by expanding our building square footage
- Purchase additional supplies and support items
- Provide state of the art technology and related instructional items to support our Academic Mission
- Expand and support new programs of study
- When possible, address some of our critical maintenance issues

| **Cash Fund Request Fund 2100000 Appropriation B11** | | **FY 2011-12** | **FY 2012-13** |
|---|---|---|---|
| 02 | Extra Help Wages | 500,000 | 250,000 |
| 03 | Overtime | (2,000) | -0- |
| 05 | Operating Expenses | 700,000 | 249,899 |
| 07 | Professional Fees and Services | (500,000) | -0- |
| 09 | Capital Outlay | (197,000) | (499,899) |
| 10 | Capital Improvements | (250,000) | -0- |
| 12 | Fund Transfers, Refunds, Investments | (200,000) | -0- |
| Net Change | | -0- | -0- |

The Cash Fund Appropriation Request remains the same for each year of the 2011-13 biennium as for FY 2010-11 appropriated. We have made some adjustments in the various appropriation line items. The re-allocation of line item amounts will be used to:

- Compensate existing employees
- Add new faculty and staff to support out growing student population
- Added utility and maintenance costs that have been generated by expanding our building square footage
- Purchase additional supplies and support items

- Provide state of the art technology and related instructional items to support our Academic Mission
- Expand and support new programs of study
- When possible, address some of our critical maintenance issues

**Personnel Requests**

**Director of Gift Planning**
**Requested Positions: 1**
Arkansas Tech University requests one (1) new Director of Gift Planning position for the 2011-2013 Biennium to serve the University in the area of principal gifts and planned giving. The cultivation, solicitation, and stewardship of principal and deferred gifts for the support of the university requires a broad exposure to all facets of fundraising including annual fund and major gifts. Arkansas Tech values the relationships it builds with alumni and friends whose philanthropy and engagement provide the margin of excellence essential to the university's mission. This position will play a pivotal role in communicating the university's strengths and encouraging support for current and future needs.

**Project/Program Administrators: (three titles requested)**
Project/Program Director
Project/Program Manager
Project/Program Specialist
**Requested Positions: 8**
Tech has experienced significant growth since 1997 as illustrated by the following data:

| Description | 1997 | 2009-10 | Net Change % |
|---|---|---|---|
| Student Headcount | 4,238 | 8,814 | 108% |
| SSCH Produced | 53,747 | 107,950 | 101% |

| | | | |
|---|---|---|---|
| Programs | | | |
| • Certificates of Proficiency | 0 | 3 | |
| • Technical Certificates | 0 | 16 | |
| • Associate | 5 | 13 | 160% |
| • Bachelor | 41 | 52 | 27% |
| • Masters | 7 | 23 | 229% |
| • Educational Specialist | 0 | 1 | |
| Full-Time Faculty | 187 | 293 | 57% |
| International Student Population | 61 | 288 | 372% |
| Students Graduated | 773 | 1,597 | 107% |

It is difficult for external parties to understand the additional responsibility and complexity that occurs from rapid student population growth. The most significant items that need to be considered are:

- Full-Time Faculty need to be hired so the best possible education can be provided.
- Recruitment, Admission and Academic Advising play a key role in the educational process.
- Student Services must be able to respond with programs that include Counseling, Housing, Activities, Intramurals, Career Planning and Placement, Health and Wellness and many other activities that help to make a complete campus.
- The increase in graduate programs and students has resulted in a new SREB reclassification to a four year, category four (4) institution. The growth from this change will impact faculty and graduate assistants.
- The addition of our Ozark campus (Arkansas Valley Technical Institute of ATU) along with our increasing student population requires the addition of several positions for which appropriate titles do not exist.
- There are also other administrative operating areas that must have additional staff to accommodate our positive, increasing growth pattern.

- Arkansas Tech University currently interacts with over 27,200 alumni and adds 1,500 new graduates each year. Alumni play a pivotal role in supporting the university, from recruiting new students to providing critical private support. Planning, organizing, and coordinating communications for programs and events is necessary to engage and retain active alumni, and targeted programming must be developed for the various segments of the alumni population.
- The need for a cohesive, dynamic, and current web presence is vital to the growth and effectiveness of the University in today's increasingly virtual environment. A management level position is needed to have responsibilities for research, strategy, site envisioning, planning and requirements, user experience, web design and web development.

**Associate Controller**
**Requested Positions: 1**
Arkansas Tech University requests one (1) new Associate Controller position for the 2011-2013 Biennium. The complexity and size of our financial operating budget, accounting changes by GASB and other reporting requirements indicates a need for this type of professional position. The employee in this position would report directly to the Controller.

The duties assigned to this position would include:
- Management of Controller's office at times when the Controller is not present
- Preparation of the monthly and yearly financial statements
- Financial modeling and projections of financial operations for management
- Banner software related to financial systems and reporting
- Approve and sign checks
- Assist with investment activities
- Evaluate and assure that we are in compliance with various GASB and GAAP requirements
- Assist and prepares external reports that are required by state and federal agencies
- Responsible for financial activities on the Russellville and Ozark campuses

**Special Projects Coordinator**
**Requested Positions: 1**
Arkansas Tech University requests the addition of one (1) Special Projects Coordinator position for the 2011-2013 Biennium. The University has experienced tremendous growth in the Physical Plant Department over the last ten years. The University consists of two campuses that contain 544 acres made up of 108 buildings with 1,621,344 square feet of space. The situation is further complicated by a backlog of critical maintenance items. We currently have building maintenance needs of $155,440,479 of which $8,294,400 is critical. We usually have 1 to 12 new construction and renovation projects in progress every year.

It has been our experience that constructions in progress and normal physical plant operations require different approaches. In today's construction environment, we see work that is not up to acceptable standards. It is important that we have someone on staff that does nothing but work with architects, engineers and contractors.

**Student Development Specialist**
**Requested Positions: 1**
Arkansas Tech University requests the addition of one (1) Student Development Specialist position for the 2011-2013 Biennium. This position is needed to oversee building management, facility reservations, special conferences, programming and building staff for the Doc Bryan Student Services Center, The Young Ballroom and the new Baswell Techionary (to be completed in late 2010/early 2011). This position will allow us to staff new and existing areas with a competent and trained staff member as we address the continued growth of the campus student population and as the increased demand for facilities and facility use necessitates the addition of this position.

**Institutional Research Associate**
**Requested Positions: 1**
Arkansas Tech University requests one (1) new Institutional Research Associate position for the 2011-2013 Biennium. Since the fall of 2001 when the Institutional Research and Assessment Department was created with a single employee (the Director) the total enrollment at ATU has increased by 58 percent. In July of 2003, ATU merged with Arkansas Valley

Technical Institute in Ozark. Starting in July of 2005 and ending in 2009, ATU implemented an entirely new broad spectrum information system that now houses all aspects of University data from Finance to the Student System to Alumni/Foundation data. The increase in enrollment, the addition of a second campus, and the installation and maintenance of a new electronic system has greatly increased the demand on the Institutional Research and Assessment Department. These newly adopted changes at ATU combined with all of the recent additional reporting requirements to IPEDS, ADHE, and other constituents resulted in a need to expand the IR&A department from a single employee to two full-time employees. The addition of an Institutional Research Associate will allow the IR&A department to more accurately and more quickly respond to additional data requests by any ATU constituent.

The Institutional Research Associate will report directly to the Director of Institutional Research and is responsible for assisting with the coordination, implementation, and evaluation of a comprehensive program of institutional research, including data collection, analysis, interpretation, and reporting. The Institutional Research Associate must work closely with academic units and other offices on campus to provide research and data reporting support.

**Oracle Database Administrator**
**Requested Positions: 1**

Arkansas Tech University requests one (1) new Oracle Database Administrator position for the 2011-2013 Biennium. In the fall of 2006, Arkansas Tech University began a transition from a mainframe computing environment to a server-based environment using the SunGard Banner product as the enterprise software architecture for all university business and data operations. The database that supports the SunGard Banner product is Oracle. For the first two years after the transition, the university found it necessary to pay SunGard for use of a remote Oracle Database Administrator because of the critical nature of the database (since it is an enterprise endeavor, if the database is down or corrupt, the institution can no longer conduct business, i.e., paying bills, accepting payments, registering students, scheduling classes, etc.). Additionally, each time the software is updated with a new release, all critical systems are affected and the potential for disastrous results looms large. Since implementing the Banner platform the institution has continued to grow. The number of additional individuals with access to the system grew by 1,428 last year and additional software modules have been added, increasing the complexity of the database. It is now critical that the university have access to an on-site Oracle

Database Administrator to help assure that there are no disruptions to services or that those that cannot be avoided can at least be minimized.

The Oracle Database Administrator will report directly to the Director of Computer Services and is responsible for assisting with the daily operation of the SunGard Banner platform and the Oracle Database on which the software operates. The individual will monitor all database operations, install updates as needed, keep the response speeds maximized, and perform other database maintenance tasks as necessary to insure the smooth functioning of the university's enterprise software system.

**Institutional Assistant**
**Requested Positions: 1**
Arkansas Tech University requests the addition of one (1) Institutional Assistant position for the 2011-2013 Biennium. The Institutional Assistant's responsibilities will include:

- Interpretation and implementation of state laws and University policies and procedures
- Recommendation and development of new and revision of existing University policies and procedures to administrators
- Communication with senior administrators as well as outside agencies concerning these laws, policies, and procedures and their implementation
- Development of training seminars and training materials
- Decision making resolutions and approval authority involving operations of the University
- Maintenance of the State of Arkansas data bases for the University as required by law
- Supervision of employees

**Chief Business and Industry Officer**
**Requested Positions: 1**
Arkansas Tech University-Ozark Campus requests one (1) new Chief Business and Industry Officer position for the 2011-

2013 Biennium. The duties and responsibilities of the Coordinator of Business and Industry Outreach have grown to equal those of the Chief Student Officer, Chief Fiscal Officer, and Chief Academic Officer on the Ozark Campus.

**Assistant Director of Academic Services**
**Requested Positions: 1**
Arkansas Tech University–Ozark Campus requests one (1) new Assistant Director of Academic Services position for the 2011–2013 Biennium. This position is needed to aid in the coordination of academic programs, monitor and provide administrative leadership, respond to emergent institutional needs and assess and insure instructional integrity. This position reports to the Chief Academic Officer.

**Academic Advisor**
**Requested Positions: 1**
Arkansas Tech University-Ozark Campus requests one (1) new Academic Advisor position for the 2011-2013 Biennium. This position is needed to work closely with students to provide academic guidance in an effort to support retention and graduation. This position is needed in response to our growing enrollment. This position reports to the Chief Student Officer at the Ozark Campus.

**Bookstore Manager**
**Requested Positions: 1**
Arkansas Tech University-Ozark Campus requests one (1) new Bookstore Manager position for the 2011-2013 Biennium as well as a new section in the appropriation titled “Twelve-Month Auxiliary Enterprises Non-Classified Positions”. The Ozark Campus has grown significantly and is in the process of a renovation that will add square footage to bookstore operations. To date, the support of the bookstore has been managed with a half-time classified employee and part time employees. The Bookstore Manager will be responsible for all operations of the campus bookstore and the management of personnel. This position will report to the Chief Fiscal Officer.

**Financial Analyst II**
**Requested Positions: 1**
Arkansas Tech University requests one (1) new Financial Analyst II position for the 2011-2013 Appropriation. A combination of the growth of ATU and the increasing number of new rules and regulations that we are required to adhere to are putting a strain on our department. Continuing changes in regulations and University growth has shown a need for another position to research and handle new issues as they occur, as well as monitor special projects to ensure that they are accounted for appropriately.

There has been new legislation passed that will significantly increase our reporting and monitoring requirements in the area of 1099 reporting. Our department is also now responsible for reporting information to the Arkansas Department of Higher Education (Series 17 reporting and American Recovery and Reinvestment Act reporting). With the growth of our campus, there are also an increasing number of construction projects that are ongoing. Because of this, the workload for reporting and monitoring of these projects has increased significantly.

**Procurement Coordinator**
**Requested Positions: 1**
Arkansas Tech University requests one (1) new Procurement Coordinator position for the 2011-2013 Appropriation. Due to the increased complexity of today's business world, the demands on Purchasing staff have sharply increased. Purchasing personnel must now have a good working knowledge of business law, International law, insurance, copyright law, cooperative agreements, the "Green" initiative, minority procurement, the Uniform Commercial Code and State of Arkansas law in addition to the traditional areas of contract law, freight and general accounting principles. Mistakes in the procurement area can lead to excessive costs and lawsuits.

There is no longer a single set of guidelines (laws and regulations) for the procurement area - there are at least five (5): Department of Finance & Administration, Office of State Procurement, Department of Information Systems, Arkansas Building Authority and the Arkansas Insurance Department. There are also the University's policies and procedures to consider. In addition, the laws/regulations/procedures are revised as needed during the legislative process.

In 2003, the University added a second campus at Ozark (Arkansas Valley Technical Institute merged with the University); and enrollment has grown from 4,238 in Fall 1997 to an unofficial count of 9,801 in Fall 2010 - a 131.26% increase. However, the number of employees in Purchasing has remained the same. In addition, we have assumed responsibilities for all of the telephones and cell phones on both campuses.

In theory, computers were to "lighten" the workload of our office staff. In reality, the reverse is true. We now expect our staff to produce more work in the same amount of time. Also, new skills are required such as proficiency in word processing, preparation of spreadsheets, knowledge of the Internet, scanning/indexing/archiving documents, etc. And since software is constantly being revised, it is necessary to "re-learn" the newest versions.

With access to the Internet, there is a world of information literally at our fingertips; but it takes time and knowledge to sift through all the data. In our efforts to find the best products at the best prices, the Purchasing Department now spends significantly more time researching products, looking for new sources of supply and looking for comparable and/or compatible equipment.

In addition, we strongly encourage our staff to further their education and to obtain their procurement certification. At the present time, there are no positions available in the procurement area for Arkansas Tech that reflect the level of responsibility and performance required to meet these steadily increasing demands. If we are to attract and/or keep the caliber of employees with the levels of expertise required, we must have appropriate positions with attendant pay.

**Budget Specialist**
**Requested Positions: 1**
Arkansas Tech University requests one (1) additional Budget Specialist position for the 2011-2013 Appropriation. The Budget Specialist position plays a key role in assisting with the daily operations of the University with regards to setting up cost centers and monitoring budgets and expenditures, approving purchase requisitions, approving vendor payments, compiling financial reports on special programs, and analysis of all financial data.

The Budget Office has, in the last several years, taken on many complex tasks and issues. There is a need for a position of this caliber to assist the Budget Director in accomplishing these tasks. This office coordinates various tasks with regards to budgeting, financial reporting, information coordination, management of data bases, policies and procedures development and implementation, contract processing, payables, and receivables. This position would add appreciably to the level of information and services provided by the Budget Office for use by the various campus departments.

**Financial Aid Analyst**
**Requested Positions: 2**
Arkansas Tech University requests two (2) additional Financial Aid Analyst positions for the 2011-2013 Appropriation. In the first quarter of 2010-2011 application processing for Federal financial aid, we had a 49% increase in the number of applications received compared to the same quarter last year.

With more students completing the application for Challenge Scholarship consideration, our own filing requirement for scholarship recipients and increased enrollment, we expect to receive around 13,500 applications for 2010-2011 (compared to 9,047 for 2009-2010). We expect that the number of applications will be increasing each year. We currently have one person who reviews all applications, prepares financial aid packages and re-determines eligibility when changes are made. With this anticipated increase in applications and the increased requirements in the Federal Pell Grant program one person will no longer be able to handle these functions. Also, with the increased number and complexity of aid programs, we need someone who can do daily computer processing in order to free up time for our computer person to do more specialized programming necessary to our operations. One of the requested positions would be responsible for the duties listed above.

Nationwide at least 30% of all applications are chosen for verification by the Federal processor which means that the financial aid office would be responsible for verifying 4,050 students. We also expect that the number of applications will be increasing each year. Currently one person is responsible for all student verifications. This is a time consuming process and has become more than one person can handle. The University is now required to participate in Direct Lending which created job duties that were previously handled by the banks. Therefore, we anticipate the loan officer

needing assistance in processing loans. The second requested position would be responsible for the job duties listed above.

The addition of both of these positions would allow the Financial Aid Office to more efficiently assist students in Federal Pell Grant and Student Loan programs.

**Human Resources Program Representative**
**Requested Positions: 1**
Arkansas Tech University requests one (1) new Human Resources Program Representative position for the 2011-2013 Appropriation. The University student and employee population continues to grow, increasing the demands on the Human Resources Office. The University recently went through a mainframe conversion allowing more of the Human Resources processes to be streamlined. Although the day-to-day processes have been established, the system will allow us to do more regarding benefits processes. This position would be responsible for implementing those processes. In addition, the health care reform has created changes in current benefits and will be ongoing for years to come. This position would be instrumental in administering those changes and communicating them to employees.

Benefits are very important in the retention of current employees as well as the recruitment of prospective employees. Therefore, approval of this position would allow Human Resources to adequately assist University employees with their benefits and enhance the organizational structure of the office.

**Financial Aid Specialist**
**Requested Positions: 1**
Arkansas Tech University requests one (1) new Financial Aid Specialist position for the 2011-2013 Appropriation. We currently have three people who work the front desk. During peak processing times, a Financial Aid Analyst will fill in when someone must be away from the desk assisting others or during lunch hours. This means that the Analyst falls behind in their work. Additionally, during peak times the front desk workers do not have time to do any application in-take processing because they are continually talking to students. This position would allow for front desk coverage for the

workers to do the required processing. Outside of front desk duties, this position would be responsible for scanning and indexing documents which is currently done by student workers creating an inconsistency due to employee turnover.

The addition of this position would allow analysts and front desk workers to perform all functions of their jobs more efficiently for the students and create a consistency in document scanning and indexing for the department.

**Fiscal Support Specialist**
**Requested Positions: 1**
Arkansas Tech University requests one (1) additional Fiscal Support Specialist position for the 2011-2013 Appropriation. In addition to daily operations in the Student Accounts Office, this position would be responsible for the accounts of the growing number of military students, being knowledgeable of their various options for payment and ensuring proper billing, payment application and reporting. This position would also be responsible for miscellaneous 3rd party programs and the necessary billing, payment applications and reporting. The addition of this position would allow for the recruitment and retention of more experienced and knowledgeable personnel necessary for the increasingly complex duties with the Student Accounts office due to increased enrollment and more stringent reporting and record keeping.

**Associate Bookstore Manager**
**Requested Positions: 1**
Arkansas Tech University requests one (1) new Associate Bookstore Manager position for the 2011-2013 Appropriation. The student population has maintained steady growth over the years placing more demands on the bookstore with increased book sales and foot traffic. The addition of Internet sales requires stocking of additional items and manpower to distribute those items. The Higher Education Opportunity Act and other legislation have created new textbook requirements and early deadlines for book adoptions. The bookstore now allows for daily book buy-back, computerized financial aid book vouchers, a used book program, generation of in-store and on-line textbook list and various new product lines. This position will be responsible for assisting the bookstore manager with staffing needs, developing policies and procedures, and preparing textbook related budgets and reports.

The addition of this position would provide administrative support for the bookstore manager and allow the bookstore to offer more advanced services for the students.

**Buyer**
**Requested Positions: 2**
The student population continues to grow increasing the demands on the Bookstore staff. A new freshmen orientation process including tours of the campus has generated a higher level of foot traffic creating a need for an additional inventory of gift insignia, clothing and spirit items. In addition, the renovation of Thone Stadium which added a new bookstore auxiliary has also increased the need for additional inventory of these types of items and consequently expanded working hours for the current staff. The online bookstore, created to make books and spirit items more available to students, has shown an increase in sales of 700% greatly impacting inventory needs. One of the requested positions would be responsible for monitoring sales records, trends, and economic conditions to anticipate consumer buying patterns and maintain inventory needs of all gift, insignia and clothing items accordingly.

The Higher Education Opportunity Act, online sales and increased enrollment have created greater demands on the textbook department. The second requested position would be responsible for assisting the department manager with all textbook purchases and deliveries as well as all school and art supplies, office supplies, reference materials and other special order requests from students and faculty.

The addition of these positions would enhance the overall operations of the bookstore giving students more access to the tools they need for successfully completing their education.

**Maintenance Assistant**
**Requested Positions: 5**
Arkansas Tech University requests five (5) new Maintenance Assistant positions for the 2011-2013 Appropriation. The maintenance assistant positions are needed to keep the housing maintenance area properly staffed. The skills and knowledge required to complete the tasks required exceed those of an apprentice trades person and are more in line with

a maintenance assistant. As natural attrition takes place, we will be unable to fill the positions with quality personnel and our ability to keep the housing facilities in working order will suffer without the higher level positions.

**Administrative Specialist II**
**Requested Positions: 4**
Arkansas Tech University – Ozark Campus requests four (4) additional Administrative Specialist II position for the 2011-2013 Appropriation.

One position would report to the Chief Business and Community Outreach Officer. ATU-Ozark's Business and Industry program, specialized industry non-credit instruction and industry grant participation has increased to the point of necessitating increased administrative support. This position will support these efforts through processing registrations, assisting non-credit adjunct faculty, preparing grant project documentation and preparing non-credit course material.

The remaining three positions would report to the following: Chief Student Officer, Chief Student Officer and Associate Director of Financial Aid, and Chief Student Officer and Associate Registrar. The Arkansas Tech University - Ozark Campus has seen enrollment increase by over 100% since our last biennial requests. The increase in students has created a need for additional support staff to serve students in a timely and efficient manner. The additional staff will also aid in our efforts to retain students.

**Library Technician**
**Requested Positions: 1**
Arkansas Tech University – Ozark Campus requests one (1) new Library Technician position for the 2011-2013 Appropriation. Student enrollment on the Ozark Campus has significantly increased with 100% growth over the past bienium. This growth has resulted in the need to increase library services to meet the demand of the additional student population. This position will allow the library to increase operating hours to include evenings, serving students who attend the non traditional expanded course offerings. This postion would be supervised by the Librarian and the Chief Academic Officer.

**Cashier**
**Requested Positions: 2**
Arkansas Tech University – Ozark Campus requests one (1) new Cashier position for the 2011-2013 Appropriation. Due to significant growth on the Ozark Campus (over 100% in the last two years) in student population and course offerings, service to students required of the Office of Student Accounts has also increased. The Cashier will be responsible for daily receipt of payments, posting financial transactions to students' accounts and assisting with student success in entering college classes and using campus services. This person would report to the Chief Fiscal Officer.

Arkansas Tech University – Ozark Campus requests one (1) new Cashier position in the Twelve Month Auxiliary Enterprises Classified Positions section for the 2011-2013 Appropriation. The Ozark Campus has grown significantly (over 100% in the last two years) in student population and course offerings, and is in the process of a renovation that will add square footage to bookstore operations. To date, the bookstore has operated with a one-half-time classified employee and part time employees. A cashier position will allow the bookstore to better serve students and the campus. The Cashier will be responsible for daily operations in the campus bookstore and will be supervised by the bookstore manager.

**Exceptional Salary Increase Requests**

**Director of Academic Services**
**Exceptional Salary Increase**
Arkansas Tech University requests a line item maximum salary change effective for the 2011-2013 Biennium. The Director of Academic Services in the Office of Academic Affairs answers directly to the Vice President for Academic Affairs and is responsible for the daily operation of the Academic Affairs office, including supervision of staff. This position has numerous other responsibilities, including but not limited to, maintaining personnel records of faculty, issuing faculty contracts, compiling the academic budgets for the colleges and academic departments, overseeing the faculty promotion and tenure process each fall semester, and coordinating the submission of letters of notification/intent/program proposals to the Arkansas Department of Higher Education.

The responsibilities and requirements of this title make it necessary and prudent to ask for a line-item maximum salary adjustment for the 2011-2013 Biennium.

**Assistant Athletic Trainer**
**Exceptional Salary Increase**
Arkansas Tech University requests that the line item maximum salary authorized for the positions of Assistant Athletic Trainer be increased to $41,592 which is an average of the four annual salaries listed below. These positions are critical for the health and safety of our intercollegiate student-athletes; however, it is difficult to fill these positions with the currently approved salary. Research indicates that the national median wage is significantly greater than the currently approved line item maximum. The strength of the University's Athletic Program is in jeopardy if competent candidates in the athletic training field cannot be recruited and retained. Due to substandard salary for these positions, this increase is imperative to maintain the integrity of our athletic programs.

The 2008 National Athletic Training Association salary survey results list the following salary ranges:

| Job Title | Average Annual Salary | Median Annual Salary |
|---|---|---|
| Assistant/Associate Athletic Trainer | $41,667 | $40,000 |
| Assistant/Associate Athletic Trainer-Men's Sports | $43,579 | $42,000 |
| Assistant/Associate Athletic Trainer-Women's Sports | $39,531 | $40,000 |
| | | |
| Work Setting | | |
| College/University Athletics | $42,753 | $40,000 |

**President, Arkansas Tech University**
**Exceptional Salary Increase**
Arkansas Tech University requests a line item maximum salary change effective for the 2011-2013 Biennium. The line

item maximum for the President of Arkansas Tech University has been the same as the Chancellor of the University of Arkansas at Fort Smith. The Chancellor's salary at UAFS was increased during the 2009-2011 Biennium, but the same adjustment was not made for the Arkansas Tech University President. A comparison of operating budgets for Fiscal Year 2010-11 indicates that Arkansas Tech University has more positions and a larger operating budget than the University of Arkansas at Fort Smith. If the responsibilities at Arkansas Tech University are equal to or greater than the University of Arkansas at Fort Smith, then the salary should be at least equal.

**Title Change Requests**

**Director of Professional Development Institute**
**Current Position Title: Director of Media Services**
Arkansas Tech University requests a title change effective for the 2011-2013 Biennium. Arkansas Tech University created the Professional Development Institute in 1997 by special appropriation of the Arkansas Legislature. At that time, the Institute's primary focus was providing assistance to area businesses and industry with technology issues. That focus has gradually changed and is not limited strictly to issues with technology. The Institute now resides within the College of Professional Studies and Community Outreach. Therefore, it seems more appropriate to change the position title to Director of Professional Development Institute effective with the 2011-2013 Biennium. No salary change is needed.

**English Language Institute Coordinator**
**Current Position Title: Director of Arkansas International Languages Program**
Arkansas Tech University requests a title change effective for the 2011-2013 Biennium. Arkansas Tech University has actively recruited more international students during the past decade which has resulted in a substantial increase in international student enrollment. Although only the brightest international students are recruited, many need initial instruction in English as a second language to assist them with the successful transition to studying in another culture. In an effort to teach a larger population of international students and to formalize the process, Arkansas Tech University instituted an English Language Institute in 2004 to provide non-credit instruction in English as a second language.

The coordinator has been being paid out of the Director of Arkansas International Languages Program position since their hire. However, we now ask that the position title be changed to reflect the actual working title of the position, English Language Institute Coordinator, effective with the 2011-2013 Biennium. No salary change is needed.

**Director of Public and External Relations**
**Current Position Title: Director of Administrative Support Services**
Arkansas Tech University-Ozark Campus requests the title of Director of Administrative Support Services be changed to Director of Public and External Relations to more accurately and appropriately represent the duties of the position. The position is responsible for all public and external relations, communication with media, dissemination of university information, and supervision of staff in these areas

**INSTITUTION APPROPRIATION SUMMARY**
**2011-13 BIENNIUM**

**INSTITUTION** ARKANSAS TECH UNIVERSITY

| | | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| | APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 | STATE TREASURY | 33,074,785 | | 33,973,979 | | 37,681,360 | | 43,388,725 | | 35,044,616 | | 44,902,478 | | 36,642,589 | |
| 2 | CASH | 49,476,981 | | 110,536,639 | | 110,536,639 | | 110,536,639 | | 110,536,639 | | 110,536,639 | | 110,536,639 | |
| 3 | | | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | | | |
| 11 | TOTAL | $82,551,766 | 978 | $144,510,618 | 1,000 | $148,217,999 | 1,248 | $153,925,364 | 1,290 | $145,581,255 | 1,272 | $155,439,117 | 1,290 | $147,179,228 | 1,272 |
| | **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 12 | PRIOR YEAR FUND BALANCE* | 277,281 | 0% | 431,593 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 13 | GENERAL REVENUE | 30,284,842 | 36% | 31,361,139 | 22% | | | 40,804,019 | 27% | 32,459,910 | 22% | 42,317,772 | 27% | 34,057,883 | 23% |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUND | 1,970,370 | 2% | 1,850,523 | 1% | | | 1,850,523 | 1% | 1,850,523 | 1% | 1,850,523 | 1% | 1,850,523 | 1% |
| 15 | WORKFORCE 2000 | 684,872 | 1% | 734,183 | 1% | | | 734,183 | 0% | 734,183 | 1% | 734,183 | 0% | 734,183 | 0% |
| 16 | CASH FUNDS | 49,476,981 | 60% | 110,536,639 | 76% | | | 110,536,639 | 72% | 110,536,639 | 76% | 110,536,639 | 71% | 110,536,639 | 75% |
| 17 | SPECIAL REVENUES | 0 | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 18 | FEDERAL FUNDS | 0 | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 19 | TOBACCO SETTLEMENT FUNDS | 0 | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 20 | OTHER FUNDS** | 289,013 | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 21 | TOTAL INCOME | $82,983,359 | 100% | $144,914,077 | 100% | | | $153,925,364 | 100% | $145,581,255 | 100% | $155,439,117 | 100% | $147,179,228 | 100% |
| 22 | EXCESS (FUNDING)/APPROPRIATION | ($431,593) | | ($403,459) | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $11,874,685 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $2,685,002 |
| INVENTORIES | $42,835 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | |
| INSURANCE DEDUCTIBLES | |
| MAJOR CRITICAL SYSTEMS FAILURES | $1,968,763 |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $6,487,308 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | |
| OTHER (FOOTNOTE BELOW) | |
| UNRESERVED EDUCATIONAL & GENEREAL FUND BALANCE | $690,777 |

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

ARKANSAS TECH UNIVERSITY-RUSSELLVILLE CAMPUS

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 25,331,173 | 27,224,769 | 28,391,527 | 29,560,999 |
| 2 | RESEARCH | 818,416 | 638,142 | 665,491 | 692,903 |
| 3 | PUBLIC SERVICE | 5,595 | 6,173 | 6,438 | 6,703 |
| 4 | ACADEMIC SUPPORT | 5,691,923 | 6,708,334 | 6,995,830 | 7,283,994 |
| 5 | STUDENT SERVICES | 3,675,885 | 3,764,989 | 3,926,343 | 4,088,073 |
| 6 | INSTITUTIONAL SUPPORT | 10,332,666 | 10,425,095 | 10,871,878 | 11,319,700 |
| 7 | PHYSICAL PLANT M&O | 5,264,749 | 5,807,344 | 6,056,226 | 6,305,688 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 12,574,549 | 11,268,439 | 11,751,365 | 12,235,414 |
| 9 | OTHER | 160,654 | 0 | 0 | 0 |
| 10 | | 0 | 0 | 0 | 0 |
| 11 | | 0 | 0 | 0 | 0 |
| 12 | | 0 | 0 | 0 | 0 |
| 13 | MANDATORY TRANSFERS | 1,767,342 | 2,427,548 | 2,531,584 | 2,635,862 |
| 14 | AUXILIARY TRANSFERS | 1,368,712 | 1,357,618 | 1,415,801 | 1,474,119 |
| 15 | NON-MANDATORY TRANSFERS | 1,884,948 | 551,572 | 575,210 | 598,904 |
| 16 | TOTAL UNREST. E&G EXP. | $68,876,612 | $70,180,023 | $73,187,693 | $76,202,359 |
| 17 | NET LOCAL INCOME | 41,052,609 | 38,931,359 | 41,564,949 | 43,365,228 |
| 18 | PRIOR YEAR BALANCE*** | 277,281 | 431,593 | 0 | 0 |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 27,972,432 | 28,966,548 | 29,772,221 | 30,986,608 |
| 20 | EDUCATIONAL EXCELLENCE | 1,970,370 | 1,850,523 | 1,850,523 | 1,850,523 |
| 21 | WORKFORCE 2000 | 0 | 0 | 0 | 0 |
| 22 | TOBACCO SETTLEMENT FUNDS | 0 | 0 | 0 | 0 |
| 23 | OTHER STATE FUNDS ** | 267,082 | 0 | | |
| 24 | TOTAL SOURCES OF INCOME | $71,539,774 | $70,180,023 | $73,187,693 | $76,202,359 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Line 9 Other

| | |
|---|---|
| Fund Deduction | 160,654 |

Line 23 Other State Funds

| | |
|---|---|
| Tuition Adjustment Funds | 8,951 |
| Transfer out | (7,167) |
| General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 | 265,298 |
| | 267,082 |

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

ARKANSAS TECH UNIVERSITY-OZARK CAMPUS

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | INSTRUCTION | 2,363,033 | 2,474,860 | 3,832,800 | 2,669,198 | 3,949,423 | 2,912,884 |
| 2 | RESEARCH | 0 | 0 | 0 | 0 | 0 | 0 |
| 3 | PUBLIC SERVICE | 0 | 0 | 0 | 0 | 0 | 0 |
| 4 | ACADEMIC SUPPORT | 61,516 | 65,604 | 101,600 | 70,756 | 104,692 | 77,215 |
| 5 | STUDENT SERVICES | 268,550 | 271,479 | 420,438 | 292,797 | 433,231 | 319,528 |
| 6 | INSTITUTIONAL SUPPORT | 1,070,935 | 1,228,996 | 1,903,339 | 1,325,501 | 1,961,253 | 1,446,516 |
| 7 | PHYSICAL PLANT M&O | 416,586 | 475,098 | 735,781 | 512,405 | 758,169 | 559,185 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 31,337 | 34,600 | 53,585 | 37,317 | 55,215 | 40,724 |
| 9 | OTHER | 382 | 0 | 0 | 0 | 0 | 0 |
| 10 | | 0 | 0 | 0 | 0 | 0 | 0 |
| 11 | | 0 | 0 | 0 | 0 | 0 | 0 |
| 12 | | 0 | 0 | 0 | 0 | 0 | 0 |
| 13 | MANDATORY TRANSFERS | 130,658 | 174,404 | 270,098 | 188,099 | 278,317 | 205,272 |
| 14 | AUXILIARY TRANSFERS | 0 | 0 | 0 | 0 | 0 | 0 |
| 15 | NON-MANDATORY TRANSFERS | 542,726 | 9,000 | 13,938 | 9,707 | 14,362 | 10,593 |
| 16 | TOTAL UNREST. E&G EXP. | $4,885,723 | $4,734,041 | $7,331,579 | $5,105,780 | $7,554,662 | $5,571,917 |
| 17 | NET LOCAL INCOME | 2,008,754 | 1,605,267 | 1,683,908 | 1,683,908 | 1,766,459 | 1,766,459 |
| 18 | PRIOR YEAR BALANCE*** | 0 | 0 | 0 | 0 | 0 | 0 |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 2,312,410 | 2,394,591 | 4,913,488 | 2,687,689 | 5,054,020 | 3,071,275 |
| 20 | EDUCATIONAL EXCELLENCE | 0 | 0 | 0 | 0 | 0 | 0 |
| 21 | WORKFORCE 2000 | 684,872 | 734,183 | 734,183 | 734,183 | 734,183 | 734,183 |
| 22 | TOBACCO SETTLEMENT FUNDS | 0 | 0 | 0 | 0 | 0 | 0 |
| 23 | OTHER STATE FUNDS ** | 21,931 | 0 | | | | |
| 24 | TOTAL SOURCES OF INCOME | $5,027,967 | $4,734,041 | $7,331,579 | $5,105,780 | $7,554,662 | $5,571,917 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Line 9 Other

Prior Period Ajustment 382

Line 23 Other State Funds

General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 21,931

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

ARKANSAS TECH UNIVERSITY-RUSSELLVILLE CAMPUS
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 35,340,086 | 35,029,106 | 37,519,489 | 39,170,047 |
| 2 | ALL OTHER FEES | 105,390 | 52,175 | 53,575 | 55,075 |
| 3 | OFF-CAMPUS CREDIT | 1,857,751 | 1,635,910 | 1,717,705 | 1,803,590 |
| 4 | NON-CREDIT INSTRUCTION | 638,238 | 328,319 | 333,369 | 338,570 |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | 648,999 | 490,800 | 500,000 | 510,000 |
| 6 | INVESTMENT INCOME | 493,606 | 350,000 | 300,000 | 300,000 |
| 7 | OTHER CASH INCOME: | 1,968,539 | 1,045,049 | 1,140,811 | 1,187,946 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 41,052,609 | 38,931,359 | 41,564,949 | 43,365,228 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | 0 | 0 | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $41,052,609 | $38,931,359 | $41,564,949 | $43,365,228 |

FORM 11-3

| Other | | | | |
|---|---|---|---|---|
| Other Sources | 1,818,833 | 780,049 | 875,811 | 922,946 |
| Endowment Income | 143,396 | 265,000 | 265,000 | 265,000 |
| Other Additions | 6,310 | 0 | 0 | 0 |
| Total | 1,968,539 | 1,045,049 | 1,140,811 | 1,187,946 |

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

ARKANSAS TECH UNIVERSITY-OZARK CAMPUS
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 1,773,400 | 1,558,842 | 1,636,784 | 1,718,623 |
| 2 | ALL OTHER FEES | 6,190 | 3,845 | 3,922 | 4,000 |
| 3 | OFF-CAMPUS CREDIT | 5,303 | 8,500 | 8,500 | 8,500 |
| 4 | NON-CREDIT INSTRUCTION | 0 | 0 | 0 | 0 |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | 35,439 | 26,450 | 26,979 | 27,519 |
| 6 | INVESTMENT INCOME | 4,707 | 3,000 | 3,000 | 3,000 |
| 7 | OTHER CASH INCOME: | 183,715 | 4,630 | 4,723 | 4,817 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 2,008,754 | 1,605,267 | 1,683,908 | 1,766,459 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | 0 | 0 | 0 | 0 |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $2,008,754 | $1,605,267 | $1,683,908 | $1,766,459 |

FORM 11-3

| Other Cash Income | | | | |
|---|---|---|---|---|
| Other Sources | 20,280 | 4,630 | 4,480 | 4,480 |
| Other Additions | 163,435 | 0 | 0 | 0 |
| Total | 183,715 | 4,630 | 4,480 | 4,480 |

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND COA0000 INSTITUTION ARKANSAS TECH UNIVERSITY APPROPRIATION 567

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 24,434,529 | 23,938,755 | 25,616,911 | 24,023,673 | 25,131,071 | | |
| 2 | EXTRA HELP WAGES | 1,814,601 | 2,462,500 | 2,462,500 | 2,242,609 | 2,345,985 | | |
| 3 | OVERTIME | 0 | 0 | 0 | 0 | 0 | | |
| 4 | PERSONAL SERVICES MATCHING | 4,249,679 | 3,335,088 | 5,335,088 | 4,858,687 | 5,082,653 | | |
| 5 | OPERATING EXPENSES | 2,202,470 | 3,888,355 | 3,888,355 | 3,541,141 | 3,704,374 | | |
| 6 | CONFERENCE FEES & TRAVEL | 24,625 | 400 | 29,625 | 29,625 | 29,625 | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | 0 | 0 | 0 | 0 | 0 | | |
| 8 | CAPITAL OUTLAY | 0 | 0 | 0 | 0 | 0 | | |
| 9 | DATA PROCESSING | 0 | 0 | 0 | 0 | 0 | | |
| 10 | FUNDED DEPRECIATION | 348,881 | 348,881 | 348,881 | 348,881 | 348,881 | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $33,074,785 | $33,973,979 | $37,681,360 | $35,044,616 | $36,642,589 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 277,281 | 431,593 | | 0 | 0 | | |
| 16 | GENERAL REVENUE | 30,284,842 | 31,361,139 | | 32,459,910 | 34,057,883 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | 1,970,370 | 1,850,523 | | 1,850,523 | 1,850,523 | | |
| 18 | SPECIAL REVENUES * [WF2000] | 684,872 | 734,183 | | 734,183 | 734,183 | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | 0 | 0 | | 0 | 0 | | |
| 20 | TOBACCO SETTLEMENT FUNDS | 0 | 0 | | 0 | 0 | | |
| 21 | OTHER STATE TREASURY FUNDS | 289,013 | 0 | | 0 | 0 | | |
| 22 | TOTAL INCOME | $33,506,378 | $34,377,438 | | $35,044,616 | $36,642,589 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($431,593) | ($403,459) | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

Line 21 Other State Funds

| | |
|---|---|
| Tuition Adjustment Funds | 8,951 |
| Transfer out | (7,167) |
| General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 | 287,229 |
| | 289,013 |

## APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2100000 INSTITUTION ARKANSAS TECH UNIVERSITY APPROPRIATION B11

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 9,180,851 | 17,627,480 | 17,627,480 | 17,627,480 | 17,627,480 | | |
| 2 | EXTRA HELP WAGES | 1,650,308 | 2,700,000 | 2,700,000 | 3,200,000 | 3,450,000 | | |
| 3 | OVERTIME | 19,939 | 289,775 | 289,775 | 287,775 | 287,775 | | |
| 4 | PERSONAL SERVICES MATCHING | 4,898,148 | 8,422,845 | 8,422,845 | 8,422,845 | 8,422,845 | | |
| 5 | OPERATING EXPENSES | 17,726,767 | 20,229,436 | 20,229,436 | 20,929,436 | 21,179,335 | | |
| 6 | CONFERENCE FEES & TRAVEL | 348,496 | 877,500 | 877,500 | 877,500 | 877,500 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 259,737 | 2,549,603 | 2,549,603 | 2,049,603 | 2,049,603 | | |
| 8 | DATA PROCESSING | 0 | 445,000 | 445,000 | 0 | 0 | | |
| 9 | CAPITAL OUTLAY | 566,049 | 15,967,870 | 15,967,870 | 16,164,870 | 15,664,971 | | |
| 10 | CAPITAL IMPROVEMENTS | 10,276,952 | 16,457,440 | 16,457,440 | 16,207,440 | 16,207,440 | | |
| 11 | DEBT SERVICE | 4,549,734 | 7,669,690 | 7,669,690 | 7,669,690 | 7,669,690 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | 0 | 17,225,000 | 17,225,000 | 17,025,000 | 17,025,000 | | |
| 13 | PROMOTIONAL ITEMS | 0 | 75,000 | 75,000 | 75,000 | 75,000 | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | | | | | | | | |
| 17 | TOTAL APPROPRIATION | $49,476,981 | $110,536,639 | $110,536,639 | $110,536,639 | $110,536,639 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | 0 | 0 | | 0 | 0 | | |
| 19 | LOCAL CASH FUNDS | 49,476,981 | 110,536,639 | | 110,536,639 | 110,536,639 | | |
| 20 | FEDERAL CASH FUNDS | 0 | 0 | | 0 | 0 | | |
| 21 | OTHER CASH FUNDS | 0 | 0 | | 0 | 0 | | |
| 22 | TOTAL INCOME | $49,476,981 | $110,536,639 | | $110,536,639 | $110,536,639 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 978 | 1,000 | 1,248 | 1,290 | 1,272 | |
| TOBACCO POSITIONS | 0 | 0 | 0 | 0 | 0 | |
| EXTRA HELP ** | 958 | 958 | 958 | 1,215 | 1,215 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

ARKANSAS TECH UNIVERSITY-RUSSELLVILLE CAMPUS
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 2,761,129 | 3,371,656 | 265,680 | (876,207) | 2,549,341 | 2,480,900 | 1,192,841 | (1,124,400) |
| 2 RESIDENCE HALL | 6,330,663 | 3,685,994 | 1,876,557 | 768,112 | 6,068,615 | 4,146,702 | 1,921,913 | 0 |
| 3 MARRIED STUDENT HOUSING | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 4 FACULTY HOUSING | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 5 FOOD SERVICES | 4,647,431 | 3,898,128 | 105,757 | 643,546 | 4,866,150 | 4,585,081 | 281,069 | 0 |
| 6 COLLEGE UNION | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 7 BOOKSTORE | 3,095,891 | 2,888,801 | 0 | 207,090 | 2,911,000 | 2,911,000 | 0 | 0 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | 370,592 | 385,034 | 0 | (14,442) | 400,200 | 433,458 | | (33,258) |
| 9 STUDENT HEALTH SERVICES | 8,671 | 155,561 | 0 | (146,890) | 13,000 | 213,160 | 0 | (200,160) |
| 10 OTHER | 318,718 | 328,388 | 0 | (9,670) | 0 | 0 | 0 | 0 |
| 11 SUBTOTAL | 17,533,095 | 14,713,562 | 2,247,994 | 571,539 | 16,808,306 | 14,770,301 | 3,395,823 | (1,357,818) |
| 12 ATHLETIC TRANSFER ** | 1,124,400 | | | 1,124,400 | 1,124,400 | | | 1,124,400 |
| 13 OTHER TRANSFERS *** | (820,442) | | | (820,442) | 233,418 | | | 233,418 |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | 17,837,053 | 14,713,562 | 2,247,994 | 875,497 | 18,166,124 | 14,770,301 | 3,395,823 | 0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

| Other | | | |
|---|---|---|---|
| Music Camp #1 | 147,958 | 102,676 | 45,282 |
| Music Camp #2 | 170,460 | 225,176 | (54,716) |
| Other Additions | 300 | 0 | 300 |
| G/T Camp #2 | 0 | 536 | (536) |
| Total | 318,718 | 328,388 | (9,670) |

| Other Transfers Line 13 | | |
|---|---|---|
| Infirmary | 201,260 | 200,160 |
| Student Paper | 21,526 | 20,582 |
| Drill Team Cheerleaders | 21,526 | 20,582 |
| Excess Expense Over Revenue Summer Camps | 9,971 | 0 |
| Excess Revenue Over Expense Student Activities | (28,610) | (7,906) |
| Transfer Out | (1,053,746) | 0 |
| Transfer In | 7,631 | 0 |
| Total | (820,442) | 233,418 |

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

ARKANSAS TECH UNIVERSITY-OZARK CAMPUS
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 0 | 0 | 0 | $0 | 0 | 0 | 0 | $0 |
| 2 RESIDENCE HALL | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 3 MARRIED STUDENT HOUSING | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 4 FACULTY HOUSING | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 5 FOOD SERVICES | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 6 COLLEGE UNION | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 7 BOOKSTORE | 882,127 | 670,037 | 0 | 212,090 | 1,120,301 | 1,120,301 | 0 | 0 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | 15,000 | 15,000 | 0 | 0 | 21,000 | 21,000 | 0 | 0 |
| 9 STUDENT HEALTH SERVICES | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 10 OTHER | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 11 SUBTOTAL | $897,127 | $685,037 | $0 | $212,090 | $1,141,301 | $1,141,301 | $0 | $0 |
| 12 ATHLETIC TRANSFER ** | 0 | | | 0 | 0 | | | 0 |
| 13 OTHER TRANSFERS *** | 0 | | | 0 | 0 | | | 0 |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | $897,127 | $685,037 | $0 | $212,090 | $1,141,301 | $1,141,301 | $0 | $0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

ARKANSAS TECH UNIVERSITY
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: 746
(As of November 1, 2009 )

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 80 | Black Male: | 1 | Other Male: | 6 | Total | Male: | 87 |
| White Female: | 94 | Black Female: | 1 | Other Female: | 2 | Total | Female: | 97 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | 0 | Black Male: | 0 | Other Male: | 0 | Total | Male: | 0 |
| White Female: | 0 | Black Female: | 0 | Other Female: | 0 | Total | Female: | 0 |
| Classified Employees: | | | | | | | | |
| White Male: | 72 | Black Male: | 2 | Other Male: | 3 | Total | Male: | 77 |
| White Female: | 175 | Black Female: | 4 | Other Female: | 6 | Total | Female: | 185 |
| Faculty: | | | | | | | | |
| White Male: | 138 | Black Male: | 2 | Other Male: | 16 | Total | Male: | 156 |
| White Female: | 135 | Black Female: | 2 | Other Female: | 7 | Total | Female: | 144 |
| Total White Male: | 290 | Total Black Male: | 5 | Total Other Male: | 25 | Total | Male: | 320 |
| Total White Female: | 404 | Total Black Female: | 7 | Total Other Female: | 15 | Total | Female: | 426 |
| Total White: | 694 | Total Black: | 12 | Total Other: | 40 | Total | Employees: | 746 |
| | | | | **Total Minority:** | 52 | | | |

FORM 11-8

| | |
|---|---|
| *Finding:* | The University's internal control did not prevent or detect material errors in the initial financial statements. The errors and misstatements were corrected during audit fieldwork. Key errors included the following:<br><br>Comparative Statement of Net Assets<br>(a) Misclassification of net assets for certain construction in progress expenditures and related debt transactions totaling $20,780,171 as Net Assets - Restricted – Expendable for Capital Projects instead of Invested in Capital Assets - Net of Related Debt.<br>(b) Misclassification of Deferred Charges - bond issuance costs in the amount of $396,825 as a reduction to bonds payable instead of an asset.<br>Comparative Statement of Cash Flows<br>(a) Overstatement of accounts totaling $900,495 with a corresponding understatement of other accounts totaling $900,495 (errors did not affect total cash). The errors primarily pertained to the amounts reported for Received from Bond Trustee (Bond Proceeds), Construction in Progress Expenditures, and Proceeds from Sale and Maturities of Investments.<br>(b) Noncash transactions were not reported. |
| *Institution's Response:* | The deficiencies relate directly to change in Senior Accounting Personnel during the preparation of our financial statements which interrupted normal statement preparation. The personnel change removed one critical step in our review process and was a contributing factor for the statement errors. We intend to make the following adjustments to our Internal Control for preparation of financial statements:<br><br>• Reduce the closing time for the accounting records at the end of a fiscal year. The time savings in this process will be used to analyze and complete preparation of financial statements.<br><br>• There will be mandatory cross-checking by three different individuals of all financial reports and disclosures. Two of the |

| | |
|---|---|
| | three individuals will be senior level accounting personnel.<br><br>• The final statements will be forwarded through the Senior Vice President for Administration and Finance for review before they are submitted to Legislative Auditors.<br><br>We believe these steps will correct the Internal Control deficiencies noted in our report. Problems of this type have not occurred in prior audits nor do we expect them to occur in the future. It is always our objective to provide financial statements that are correct and present fairly the financial condition of Arkansas Tech University. |

I. Henderson State University is experiencing significant change, growth, and development as the result of new administrative leadership and from the implementation of innovative ideas which emerged from our strategic planning. Henderson State University is uniquely positioned to be a catalyst in changing the future of our local communities and the entire state of Arkansas. While Henderson has been providing high quality academic programming and serving Arkansans since 1890, the future promises to hold even more opportunity for institutional impact on our students and our communities. Henderson recently completed a comprehensive strategic planning process that outlines the vision, goals, and desired outcomes for the university in the short- and long-term. The plan revolves around general priorities of institutional collaboration, institutional focus on cultural and economic needs of Arkansas, and raising degree attainment and graduation rates for southwest Arkansas. This 20011-2013 biennial request for legislative appropriations is consistent with the resources that will be required to accomplish these university priorities.

Henderson State University is committed to providing our students with an undergraduate academic experience based on a comprehensive core of courses in the arts and sciences. Further, the university is committed to offering strong professional programs in teacher education and business administration at both the undergraduate and graduate levels. These programs are widely acclaimed and have earned the approval of significant national accrediting organizations, such as the National Council for the Accreditation of Teacher Education and the Association to Advance Collegiate Schools of Business. Henderson is also committed to providing unique academic offerings that support economic development activities of the state of Arkansas. One example of this commitment is the Henderson State University Airway Science program. This program, which provides training in multiple aviation-related fields, is the only such program in Arkansas and one of only 58 in the United States. With the aerospace industry being identified as a potential significant economic growth area for the state, this is but one example of a strong institutional commitment to focusing Henderson programming and resources on improving our state. Additionally, Henderson State University has actively engaged in collaborative projects with K-12 schools to target reduction in remediation rates and improve college success among recent high school graduates. The Southwest Arkansas College Preparatory Academy, a collaborative effort among two universities, three public school districts, community colleges, and private entities, is poised to experience great success in improving student access and success.

I. Institutional Mission Statement

Henderson State University is Arkansas's public liberal arts university. True to the century-long tradition that has distinguished Henderson since its founding, the university remains dedicated to providing excellent undergraduate curricula and graduate programs. Henderson, a Southern regional institution with a diverse student body, advocates a program based on the liberal arts, regardless of specific educational interests. Through a common core of courses in arts and sciences, as well as through the more specialized curricula, the university fosters the maximum growth and development of each student. More specifically, Henderson endeavors to provide an education that will nurture in each student the capacity:

To think logically and critically;
To speak and write effectively;
To appreciate the complexity and diversity of world cultures;
To understand the physical universe;
To participate as a concerned, intelligent citizen;
To acquire mastery of a particular field of study;
To mature intellectually, emotionally, and physically; and
To discern appropriate uses of technology.

Henderson's primary mission is to excel in undergraduate education, always striving to enrich the quality of learning and teaching. In pursuit of this goal, the university seeks a culturally rich and diverse student community, actively recruiting, challenging, supporting, and motivating students to achieve academic success. Quality in education is fostered not only by a positively motivated student body, but also by a faculty and staff distinguished for their continuing commitment to excellence. University care and concern, positive student response, small class sizes, and a personal friendly

atmosphere--these characteristics are the heart of Henderson.

I. The university encourages excellence and supports scholarly and creative endeavors on the part of both its faculty and students. These endeavors form the foundation upon which Henderson builds appropriate programs in response to the needs of various communities that it serves. In close concert with these communities, Henderson applies its expertise to develop those programs that will promote the preservation and improvement of the quality of life in Arkansas.

Goals and strategies of the most recent institutional strategic plan include:

A. Academics--Develop strategies for utilizing assessment results in making university academic decisions.
    1. Develop a faculty education program on assessment strategies for university level students.
    2. Distribute assessment data to the entire university
    3. Conduct academic program reviews on a regular basis.
    4. Examine existing program offerings to ensure they are meeting the regional needs.

B. Campus Community--Provide educational environment to enhance and support the classroom experience.
    1. Create a student life program that fosters the holistic growth of all students.
    2. Support and encourage study of other cultures both locally and abroad and encourage student leadership to reflect the diversity of the student population.

C. Enrollment--Enhance recruitment and retention strategies and efforts.
    1. Focus and increase our current recruitment efforts of high school seniors, transfer, non-traditional, and distance learning students by increasing interaction opportunities and developing articulation agreements.

2. Establish an advising center and provide faculty adviser training.
3. Examine recruitment strategies to determine the correlation between the students we recruit, those we retain, and those who graduate.
4. Provide early intervention to identify academically weak students and implement a tutor staffing plan to help students succeed.

D. Community/Partnerships--Engagement and Service

1. Make community service an integral part of Henderson's culture. Establish "Reddie to Serve" projects, a community involvement fair and undertake an economic impact study.
2. Increase literacy in Clark County through the partnership with the Community Education Center and the recreation of the Clark County Literacy Council.
3. Communicate to community the opportunities to attend events and use services and facilities.

II. General Revenue

Henderson State University is a formula driven entity and did not make a request for general revenue. The increase in general revenue is a result of the recommendation made by the Arkansas Higher Education Coordinating Board.

Henderson State University is committed to allocating additional general revenue funds to enhance educational opportunities for Arkansas students. The projected increase of $202,063 in general revenue funding for fiscal year 2012 would primarily be allocated for instructional purposes. Because of the national economic crisis and related declines in funding, the University has been unable to keep up with instructional technology, equipment, and supplies funding needs. These appropriated funds would assist in restoring instructional budgets to adequate levels in order to afford students a first-rate educational experience. The projected increase of $372,510 in fiscal year 2013 would also be allocated for instructional purposes. These additional funds would be utilized to further enhance instructional technology, equipment, and supplies budgets. Additionally, these funds would be used to enhance student retention and success programs and

initiatives.

III. Cash Appropriation Request

Henderson State University is requesting a reduction in the cash appropriation for 2012 and 2013. This reduction is to adjust the appropriation to the recommended amounts per guidelines from the Arkansas Department of Higher Education.

IV. Personal Services Request

No additional personnel positions are being requested.

**INSTITUTION APPROPRIATION SUMMARY**
**2011-13 BIENNIUM**

**INSTITUTION** **HENDERSON STATE UNIVERSITY**

| | | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| | APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 | STATE TREASURY | 20,134,460 | | 20,874,751 | | 22,120,550 | | 22,415,983 | | 20,830,924 | | 23,141,019 | | 21,205,441 | |
| 2 | CASH | 24,621,880 | | 246,921,400 | | 246,921,400 | | 72,958,770 | | 72,958,770 | | 72,958,770 | | 72,958,770 | |
| 3 | | | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | | | |
| 11 | TOTAL | $44,756,340 | 602 | $267,796,151 | 612 | $269,041,950 | 734 | $95,374,753 | 734 | $93,789,694 | 734 | $96,099,789 | 734 | $94,164,211 | 734 |
| | **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 12 | PRIOR YEAR FUND BALANCE* | 108,005 | 0% | 246,625 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 13 | GENERAL REVENUE | 18,071,598 | 40% | 18,713,847 | 7% | | | 20,501,704 | 21% | 18,916,645 | 20% | 21,226,740 | 22% | 19,291,162 | 20% |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUND | 2,038,255 | 5% | 1,914,279 | 1% | | | 1,914,279 | 2% | 1,914,279 | 2% | 1,914,279 | 2% | 1,914,279 | 2% |
| 15 | WORKFORCE 2000 | | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 16 | CASH FUNDS | 24,621,880 | 55% | 246,921,400 | 92% | | | 72,958,770 | 76% | 72,958,770 | 78% | 72,958,770 | 76% | 72,958,770 | 77% |
| 17 | SPECIAL REVENUES | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 18 | FEDERAL FUNDS | 0 | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 19 | TOBACCO SETTLEMENT FUNDS | | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 20 | OTHER FUNDS | 163,227 | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 21 | TOTAL INCOME | $45,002,965 | 100% | $267,796,151 | 100% | | | $95,374,753 | 100% | $93,789,694 | 100% | $96,099,789 | 100% | $94,164,211 | 100% |
| 22 | EXCESS (FUNDING)/APPROPRIATION | ($246,625) | | $0 | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $3,361,824 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $2,163,403 |
| INVENTORIES | $149,692 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | $0 |
| INSURANCE DEDUCTIBLES | $33,500 |
| MAJOR CRITICAL SYSTEMS FAILURES | $200,000 |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $3,399,563 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | $0 |
| OTHER (FOOTNOTE BELOW) | $0 |
| UNRESERVED EDUCATIONAL & GENEREAL FUND BALANCE | ($2,584,334) |

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

HENDERSON STATE UNIVERSITY

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 17,215,523 | 17,781,383 | 18,214,442 | 18,760,875 |
| 2 | RESEARCH | 230,943 | 270,651 | 270,000 | 278,000 |
| 3 | PUBLIC SERVICE | 92,338 | 97,632 | 98,000 | 100,000 |
| 4 | ACADEMIC SUPPORT | 2,239,455 | 2,225,173 | 2,250,000 | 2,300,000 |
| 5 | STUDENT SERVICES | 2,010,584 | 1,988,182 | 2,000,000 | 2,060,000 |
| 6 | INSTITUTIONAL SUPPORT | 5,561,346 | 6,298,863 | 6,400,000 | 6,590,000 |
| 7 | PHYSICAL PLANT M&O | 3,631,169 | 3,944,249 | 4,000,000 | 4,120,000 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 7,461,682 | 8,042,873 | 8,300,000 | 8,405,853 |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | MANDATORY TRANSFERS | 1,201,395 | 1,071,017 | 1,071,017 | 1,071,017 |
| 14 | AUXILIARY TRANSFERS | 1,070,646 | 1,675,350 | 1,675,350 | 1,675,350 |
| 15 | NON-MANDATORY TRANSFERS | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $40,715,081 | $43,395,373 | $44,278,809 | $45,361,095 |
| 17 | NET LOCAL INCOME | 22,304,634 | 22,731,207 | 23,659,205 | 24,368,981 |
| 18 | PRIOR YEAR BALANCE*** | 108,005 | 246,625 | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 17,868,240 | 18,503,262 | 18,705,325 | 19,077,835 |
| 20 | EDUCATIONAL EXCELLENCE | 2,038,255 | 1,914,279 | 1,914,279 | 1,914,279 |
| 21 | WORKFORCE 2000 | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | |
| 23 | OTHER STATE FUNDS ** | 311,928 | | | |
| 24 | TOTAL SOURCES OF INCOME | $42,631,062 | $43,395,373 | $44,278,809 | $45,361,095 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Line 23 Other State Funds

| | |
|---|---|
| General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 | 169,467 |
| Other Transfers Out | (9,851) |
| M&R Proceeds | 1,682 |
| General Improvement Funds | 150,000 |
| | 311,298 |

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

HENDERSON STATE UNIVERSITY

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | HSU-COMM EDUCATION CTR | 205,287 | 210,585 | 216,903 | 211,320 | 223,410 | 213,327 |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
| 5 | | | | | | | |
| 6 | | | | | | | |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $205,287 | $210,585 | $216,903 | $211,320 | $223,410 | $213,327 |
| 17 | NET LOCAL INCOME | | | | | | |
| 18 | PRIOR YEAR BALANCE*** | | | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 203,358 | 210,585 | 216,903 | 211,320 | 223,410 | 213,327 |
| 20 | EDUCATIONAL EXCELLENCE | | | | | | |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS ** | 1,929 | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $205,287 | $210,585 | $216,903 | $211,320 | $223,410 | $213,327 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Line 23 Other State Funds

General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 1,929

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

HENDERSON STATE UNIVERSITY
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 19,971,401 | 19,701,710 | 20,534,954 | 21,151,003 |
| 2 | ALL OTHER FEES | 1,484,776 | 1,872,806 | 1,928,990 | 1,986,860 |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | 9,000 | 8,000 | 8,000 | 8,000 |
| 6 | INVESTMENT INCOME | 88,065 | 15,000 | 50,000 | 50,000 |
| 7 | OTHER CASH INCOME: | 751,392 | 1,133,691 | 1,137,261 | 1,173,118 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 22,304,634 | 22,731,207 | 23,659,205 | 24,368,981 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $22,304,634 | $22,731,207 | $23,659,205 | $24,368,981 |

FORM 11-3

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CQA0000 INSTITUTION HENDERSON STATE UNIVERSITY APPROPRIATION 309

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 15,548,526 | 16,481,482 | 16,508,264 | 15,500,000 | 15,708,736 | | |
| 2 | EXTRA HELP WAGES | 25,000 | 20,000 | 25,000 | 20,000 | 20,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 2,309,723 | 2,541,843 | 3,072,261 | 2,750,000 | 2,832,500 | | |
| 5 | OPERATING EXPENSES | 1,648,106 | 1,388,188 | 1,907,071 | 1,960,000 | 2,028,800 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | 484,867 | 325,000 | 489,716 | 482,686 | 497,167 | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | 118,238 | 118,238 | 118,238 | 118,238 | 118,238 | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $20,134,460 | $20,874,751 | $22,120,550 | $20,830,924 | $21,205,441 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 108,005 | 246,625 | | | | | |
| 16 | GENERAL REVENUE | 18,071,598 | 18,713,847 | | 18,916,645 | 19,291,162 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | 2,038,255 | 1,914,279 | | 1,914,279 | 1,914,279 | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 163,227 | | | | | | |
| 22 | TOTAL INCOME | $20,381,085 | $20,874,751 | | $20,830,924 | $21,205,441 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($246,625) | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

Line 21 Other State Treasury Funds

| | |
|---|---|
| General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 | 171,396 |
| M&R Proceeds | 1,682 |
| Other Transfers Out | (9,851) |
| | 163,227 |

# APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2090000 INSTITUTION HENDERSON STATE UNIVERSITY APPROPRIATION A74

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 6,066,677 | 67,504,800 | 67,504,800 | 18,408,770 | 18,408,770 | | |
| 2 | EXTRA HELP WAGES | 1,023,653 | 4,000,000 | 4,000,000 | 3,200,000 | 3,200,000 | | |
| 3 | OVERTIME | 7,234 | 750,000 | 750,000 | 100,000 | 100,000 | | |
| 4 | PERSONAL SERVICES MATCHING | 1,638,371 | 18,166,600 | 18,166,600 | 4,800,000 | 4,800,000 | | |
| 5 | OPERATING EXPENSES | 10,488,678 | 31,500,000 | 31,500,000 | 29,450,000 | 29,450,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 896,384 | 3,500,000 | 3,500,000 | 1,500,000 | 1,500,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 319,078 | 4,500,000 | 4,500,000 | 1,000,000 | 1,000,000 | | |
| 8 | DATA PROCESSING | | 2,500,000 | 2,500,000 | | | | |
| 9 | CAPITAL OUTLAY | 791,340 | 9,000,000 | 9,000,000 | 2,600,000 | 2,600,000 | | |
| 10 | CAPITAL IMPROVEMENTS | 302,291 | 35,000,000 | 35,000,000 | 0 | 0 | | |
| 11 | DEBT SERVICE | 2,982,289 | 16,500,000 | 16,500,000 | 8,900,000 | 8,900,000 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENT | 105,885 | 54,000,000 | 54,000,000 | 3,000,000 | 3,000,000 | | |
| 13 | | | | | | | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | | | | | | | | |
| 17 | TOTAL APPROPRIATION | $24,621,880 | $246,921,400 | $246,921,400 | $72,958,770 | $72,958,770 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 24,621,880 | 246,921,400 | | 72,958,770 | 72,958,770 | | |
| 20 | FEDERAL CASH FUNDS | | | | | | | |
| 21 | OTHER CASH FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $24,621,880 | $246,921,400 | | $72,958,770 | $72,958,770 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 602 | 612 | 734 | 734 | 734 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 210 | 950 | 950 | 950 | 950 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

HENDERSON STATE UNIVERSITY
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 1,317,326 | 3,172,493 | | ($1,855,167) | 1,150,149 | 3,348,748 | | ($2,198,599) |
| 2 RESIDENCE HALL | 3,581,927 | 1,626,562 | 1,151,948 | 803,417 | 3,525,497 | 1,791,151 | 1,226,424 | 507,922 |
| 3 MARRIED STUDENT HOUSING | | | | 0 | | | | 0 |
| 4 FACULTY HOUSING | | | | 0 | | | | 0 |
| 5 FOOD SERVICES | 2,698,675 | 2,235,764 | | 462,911 | 2,842,380 | 2,497,534 | | 344,846 |
| 6 COLLEGE UNION | 228,822 | 294,279 | | (65,457) | 221,355 | 295,710 | | (74,355) |
| 7 BOOKSTORE | 78,294 | 0 | | 78,294 | 88,000 | 0 | | 88,000 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | 107,648 | 148,000 | | (40,352) | 0 | 54,533 | | (54,533) |
| 9 STUDENT HEALTH SERVICES | 371,882 | 327,352 | | 44,530 | 356,236 | 356,236 | | 0 |
| 10 OTHER | 1,709,524 | 1,508,908 | 554,106 | (353,490) | 1,671,530 | 1,377,473 | 582,688 | (288,631) |
| 11 SUBTOTAL | $10,094,098 | $9,313,358 | $1,706,054 | ($925,314) | $9,855,147 | $9,721,385 | $1,809,112 | ($1,675,350) |
| 12 ATHLETIC TRANSFER ** | 1,124,720 | | | 1,124,720 | 1,142,715 | | | 1,142,715 |
| 13 OTHER TRANSFERS *** | | | | 0 | 532,635 | | | 532,635 |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | $11,218,818 | $9,313,358 | $1,706,054 | $199,406 | $11,530,497 | $9,721,385 | $1,809,112 | $0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

HENDERSON STATE UNIVERSITY
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: 572
(As of November 1, 2009 )

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 24 | Black Male: | 2 | Other Male: | 0 | Total | Male: | 26 |
| White Female: | 16 | Black Female: | 4 | Other Female: | 0 | Total | Female: | 20 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | 0 | Black Male: | 0 | Other Male: | 0 | Total | Male: | 0 |
| White Female: | 0 | Black Female: | 0 | Other Female: | 0 | Total | Female: | 0 |
| Classified Employees: | | | | | | | | |
| White Male: | 71 | Black Male: | 24 | Other Male: | 7 | Total | Male: | 102 |
| White Female: | 123 | Black Female: | 38 | Other Female: | 8 | Total | Female: | 169 |
| Faculty: | | | | | | | | |
| White Male: | 106 | Black Male: | 4 | Other Male: | 15 | Total | Male: | 125 |
| White Female: | 117 | Black Female: | 8 | Other Female: | 5 | Total | Female: | 130 |
| Total White Male: | 201 | Total Black Male: | 30 | Total Other Male: | 22 | Total | Male: | 253 |
| Total White Female: | 256 | Total Black Female: | 50 | Total Other Female: | 13 | Total | Female: | 319 |
| Total White: | 457 | Total Black: | 80 | Total Other: | 35 | Total | Employees: | 572 |
| | | | | **Total Minority:** | 115 | | | |

FORM 11-8

**June 30, 2009**

| | |
|---|---|
| *Finding:* | No Findings noted |

**I.** Vision

SAU continuously improves as a quality, comprehensive, regional University expanding accessible and transformation learning experiences.

II. Institutional Mission Statement: Mission Statement

The mission of Southern Arkansas University is to educate students for productive and fulfilling lives in a global environment by providing opportunities for intellectual growth, individual enrichment, skill development, and meaningful career preparation. The University believes in the worth of the individual and accepts its responsibility for developing in its students those values and competencies essential for effective citizenship in an ever-changing, free, and democratic society. Further, the University encourages and supports excellence in teaching, scholarly and creative endeavors, and service.

III Goals

1. Implement strategies that demonstrate student learning is the most important university experience.

    a. Construct, maintain, and equip learning environments.
    b. Provide academic assistance to enhance learning.
    c. Insure student engagement and success by providing learning experiences in the classroom that match. Student learning styles.
    d. Provide a culturally rich and diverse university life.
    e. Provide service learning opportunities.
    f. Provide living-learning experiences that incorporate faculty/student interaction in non-classroom settings.
    g. Provide student worker experience that contributes to learning.
    h. Increase student research opportunities in all disciplines.

i. Ensure internationalization of the curriculum and opportunities for international educational and/or cultural learning experiences for students.

2. Insure the University Learning Goals and General Education Goals are achieved through a comprehensive assessment process.

a. Develop and administer a comprehensive assessment process.
b. Analyze periodically the assessment data generated.
c. Implement changes from assessment data as needed to insure goal attainment.
d. Analyze institutional data and prepare report (deans and vice presidents) for the president.
e. University Learning Goals and General Education Goals

University

(1) Our graduates possess the knowledge and skills to be successful.
(2) Our graduates understand their own and other societies and cultures.
(3) Our graduates are prepared to be contributing members of their communities.
(4) Our graduates communicate effectively.
(5) Our graduates understand the process of making informed and ethical decisions.
(6) Our graduates utilize appropriate quantitative skills in making decisions.
(7) Our graduates use technology effectively.

General Education Goals

(1) Communication: Students will communicate effectively.
(2) Critical Thinking: Students will think logically and creatively to solve problems and make informed decisions.
(3)Technology: Students will use technology applications.
(4) Culture: Students will understand world histories, cultures, and fine arts in relation to their own values.
(5) Health and Wellness: Students will understand concepts that support personal and community

health.

3. Recruit and retain diverse, well-qualified faculty and staff that support an environment of collegiality and academic excellence.

a. Increase target or specialized recruiting of faculty.
b. Implement comprehensive faculty professional development programs.
c. Encourage and support scholarly activity of faculty.
d. Provide salaries that are competitive.
e. Provide opportunities for faculty/staff colloquiums on significant issues.
f. Cultivate grow-your-own faculty development in fields that have limited applicant pools.
g. Emphasize the SAU family heritage to include faculty, staff, students and friends of SAU.

4. Develop and implement enrollment management strategies that recruit students of character and academic promise.

a. Expand alternative delivery methods of degree programs to reach students that cannot attend in the traditional way.
b. Emphasize to prospective students and their parents the SAU family heritage.
c... Expand graduate programs and undergraduate programs based on continuous needs assessment.
d. Empower faculty and staff to reach out to prospective students.
e. Expand faculty-to-faculty relationships to promote seamless transfer of students and additional 2+2 programs.

5. Improve retention and graduation of students.

a. Implement programs to increase retention of students by targeting the needs of specific student groups.
b. Establish a retention task force to gather and analyze data pertaining to retention rates of specific groups.

c. Establish advisor training programs:  one for new advisors, and one for experienced advisors.
d. Continually review the need for and the availability of financial aid for students.
e. Identify and support existing successful programs (and the people that make them happen).
f. Implement an early warning program to identify student needs and issues and provide appropriate intervention if possible.

6. Expand opportunities for scholarly activity and public service.

a. Expand opportunities and continue to support scholarly activity. This includes research, creative activities, and other activities of discovery by faculty and students.
    (1) Continue to develop the Natural Resource Research Center.
    (2) Explore additional grant opportunities that support research.
    (3) Offer additional student research opportunities.
b. Expand and continue public service. Public service includes appropriate cultural and educational exchange between the SAU community and external groups and the necessary support activities.
    (1) Provide culturally enriching activities for the citizens of south Arkansas.
    (2) Increase student, faculty, and staff participation in civic and service activities.
    (3) Meet the higher education needs of business and industry and promote economic development.

7. Establish strategic partnerships and initiatives to expand advancement and development of SAU.

a. Find and provide financial support to increase alternate delivery methods of classes.
b. Develop unique and innovative programs to serve regions and increase revenue.
c. Expand communications to and participation with stakeholders.
d. Expand long-term, strategic advancement and development reach for SAU.
e. Expand ways to encourage economic development.
f. Increase the number of grant applications by SAU.

g. Develop strategic financial plan to guide strategic partnerships.

New Graduate programs approved include:

- Master of Business Administration. There are 60 students currently enrolled during this first year. This program is accredited by AACSB International.
- Master of Business Administration with Emphasis in Agriculture Business. There was an interest in the business part of agriculture and during this first semester there are five students enrolled with additional growth anticipated.
- Master of Science in Kinesiology-Non-Licensure Coaching Option. This program began during the summer and started with 20 students, with about five turned away due to accreditation class size issues. Two cohorts are planned for next summer. This is completely online.
- Master of Arts in Teaching-Online. The online program will begin next fall.
- Master of Education-Curriculum and Instruction. This is one of our largest programs.
- Master of Computer Science.

The SAU Graduate program was listed in the July Arkansas Higher Education Coordinating Board Agenda Book as the fastest percentage growing graduate program over the last five years.

New Undergraduate programs that were approved in the specified time period include:

- Bachelor of Science in Nursing. This four-year program is beginning with over 20 students and has not only been approved by the state, but also accredited by the National League for Nursing.
- Bachelor of Science in Engineering Physics. There are currently 18 enrolled.
- Bachelor of Science in Education- Early Childhood and Inclusive Early Childhood.
- Bachelor of Arts-minor in Teaching English as a Second Language. There are nine students this semester with additional growth expected.

- Bachelor of Arts-minor in Philosophy and Religious Studies. There are 17 students currently enrolled in classes designated for this minor.

Programs that have been deleted include:

- Bachelor of Science, major in general science-Plan I (Physical Science Emphasis), Plan I (Physical Science Emphasis with minor in education).
- Bachelor of Science in Interdisciplinary Studies.
- Bachelor of Arts in Mass Communication: Broadcast Journalism Emphasis.
- Bachelor of Science in Industrial Technology.

In offering the new programs, only minor additional funding has been reallocated. One person was moved from Information Technology to support online education, two were hired for the Master of Public Administration Program that was begun in 2006, and one additional faculty member was added to support the new Bachelor of Science in Nursing degree.

Several new programs have been recognized by accrediting agencies. These include the M.B.A., which is accredited by The Association to Advance Collegiate Schools of Business International, and the Bachelor of Science in Nursing by the National League for Nursing.

All of these additions and deletions are in response to students' needs. This is especially so for the School of Graduate Studies. Graduate degrees awarded have grown from 72 in 2007 to an expected 147 by the end of 2010. The Master of Business Administration, which is just starting, is tied with the Master of Education-Curriculum and Instruction for the largest fall enrollment. There has been a 48 percent increase in inquiries to the graduate school website. SAU continues to examine areas of need and to make adjustments in current offerings to meet student and area needs.

As a means of achieving SAU's goal and to continuously improve, SAU has applied for and gained approval for the alternative accreditation program of the Higher Learning Commission of the North Central Association. The Academic Quality Improvement Program's emphasis on continuous improvement provides for focus on three areas of specific need with project teams involving a wide group of faculty and staff. Annual reports are submitted based on the work of these groups, and feedback is received providing helpful direction for further improvement. At the completion of each project another is selected. The University also prepares a systems portfolio which describes the processes and results and documents improvements. Initial projects involve improving student learning, faculty/staff development, and retention of students.

General Revenue Request

A priority for use of increases in general revenue will be to add faculty to growing graduate and undergraduate programs where reallocation of faculty is not possible. This will also cover other related operational costs of expanding programs. Other uses include additional costs of existing operations such as pay raises and related fringe benefits, utility costs and deferred maintenance.

Cash Appropriation Request

There is no increase requested in the cash appropriation area. Some adjustments are requested to reflect the actual needs for the coming biennium. This is done to expense in the appropriate commitment items.

Personal Service Request

No additional positions were requested. The overall request reflects a decrease in the number of positions requested.

## INSTITUTION APPROPRIATION SUMMARY
## 2011-13 BIENNIUM

**INSTITUTION** SOUTHERN ARKANSAS UNIVERSITY

| | | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| | APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 | STATE TREASURY (CSA0000) | 16,167,361 | | 16,801,970 | | 18,016,669 | | 19,794,877 | | 16,955,266 | | 20,452,510 | | 17,522,174 | |
| 2 | CASH | 32,299,688 | | 54,000,000 | | 54,000,000 | | 54,000,000 | | 54,000,000 | | 54,000,000 | | 54,000,000 | |
| 3 | STATE TREASURY (83G) | 0 | | 100,000 | | 100,000 | | 100,000 | | 100,000 | | 100,000 | | 100,000 | |
| 4 | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | | | |
| 11 | TOTAL | $48,467,049 | 413 | $70,901,970 | 415 | $72,116,669 | 504 | $73,894,877 | 502 | $71,055,266 | 502 | $74,552,510 | 502 | $71,622,174 | 502 |
| | **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 12 | PRIOR YEAR FUND BALANCE* | 113,185 | 0% | 212,992 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 13 | GENERAL REVENUE | 14,919,354 | 31% | 15,449,575 | 22% | | | 18,655,474 | 25% | 15,815,863 | 22% | 19,313,107 | 26% | 16,382,771 | 23% |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUN | 1,205,061 | 2% | 1,139,403 | 2% | | | 1,139,403 | 2% | 1,139,403 | 2% | 1,139,403 | 2% | 1,139,403 | 2% |
| 15 | WORKFORCE 2000 | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 16 | CASH FUNDS | 32,299,688 | 66% | 54,000,000 | 76% | | | 54,000,000 | 73% | 54,000,000 | 76% | 54,000,000 | 72% | 54,000,000 | 75% |
| 17 | SPECIAL REVENUES | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 18 | FEDERAL FUNDS | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 19 | TOBACCO SETTLEMENT FUNDS | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 20 | OTHER FUNDS | 142,753 | 0% | 100,000 | 0% | | | 100,000 | 0% | 100,000 | 0% | 100,000 | 0% | 100,000 | 0% |
| 21 | TOTAL INCOME | $48,680,041 | 100% | $70,901,970 | 100% | | | $73,894,877 | 100% | $71,055,266 | 100% | $74,552,510 | 100% | $71,622,174 | 100% |
| 22 | EXCESS (FUNDING)/APPROPRIATION | ($212,992) | | $0 | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $3,788,209 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $1,854,635 |
| INVENTORIES | $167,429 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | $269,087 |
| INSURANCE DEDUCTIBLES | $130,000 |
| MAJOR CRITICAL SYSTEMS FAILURES | $500,000 |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $3,004,000 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | |
| OTHER (HEALTH INSURANCE) | $591,573 |
| UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE | ($2,728,515) |

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

SOUTHERN ARKANSAS UNIVERSITY

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 13,540,188 | 13,603,289 | 13,875,355 | 14,014,108 |
| 2 | RESEARCH | 254,064 | 277,284 | 282,830 | 304,857 |
| 3 | PUBLIC SERVICE | 210,673 | 163,129 | 168,023 | 195,045 |
| 4 | ACADEMIC SUPPORT | 2,698,558 | 2,916,625 | 2,974,957 | 3,094,247 |
| 5 | STUDENT SERVICES | 2,426,473 | 2,610,997 | 2,689,327 | 2,815,007 |
| 6 | INSTITUTIONAL SUPPORT | 3,712,838 | 3,957,294 | 4,056,226 | 4,175,864 |
| 7 | PHYSICAL PLANT M&O | 3,523,594 | 4,088,123 | 4,129,004 | 4,180,354 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 5,720,835 | 6,162,455 | 6,228,852 | 6,476,340 |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | MANDATORY TRANSFERS | 1,918,219 | 1,926,550 | 1,782,708 | 1,866,349 |
| 14 | AUXILIARY TRANSFERS | 1,124,720 | 1,124,720 | 1,124,720 | 1,124,720 |
| 15 | NON-MANDATORY TRANSFERS | 537,716 | 18,504 | | |
| 16 | TOTAL UNREST. E&G EXP. | $35,667,878 | $36,848,970 | $37,312,002 | $38,246,891 |
| 17 | NET LOCAL INCOME | 19,667,608 | 19,805,299 | 20,356,736 | 20,724,717 |
| 18 | PRIOR YEAR BALANCE*** | 113,185 | 454,693 | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 14,919,354 | 15,449,575 | 15,815,863 | 16,382,771 |
| 20 | EDUCATIONAL EXCELLENCE | 1,205,061 | 1,139,403 | 1,139,403 | 1,139,403 |
| 21 | WORKFORCE 2000 | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | |
| 23 | OTHER STATE FUNDS ** | 142,753 | | | |
| 24 | TOTAL SOURCES OF INCOME | $36,047,961 | $36,848,970 | $37,312,002 | $38,246,891 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Other State Funds: $141,499 GIF released to restore RSA funding that was cut on May 4, 2010, net amount of Tuition reimbursement, lease bonus funds, workman's comp and special revenue fees

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

SOUTHERN ARKANSAS UNIVERSITY
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 17,072,784 | 17,441,247 | 17,790,072 | 18,141,873 |
| 2 | ALL OTHER FEES | 427,552 | 430,000 | 438,600 | 447,372 |
| 3 | OFF-CAMPUS CREDIT | 492,057 | 475,000 | 475,000 | 475,000 |
| 4 | NON-CREDIT INSTRUCTION | 35,237 | 35,000 | 35,000 | 35,000 |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | 171,479 | 140,500 | 150,000 | 155,000 |
| 6 | INVESTMENT INCOME | 48 | 10,000 | 10,000 | 10,000 |
| 7 | OTHER CASH INCOME: | 1,468,451 | 1,273,552 | 1,458,064 | 1,460,472 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 19,667,608 | 19,805,299 | 20,356,736 | 20,724,717 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $19,667,608 | $19,805,299 | $20,356,736 | $20,724,717 |

FORM 11-3

Other cash income includes Federal, State and Local grants and contracts, endowment income, and traffic charges

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CSA0000 INSTITUTION SOUTHERN ARKANSAS UNIVERSITY APPROPRIATION 292

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 13,556,711 | 14,020,631 | 14,788,277 | 14,226,407 | 14,518,474 | | |
| 2 | EXTRA HELP WAGES | 25,000 | 25,000 | 25,000 | 25,000 | 30,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 2,031,998 | 2,156,339 | 2,514,007 | 2,148,700 | 2,273,700 | | |
| 5 | OPERATING EXPENSES | 300,000 | 300,000 | 389,385 | 300,000 | 400,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | 253,652 | 300,000 | 300,000 | 255,159 | 300,000 | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $16,167,361 | $16,801,970 | $18,016,669 | $16,955,266 | $17,522,174 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 113,185 | 212,992 | | | | | |
| 16 | GENERAL REVENUE | 14,919,354 | 15,449,575 | | 15,815,863 | 16,382,771 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUN | 1,205,061 | 1,139,403 | | 1,139,403 | 1,139,403 | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 142,753 | | | | | | |
| 22 | TOTAL INCOME | $16,380,353 | $16,801,970 | | $16,955,266 | $17,522,174 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($212,992) | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

Other State Funds: $141,499 GIF released to restore RSA funding that was cut on May 4, 2010, net amount of Tuition reimbursement, lease bonus funds, workman's comp and special revenue fees

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CSA0000 INSTITUTION SOUTHERN ARKANSAS UNIVERSITY APPROPRIATION 83G

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | | 45,000 | 45,000 | 45,000 | 45,000 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | | 13,500 | 13,500 | 13,500 | 13,500 | | |
| 5 | OPERATING EXPENSES | | 41,500 | 41,500 | 41,500 | 41,500 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $0 | $100,000 | $100,000 | $100,000 | $100,000 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | | | | | | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | | 100,000 | | 100,000 | 100,000 | | |
| 22 | TOTAL INCOME | $0 | $100,000 | | $100,000 | $100,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

NOTE: This funds are derived from a transfer from the State Board of Collection Agencies for use by the SAU System.

# APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2080000 INSTITUTION SOUTHERN ARKANSAS UNIVERSITY APPROPRIATION A63

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 3,037,431 | 7,081,800 | 7,081,800 | 7,081,800 | 7,081,800 | | |
| 2 | EXTRA HELP WAGES | 2,337,901 | 5,400,000 | 5,400,000 | 5,400,000 | 5,400,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 2,594,271 | 4,001,000 | 4,001,000 | 4,001,000 | 4,001,000 | | |
| 5 | OPERATING EXPENSES | 10,780,666 | 16,542,000 | 16,542,000 | 16,942,200 | 16,942,200 | | |
| 6 | CONFERENCE FEES & TRAVEL | 196,696 | 1,200,000 | 1,200,000 | 1,000,000 | 1,000,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 486,875 | 1,250,000 | 1,250,000 | 1,050,000 | 1,050,000 | | |
| 8 | DATA PROCESSING | 53,225 | 525,000 | 525,000 | | | | |
| 9 | CAPITAL OUTLAY | 997,173 | 3,200,000 | 3,200,000 | 2,200,000 | 2,200,000 | | |
| 10 | CAPITAL IMPROVEMENTS | 9,622,546 | 10,700,000 | 10,700,000 | 11,225,000 | 11,225,000 | | |
| 11 | DEBT SERVICE | 2,192,904 | 2,200,000 | 2,200,000 | 3,200,000 | 3,200,000 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | | 1,900,000 | 1,900,000 | 1,900,000 | 1,900,000 | | |
| 13 | | | | | | | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | CONTINGENCY | | 200 | 200 | | | | |
| 17 | TOTAL APPROPRIATION | $32,299,688 | $54,000,000 | $54,000,000 | $54,000,000 | $54,000,000 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 32,299,688 | 54,000,000 | | 54,000,000 | 54,000,000 | | |
| 20 | FEDERAL CASH FUNDS | | | | | | | |
| 21 | OTHER CASH FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $32,299,688 | $54,000,000 | | $54,000,000 | $54,000,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 413 | 415 | 504 | 502 | 502 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 1,575 | 1,800 | 1,800 | 1,900 | 1,900 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

SOUTHERN ARKANSAS UNIVERSITY
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 1,050,378 | 2,721,074 | 87,440 | (1,758,136) | 1,153,272 | 2,361,844 | 86,629 | (1,295,201) |
| 2 RESIDENCE HALL | 3,934,046 | 2,831,511 | 621,770 | 480,765 | 3,704,223 | 2,809,831 | 644,593 | 249,799 |
| 3 MARRIED STUDENT HOUSING | | | | 0 | | | | 0 |
| 4 FACULTY HOUSING | 22,020 | 6,712 | | 15,308 | 22,000 | 7,662 | | 14,338 |
| 5 FOOD SERVICES | 2,422,134 | 1,805,523 | | 616,611 | 2,140,685 | 1,552,329 | | 588,356 |
| 6 COLLEGE UNION | 38,434 | 226,081 | 29,478 | (217,125) | 28,000 | 217,779 | 29,738 | (219,517) |
| 7 BOOKSTORE | 158,588 | 8,080 | | 150,508 | 160,000 | 8,671 | | 151,329 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | 456,430 | 426,930 | | 29,500 | 424,820 | 377,844 | | 46,976 |
| 9 STUDENT HEALTH SERVICES | 180,025 | 168,782 | | 11,243 | 172,888 | 173,009 | | (121) |
| 10 OTHER (POST OFFICE) | 86,074 | 151,959 | | (65,885) | 97,800 | 153,283 | | (55,483) |
| 11 SUBTOTAL | $8,348,129 | $8,346,652 | $738,688 | (737,211) | $7,903,688 | $7,662,252 | $760,960 | (519,524) |
| 12 ATHLETIC TRANSFER ** | 1,124,720 | | | 1,124,720 | 1,124,720 | | | 1,124,720 |
| 13 OTHER TRANSFERS *** | 83,709 | | | 83,709 | (21,000) | | | (21,000) |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | $9,556,558 | $8,346,652 | $738,688 | 471,218 | $9,007,408 | $7,662,252 | $760,960 | 584,196 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

SOUTHERN ARKANSAS UNIVERSITY
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: 347
(As of November 1, 2009 )

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 11 | Black Male: | 2 | Other Male: | 0 | Total | Male: | 13 |
| White Female: | 13 | Black Female: | 3 | Other Female: | 0 | Total | Female: | 16 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | | Black Male: | | Other Male: | | Total | Male: | 0 |
| White Female: | | Black Female: | | Other Female: | | Total | Female: | 0 |
| Classified Employees: | | | | | | | | |
| White Male: | 44 | Black Male: | 4 | Other Male: | 1 | Total | Male: | 49 |
| White Female: | 84 | Black Female: | 23 | Other Female: | | Total | Female: | 107 |
| Faculty: | | | | | | | | |
| White Male: | 73 | Black Male: | 7 | Other Male: | 12 | Total | Male: | 92 |
| White Female: | 57 | Black Female: | 6 | Other Female: | 7 | Total | Female: | 70 |
| Total White Male: | 128 | Total Black Male: | 13 | Total Other Male: | 13 | Total | Male: | 154 |
| Total White Female: | 154 | Total Black Female: | 32 | Total Other Female: | 7 | Total | Female: | 193 |
| Total White: | 282 | Total Black: | 45 | Total Other: | 20 | Total | Employees: | 347 |
| | | | | **Total Minority:** | 65 | | | |

FORM 11-8

**June 30, 2009**

| | |
|---|---|
| *Finding:* | No Findings noted |

The University of Arkansas System Administration provides a wide variety of services in support of the Board of Trustees, the President, campuses and entities. The campuses and entities of the UA System include the following:

**Institutions**

*University of Arkansas, Fayetteville*
*University of Arkansas at Fort Smith*
*University of Arkansas at Little Rock*
*University of Arkansas at Monticello*
*University of Arkansas for Medical Sciences*
*University of Arkansas at Pine Bluff*
*Cossatot Community College UA*
*Phillips Community College UA*
*UA Community College at Batesville*
*UA Community College at Hope*
*UA Community College at Morrilton*

**Entities**

*UA Division of Agriculture*
*UA Clinton School of Public Service*
*UA Criminal Justice Institute*
*Arkansas Archeology Survey*
*Arkansas School for Mathematics, Sciences & the Arts*
*UAF – Garvan Woodland Gardens*
*UA Winthrop Rockefeller Institute*

## INSTITUTION MISSION STATEMENT

The University of Arkansas System Administration carries out the governance and administration of the University of Arkansas System in accord with policies of the Board of Trustees and the President through delegated authority. The system administration provides assistance to the campuses and entities in achieving the comprehensive mission of the University of Arkansas System.

## INSTITUTIONAL GOALS

Goal One: To provide administrative staff support for the governing Board of Trustees and the President as the chief executive officer of the University of Arkansas System.
Goal Two: To provide services that assist the individual campuses and entities in achieving the comprehensive mission of the University of Arkansas System.
Goal Three: To provide leadership and promote collaboration to increase degree productivity within the UA System.

**PROGRAMS AND DEFINITIONS**

*General Administration*

General Administration includes activities related to general administrative operations, executive direction, and central executive-level activities concerned with management and long-range planning for the University of Arkansas System.

Goal One: To provide administrative staff support for the governing Board of Trustees and the President as the Chief Executive Officer of the University of Arkansas System.

**Objective One: Provide financial and accounting services**

Strategy One: Advance the development and implementation of policies of financial reporting for the Board of Trustees and other constituents.

Strategy Two: Develop for the Board of Trustees and the President a report on annual operating budgets with quarterly updates for all campuses and entities.

Strategy Three: Compose and produce the consolidated financial statement of the University of Arkansas System. Distribute to internal and external constituencies such as trustees, campus officials, bond disclosure agents, rating agencies, state officials, financial institutions, etc.

**Objective Two: Provide legal and regulatory counsel.**

Strategy One: Provide representation for the Board of Trustees and the President in all litigation that is a result of the performance of their System duties and responsibilities.

**Objective Three: Promote community and government relations**

Strategy One: Improve public relations and the coordination of media contacts for the Board of Trustees, the President and the University of Arkansas System.

**Objective Four: Provide internal audit services**

Strategy One: Prepare a risk assessment report for the University of Arkansas System for the Board of Trustees and the President.

*Institutional Support*
Institutional Support includes legal and fiscal operations, planning and programming, internal audit, support services to campuses and entities; and activities concerned with community and government relations.

Goal One: To provide services that assist the individual campuses and entities in achieving the comprehensive mission of the University of Arkansas.

**Objective One: Provide financial and accounting services**
Strategy One: Provide and administer a program of employee benefits and risk management
Strategy Two: Provide financial and accounting advice, reporting and consultation and the preparation of consolidated financial reports.
Strategy Three: Coordinate, develop, and implement investment policies for all pooled funds of the University of Arkansas System.
Strategy Four: Strengthen overview of procedures and policies for all capital construction.

**Objective Two: Provide legal and regulatory counsel**
Strategy One: Provide legal and regulatory counsel to the campuses and entities of the University of Arkansas System to include representation in litigation.
Strategy Two: Minimize the risk of liability or loss to the University by coordination, communication and advice to the campuses and entities concerning applicable legal and regulatory matters.
Strategy Three: Support campuses and entities in the exercise of governance authority within applicable policies of the Board; state, federal and local laws and regulations; and judicial decisions.

**Objective Three: Promote community and government relations**
Strategy One: Serve as an advocate and liaison between the state and federal government and the campuses and entities of the System.

**Objective Four: Provide internal audit services**
Strategy One: Provide risk assessed audit services to insure an accountable use of resources and the cost effective performance of the campuses and entities in accordance with applicable laws, regulations and Board of Trustee policies.

**Objective Five: Promote cooperative and collaborative programs for campuses and entities**
Strategy One: Coordinate the development of distance learning opportunities provided by campuses and entities.
Strategy Two: Expand strategies for planning, assessment and development that encourage consensus building among all campuses and entities.

**General Revenue Request:**
Of the recommended need of an additional $226,539 (FY12), $309,513 (FY13) for the University of Arkansas System Office, the Arkansas Higher Education Coordinating Board has recommended an increase in new general revenue funds of **$**26,360( FY12), $51,363 (FY13). The flat growth of general revenue for a decade combined with extensive growth in FTE and services provided has placed the System Office with a critical need for additional funding. If approved, the additional $26,360 (0.77%) would be applied toward providing a cost-of living adjustment for staff.

**Personnel Request:**
No additional positions over authorized have been requested.

## Goals and Objectives

As revised by the Arkansas Higher Education Coordinating Board (AHECB), following is the role and scope designation for the University of Arkansas, Fayetteville.

## *Institutional Role and Scope*

### 1. Audiences

The University of Arkansas, Fayetteville (UAF) has a statewide mission. As such, its audiences are:

- Residents from throughout Arkansas who have excelled in high school studies and are seeking to complete baccalaureate degrees
- Individuals seeking graduate and professional degrees
- Employers, both public and private, seeking not only well-educated employees but technical assistance and applied research
- Economic development interests and entrepreneurs throughout the state
- Academic disciplines and the research community
- The community and area by providing a broad range of academic and cultural activities and public events.
- Two-year college transfer students

**2. Array of Programs and Services**

**UAF offers:**

- A broad range of baccalaureate, masters, doctoral and professional programs that include core arts and sciences, agriculture, architecture, journalism, information sciences, education, engineering, law, public administration, nursing, allied health, and business

- Basic and applied research

- Services specifically designed to meet the needs of statewide economic development— continuing professional education, technical and professional services, support of small businesses and entrepreneurs, and technology transfer

**3. Special Features**

- UAF is the state's 1862 land-grant institution and is classified as a Carnegie high research activity university.

- Nationally competitive research and economic development activity in emerging areas such as nanotechnology, laser technology, biotechnology, and sustainability

- Library resources and special holdings such as the Fulbright papers are made available through on-site and electronic access to student and faculty scholars and citizens throughout the state.

-- *AHECB Quarterly Agenda*, Item #7, July 25, 2008

As acknowledged by the AHECB, the University of Arkansas is the oldest and largest state institution of higher education and the primary state and land-grant university in Arkansas, offering the state's most comprehensive array of undergraduate, professional, graduate, and honors programs. Through these programs, students have the opportunity to participate in nationally competitive research, to study abroad, and to work in business, industry, and other institutions through internships. Courses and degree programs are offered by both traditional and technology-mediated instruction to students at other campuses and sites in Arkansas and on some military bases and at international sites.

The University of Arkansas also provides a wide range of public- and economic development-related services including—most especially—technical and professional services to further the economic growth of Arkansas. In addition, the University of Arkansas assists other institutions of public and higher education in Arkansas by providing specialized resources, such as computing, library, and information technology services and expertise in many disciplines. Public- and economic development-related services are provided through the various academic departments, schools, and colleges and by specialized units such as the Arkansas Leadership Academy, the Legal Clinic, the Small Business Development Center, the Center for Business and Economic Research, the Community Design Center, Genesis (the technology-based business incubator), the Global Campus of the School of Continuing Education and Academic Outreach, and the Arkansas Research and Technology Park.

Recognized as a Carnegie Research University with high research activity, the University of Arkansas is the only comprehensive research university in Arkansas. Pursuit of research, scholarly and creative endeavors is a significant responsibility of faculty members at the University of Arkansas, along with integrating original scholarship with teaching and public outreach activities. Such integrated efforts are designed to advance the frontiers of knowledge and to apply that knowledge to improve human understanding, advance economic development and the standard of living and quality of life of people in Arkansas, the nation, and the world. University of Arkansas research, scholarly and creative programs also play important roles in graduate education and increasingly in undergraduate programs as well.

Research and scholarly efforts at the University of Arkansas are pursued by faculty members through the various academic departments, schools, and colleges and through specialized units such as the Business and Economic Research Center, the Mack Blackwell Rural Transportation Center, the High Density Electronics Center, the Center for Advanced Spatial Technologies, the Center for Protein Structure and Function, the Center for Semiconductor Physics in Nanostructures, and the Institute of Food Science and Engineering.

## Nationally Competitive Students, Nationally Competitive University

The University of Arkansas is enrolling and graduating more students than any other institution in Arkansas. The qualifications and diversity of the entering freshmen classes have continued to increase in recent years, as have the University's efforts to retain and graduate students. Through its competitive scholarship programs and endowed chairs and professorships, the University of Arkansas is retaining many of Arkansas' best students and attracting scholars from throughout the world. The University's progress brings positive national notice to the State of Arkansas in the higher education arena as well as in the areas of economic development, basic and applied research and scholarship. The University of Arkansas is committed to putting Students First to ensure that its diverse mix of students receive the assistance they need to succeed both at the University and in their chosen careers upon graduation.

## Fueling the Arkansas Economy

The University of Arkansas strives to fuel the Arkansas economy:

- Through its graduates

The knowledge-based economy of the 21st Century requires skilled, educated workers. University of Arkansas graduates receive the nationally competitive education necessary to succeed in the knowledge-based economy—the kind of education that will fuel the economic and cultural growth of the State of Arkansas.

- By attracting businesses to Arkansas

Proximity to nationally competitive public research universities is often a deciding factor when relocating existing businesses. Corporations such as Wal-Mart have cited the University of Arkansas as a major reason why they are headquartered in Arkansas.

- By supporting new businesses

Over the past six years, the University of Arkansas Technology Development Foundation has overseen a steady transformation of the Arkansas Research and Technology Park (ARTP) into a multi-faceted knowledge community focused on innovation and technology development. The ARTP has added significant physical infrastructure in the form of the Innovation Center, the Enterprise Center and the National Center for Reliable Electric Power Transmission, bringing the total R&D capacity in the research park to nearly 300,000 square feet. A portfolio of 30 public/private affiliates now reside in the park and former affiliates such as Duralor, Ocean NanoTech and BioBased Technologies have chosen Northwest Arkansas as the headquarters for commercialization of products developed through R&D at the ARTP. By growing and retaining these companies, the ARTP is contributing to the development of a technologically skilled workforce, with the addition of over 200 high technology jobs, earning an average salary of over $70,000. Furthermore, ARTP affiliate companies have secured over $38 million in Federal grants and contracts since January 2005 providing the research and development basis for these companies to continue to grow their financial viability and employment base. The Arkansas Research and Technology Park is now recognized as a State asset supporting the formation, growth and retention of emerging technology companies that add an important dimension to the state economy.

## University of Arkansas Research

In FY09, the University expended $117.5 million, compared to $63.2 million in FY99, in total research and development expenditures, as reported to the National Science Foundation. These totals include not only the external research awards actually spent in that year, but also institutional funds invested in research as well as funded and unfunded indirect costs. The $117.5 million in total R&D expenditures during the first year of the current biennium represents a 3.3 percent increase over the $113.8 million expended in the first year of the

previous biennium (FY07) and an 86 percent increase since FY99. In FY09 almost $33.2 million of the University's research expenditures were derived from federal funding sources.

## General Revenue Request

The University of Arkansas is a formula driven entity and did not make a request for general revenue. The increase in general revenue funding is a result of the recommendation made by the Arkansas Higher Education Coordinating Board. New funds in the recommended amounts of $4,341,220 for FY12 and $6,130,778 for FY13 will be used to fund enrollment growth through new faculty hiring, to provide competitive salaries and fringe benefits for faculty and staff, and to fund required cost increases such as utilities. Based on recent experience in hiring 17 new faculty members in areas with student growth, approximately $1.25 million would be required in each year of the biennium to fund expected growth. Some funds will likely be allocated to additional staff to meet the demands of increased enrollment such as the staffing levels of the Student Health Center whose workload scales with the size of the student body. Expected 5% utility cost increases will require approximately $0.5 million each year of the biennium. The remaining FY12 funding of $2,591,220 would fund approximately a 1.4% salary increase and only partially pay for salary increases required to have competitive salaries and fringe benefits for faculty and staff.

## Cash Appropriation Request

No change from the Total Appropriation Authorization for 2012 or 2013 is requested.

## Personal Services Request

A net of one hundred and twenty-one (+121) additional positions is requested. University of Arkansas Auxiliary Enterprises have requested two fewer positions (-2). The remaining net change of one hundred twenty-three (+123) is in Fayetteville Educational and General positions.

In order to expand research activities and to strengthen the University's commitment to research and economic development, the Vice Provost for Research and Economic Development, and the Associate Vice Provost for Research Computing titles are being requested. These two positions will be dedicated to expansion and support of research partnerships with public and private entities, commercialization of innovations, and support of research cyber-infrastructure expansion (+2). Additional Graduate Assistants were also added to assist in the support of research for a net increase of one hundred (+100). Such research provides the foundation for continued economic development in the State.

Under the direction of the Chancellor and Provost, reorganization of the responsibilities of Student Affairs has occurred. New titles and changes in titles have been requested for this area. The additional Vice Provost and other titles are being offset by reduction of Associate Vice Chancellor and other titles – positions at similar salary levels offsetting one another. The reorganization makes it possible to meet enrollment growth needs.

In order to be consistent in the management of faculty titles, new 12 month and 9 months titles were requested in Engineering. These requests were offset by reductions in general faculty titles. Twelve additional WCOB (Walton College of Business) faculty titles were also requested (+12) offset by the reduction of one twelve month faculty title (-1).

Twelve Project/Program titles are being requested to support research compliance, student programs, and graduate school expansion due to increased graduate enrollment (+12) offset by reductions in other administrative titles (-2).

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**ARE-ON is a high-speed fiber-based optical communications network and associated applications established and operated by a consortium of public four-year universities in Arkansas. ARE-ON is governed by the presidents and chancellors of participating institutions, in cooperation with the Arkansas Department of Higher Education.**

- ARE-ON is an ECONOMIC DEVELOPMENT ASSET of the State created by the public, four-year institutions of higher education, University of Arkansas for Medical Sciences, and the University of Arkansas' Division of Agriculture.

- ARE-ON is a collaborative environment that empowers each institution to leverage the unique and agile capabilities of high performance networking and computing for RESEARCH, EDUCATION, ECONOMIC DEVELOPMENT, and EMERGENCY PREPAREDNESS.

- ARE-ON is a link between the CYBER INFRASTRUCTURE INITIATIVES in the State and the GLOBAL RESEARCH and EDUCATION COMMUNITY.

- ARE-ON is a member of the NATIONAL RESEARCH and EDUCATION NETWORK FAMILY that shares resources across many states to increase access to technology investments while being mindful of cost savings.

- ARE-ON is a UNIFYING ORGANIZATION dedicated to leveraging current and evolving technologies for the COLLECTIVE BENEFIT of Arkansans.

- CREATIVE MINDS +ADVANCED CYBER INFRASTRUCTURE = ARE-ON

- ARE-ON+INNOVATIVE APPLICATIONS = ECONOMIC DEVELOPMENT

**ARE-ON focuses its strategic initiatives, operational objectives and tactical goals and events on four Core Agendas:**

1. Research Agenda( basic and applied )
2. Academic Agenda( scaling advanced cyberinfrastructure across the curriculum)
3. Telemedicine and Telehealth ( applying advanced cyberinfrastructure to healthcare in support of UAMS )
4. Emergency Preparedness ( integrating advanced cyberinfrastructure into the process of planning and implementation of training and education related to Emergency Preparedness/Management programs in higher education and beyond as appropriate.

Each Core agenda is directly allied with ongoing, quantifiable statewide needs. ARE-ON represents a critical component of the higher education mission to be both a cultural and economic engine for the state of Arkansas.

**General Revenue Request:**
Of the recommended need of $602,062 (FY12), $620,124 (FY13) for ARE-ON, the Arkansas Higher Education Coordinating Board has recommended an increase in new general revenue funds of **$**70,056 (FY12), $161,339 (FY13). If approved, the additional funds would be applied toward maintenance and operation of the network.

**Cash Appropriation Request:**
The University of Arkansas for Medical Sciences (UAMS) has received a federal stimulus grant of $102 million to establish or upgrade broadband connections at 474 health care and education sites across Arkansas. A portion of this grant will allow for the two-year community colleges to receive connectivity to AREON. To manage fiber construction and connectivity at the two-year colleges, UAMS will grant a subaward of $42 million to AREON for the construction and/or leasing of fiber optic network routes including the purchase of network equipment. The grant is to be spent within the next three years. Additional appropriation authority in the commitment items of operating, professional fees and services, capital outlay and capital improvements is requested to cover the expenditures related to this grant.

**Personnel Request:**
No additional positions over authorized have been requested.

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The Knowledge Based Economic Development (KBED) program is a collaborative effort including Accelerate Arkansas and the Arkansas Research Alliance to improve the per capita income of Arkansans and facilitate university research collaborations to provide leverage for federal funding. The KBED program also supports Science, Technology, Engineering, and Mathematics (STEM) initiatives. The Leadership Development program of the Winthrop Rockefeller Institute (WRI) includes professional development for legislative leaders and policy conferences in partnership with the Clinton School of Public Service and the Blair Center of Southern Politics. The Research Based Innovation program includes technical and policy conferences that facilitate collaboration to provide leverage for federal research funding. This program also includes conservation and sustainability workshops, as well as small acreage farming efforts in collaboration with the UA Division of Agriculture and the Applied Sustainability Center of the UofA Walton College of Business. These activities will be measured through a variety of outcomes to include the increase of federal research dollars to Arkansas, increased collaboration with all economic development groups, research-based institutions of higher learning, and sustainability stakeholders in all areas of the state.

**General Revenue Request:**
Support for knowledge-based economic development initiatives and conference is the purpose for this appropriation request. Knowledge-based, high-tech initiatives are the most effective method to raise per capita income in the State of Arkansas. These initiatives will be in collaboration with other state agencies and institutions of higher education. The Arkansas Higher Education Coordinating Board is recommending new funds of $108,098 (FY12), $248,951 (FY13).

**Personnel Request:**
No additional positions over authorized have been requested.

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Garvan Woodland Gardens (GWG), located in Hot Springs, Arkansas is part of the University of Arkansas System. The land was donated by Mrs. Verna Cook Garvan to the School of Architecture at the University of Arkansas, Fayetteville. She maintained control of the property and continued to develop it until her death in 1993. The University of Arkansas, department of landscape architecture (a division of the School of Architecture), began the daunting task of documenting every plant species and the quantity of each. GWG also serves an important role as a tourism designation for the State with 131,000 visitors to the Gardens last year. In comparison, the average attendance of 10 out of 13 university gardens was 84,800.

Garvan Woodland Gardens is striving to be self-supporting through visitor fees and fund-raising efforts. This request for general revenue is to establish a base level of support. Below find some statistics regarding state support of university gardens:

- Average state support as a percentage of the operating budget for university garden costs in the Southeastern Conference: 44.9%;

- Average state support as a percentage of the operating budget for other Southeastern university garden costs: 51.4%;

- Average state support as a percentage of the operating budget for university garden costs nationally: 47.0%.

**General Revenue Request:**
The context from which the request by Garvan Woodland Gardens begins with one vision and mission:

**Vision** – Garvan Woodland Gardens, a living legacy of Verna Cook Garvan, inspires and advances sustainable relationships between people, art, and nature in a nationally-recognized botanical garden.

**Mission** – Garvan Woodland Gardens is a viable and sustainable entity within the University of Arkansas. The organization preserves and enhances a unique part of the Ouachita Mountain Environment while providing people with a place of learning, research, cultural enrichment, and serenity. Developing and sustaining gardens, landscapes, and structures of exceptional aesthetics, design, and construction is a core purpose. Garvan partners with and serves the communities of which it is a part.

Of the recommended need of an additional $350,000 for the Gardens, the Arkansas Higher Education Coordinating Board has recommended an increase in new general revenue funds of **$**58,180 (FY2012) and $133,989 (FY2013). If approved, this request for general revenue will aid the Gardens in the increasing costs of maintenance and operations (M&O) of this 210-acre garden to ensure its quality and sustainability for generations to come. Garvan Woodland Gardens (GWG) serves as an outdoor classroom for educational groups and also serves an important role as a tourist destination with over 131,000 visitors to the Garden last year. GWG continues its efforts to be self-supporting by generating 76% of its operating budget through visitor fees, special events, memberships, endowment income, and fund-raising efforts last year with a part in 10.7 million dollars in local economic impact according to the Economic Research Associated in 2008.

**Personnel Request:**
The Gardens is requesting the establishment of its own section of positions in the UA Fund personal services section to consist of fourteen (14) positions.

**INSTITUTION APPROPRIATION SUMMARY**
**2011-13 BIENNIUM**

**INSTITUTION** UNIVERSITY OF ARKANSAS FUND

| | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 STATE TREASURY | 194,252,613 | | 201,357,117 | | 222,304,885 | | 242,248,588 | | 203,767,044 | | 251,159,981 | | 211,279,892 | |
| 2 CASH | 394,189,328 | | 840,042,500 | | 840,042,500 | | 840,042,500 | | 840,042,500 | | 840,042,500 | | 840,042,500 | |
| 3 TOBACCO - FAYETTEVILLE | 2,072,160 | | 1,579,014 | | 2,375,563 | | 2,375,563 | | 2,375,563 | | 2,375,563 | | 2,375,563 | |
| 4 TOBACCO - AGRI EXPERIMENT | 2,072,068 | | 1,579,014 | | 2,415,432 | | 2,415,432 | | 2,415,432 | | 2,415,432 | | 2,415,432 | |
| 5 CASH - SOILS TESTING | 1,258,944 | | 5,742,264 | | 5,742,264 | | 3,750,000 | | 3,750,000 | | 3,750,000 | | 3,750,000 | |
| 6 CASH - AREON | 1,188,615 | | 11,654,500 | | 11,654,500 | | 55,003,500 | | 55,003,500 | | 55,003,500 | | 55,003,500 | |
| 7 STATE - CJI - CLANDESTINE METH. | 150,000 | | 150,000 | | 150,000 | | 150,000 | | 150,000 | | 150,000 | | 150,000 | |
| 8 STATE - LAW SCHOOL | 542,248 | | 800,000 | | 800,000 | | 800,000 | | 800,000 | | 800,000 | | 800,000 | |
| 9 STATE - AREON | 0 | | 0 | | 0 | | 602,062 | | 70,056 | | 620,124 | | 161,339 | |
| 10 STATE - WINROCK INSTITUTE | 0 | | 0 | | 991,105 | | 929,000 | | 108,098 | | 956,870 | | 248,951 | |
| 11 STATE - GARVAN WOODLAND GARDENS | 0 | | 0 | | 350,000 | | 350,000 | | 58,180 | | 350,000 | | 133,989 | |
| 12 TOTAL | $595,725,976 | 5,653 | $1,062,904,409 | 6,190 | $1,086,826,249 | 7,039 | $1,148,666,645 | 7,178 | $1,108,540,373 | 7,172 | $1,157,623,970 | 7,178 | $1,116,361,166 | 7,172 |
| **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 13 PRIOR YEAR FUND BALANCE* | 1,784,284 | 0% | 2,484,786 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 14 GENERAL REVENUE | 178,818,313 | 30% | 185,173,362 | 17% | | | 230,430,681 | 20% | 190,304,409 | 17% | 239,388,006 | 21% | 198,125,202 | 18% |
| 15 EDUCATIONAL EXCELLENCE TRUST FUND | 14,586,164 | 2% | 13,698,969 | 1% | | | 13,698,969 | 1% | 13,698,969 | 1% | 13,698,969 | 1% | 13,698,969 | 1% |
| 16 WORKFORCE 2000 | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 17 CASH FUNDS | 396,554,356 | 66% | 848,233,169 | 80% | | | 898,796,000 | 78% | 898,796,000 | 81% | 898,796,000 | 78% | 898,796,000 | 81% |
| 18 SPECIAL REVENUES-LAW FILING FEES | 542,248 | 0% | 800,000 | 0% | | | 800,000 | 0% | 800,000 | 0% | 800,000 | 0% | 800,000 | 0% |
| 19 FEDERAL FUNDS | | 0% | 9,206,095 | 1% | | | | 0% | | 0% | | 0% | | 0% |
| 20 TOBACCO SETTLEMENT FUNDS | 4,145,064 | 1% | 3,158,028 | 0% | | | 4,790,995 | 0% | 4,790,995 | 0% | 4,790,995 | 0% | 4,790,995 | 0% |
| 21 OTHER FUNDS | 1,780,333 | 0% | 150,000 | 0% | | | 150,000 | 0% | 150,000 | 0% | 150,000 | 0% | 150,000 | 0% |
| 22 TOTAL INCOME | $598,210,762 | 100% | $1,062,904,409 | 100% | | | $1,148,666,645 | 100% | $1,108,540,373 | 100% | $1,157,623,970 | 100% | $1,116,361,166 | 100% |
| 23 EXCESS (FUNDING)/APPROPRIATION | ($2,484,786) | | $0 | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $63,453,706 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $12,981,484 |
| INVENTORIES | $4,769,024 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | |
| INSURANCE DEDUCTIBLES | |
| MAJOR CRITICAL SYSTEMS FAILURES | |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $44,071,106 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | |
| OTHER (FOOTNOTE BELOW) | |
| UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE | $1,632,092 |

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

UNIVERSITY OF ARKANSAS SYSTEM OFFICE

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | SALARIES | 3,601,525 | 3,824,133 | 3,938,857 | 3,938,857 | 4,057,023 | 4,057,023 |
| 2 | FRINGE | 864,500 | 954,116 | 982,739 | 982,739 | 1,012,222 | 1,012,222 |
| 3 | EXTRA HELP | 57,972 | 147,000 | 147,000 | 147,000 | 147,000 | 147,000 |
| 4 | MAINTENANCE & OPERATIONS | 925,125 | 1,100,495 | 1,305,265 | 1,043,087 | 1,344,570 | 1,022,590 |
| 5 | DEBT SERVICE | 92,191 | 0 | 0 | 0 | 0 | 0 |
| 6 | CAPITAL OUTLAY | 15,069 | 132,841 | 100,000 | 100,000 | 100,000 | 100,000 |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | 350,415 | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $5,906,797 | $6,158,585 | $6,473,862 | $6,211,683 | $6,660,814 | $6,338,834 |
| 17 | NET LOCAL INCOME | 2,348,131 | 2,452,692 | 2,526,273 | 2,526,273 | 2,602,061 | 2,602,061 |
| 18 | PRIOR YEAR BALANCE*** | | 46,843 | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 3,300,648 | 3,417,950 | 3,706,489 | 3,444,310 | 3,817,653 | 3,495,673 |
| 20 | EDUCATIONAL EXCELLENCE | 256,714 | 241,100 | 241,100 | 241,100 | 241,100 | 241,100 |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS **** | 31,304 | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $5,936,797 | $6,158,585 | $6,473,862 | $6,211,683 | $6,660,814 | $6,338,834 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

****General Improvement Funds released to restore May 4, 2010 RSA cut.

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

**UNIVERSITY OF ARKANSAS, FAYETTEVILLE**

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 111,255,247 | 108,792,106 | 116,875,937 | 121,835,321 |
| 2 | RESEARCH | 12,973,683 | 13,614,376 | 14,827,916 | 15,457,107 |
| 3 | PUBLIC SERVICE | 9,620,680 | 4,097,818 | 4,462,475 | 4,651,831 |
| 4 | ACADEMIC SUPPORT | 30,226,949 | 24,497,091 | 26,683,613 | 27,815,875 |
| 5 | STUDENT SERVICES | 18,200,918 | 17,694,636 | 19,273,802 | 20,091,645 |
| 6 | INSTITUTIONAL SUPPORT | 27,883,195 | 37,015,502 | 40,317,111 | 42,027,883 |
| 7 | PHYSICAL PLANT M&O | 25,006,303 | 30,163,136 | 32,857,533 | 34,251,773 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 13,435,789 | 19,451,766 | 21,187,081 | 22,086,112 |
| 9 | LAW SCHOOL | | 12,414,664 | | |
| 10 | OTHER ENTITY | 5,443,126 | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | MANDATORY TRANSFERS | 12,099,091 | 13,884,432 | 13,884,432 | 13,884,432 |
| 14 | AUXILIARY TRANSFERS | 189,016 | 156,340 | 156,340 | 156,340 |
| 15 | NON-MANDATORY TRANSFERS | (4,679,169) | | | |
| 16 | TOTAL UNREST. E&G EXP. | $261,654,828 | $281,781,867 | $290,526,240 | $302,258,319 |
| 17 | NET LOCAL INCOME | 162,577,297 | 159,402,669 | 165,294,700 | 170,896,000 |
| 18 | PRIOR YEAR BALANCE*** | 1,701,753 | 1,488,878 | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 108,645,387 | 112,506,550 | 116,847,770 | 122,978,549 |
| 20 | EDUCATIONAL EXCELLENCE | 8,926,733 | 8,383,770 | 8,383,770 | 8,383,770 |
| 21 | WORKFORCE 2000 | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | |
| 23 | OTHER STATE FUNDS **** | 1,507,879 | | | |
| 24 | TOTAL SOURCES OF INCOME | $283,359,049 | $281,781,867 | $290,526,240 | $302,258,319 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

****Other State Funds: $542,248 Filing Fees, $13,409 Tuition Adjustment Funds, ($78,526) Other Transfers out, $328 net COSL Royalty Revenue, and $1,030,420 GIF released to restore May 4, 2010 RSA cut

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

**ARKANSAS RESEARCH & EDUCATION OPTICAL NETWORK**

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | Research | 1,188,615 | 2,448,405 | 2,521,857 | 1,989,851 | 2,597,513 | 2,138,728 |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
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| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $1,188,615 | $2,448,405 | $2,521,857 | $1,989,851 | $2,597,513 | $2,138,728 |
| 17 | NET LOCAL INCOME | 1,106,084 | 2,448,405 | 1,919,795 | 1,919,795 | 1,977,389 | 1,977,389 |
| 18 | PRIOR YEAR BALANCE*** | 82,531 | | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | | | 602,062 | 70,056 | 620,124 | 161,339 |
| 20 | EDUCATIONAL EXCELLENCE | | | | | | |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS ** | | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $1,188,615 | $2,448,405 | $2,521,857 | $1,989,851 | $2,597,513 | $2,138,728 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

UA WRI Knowledge Based Economic Development Program

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | PUBLIC SERVICE | | | 929,000 | 108,098 | 956,870 | 248,951 |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
| 5 | | | | | | | |
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| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $0 | $0 | $929,000 | $108,098 | $956,870 | $248,951 |
| 17 | NET LOCAL INCOME | | | | | | |
| 18 | PRIOR YEAR BALANCE*** | | | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | | | 929,000 | 108,098 | 956,870 | 248,951 |
| 20 | EDUCATIONAL EXCELLENCE | | | | | | |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS ** | | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $0 | $0 | $929,000 | $108,098 | $956,870 | $248,951 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

UA Garvan Woodland Gardens

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | Public Service | | | 350,000 | 58,180 | 350,000 | 133,989 |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
| 5 | | | | | | | |
| 6 | | | | | | | |
| 7 | | | | | | | |
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| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $0 | $0 | $350,000 | $58,180 | $350,000 | $133,989 |
| 17 | NET LOCAL INCOME | | | | | | |
| 18 | PRIOR YEAR BALANCE*** | | | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 0 | 0 | 350,000 | 58,180 | 350,000 | 133,989 |
| 20 | EDUCATIONAL EXCELLENCE | | | | | | |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS ** | | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $0 | $0 | $350,000 | $58,180 | $350,000 | $133,989 |

FORM 11-2A

Note: As an entity of the University of Arkansas, Fayetteville, the operating budget of Garvan Woodland Gardens is contained within the University's budget.

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS SYSTEM OFFICE
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | | | | |
| 2 | ALL OTHER FEES | | | | |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | (130) | | | |
| 7 | OTHER CASH INCOME: | 2,348,261 | 2,452,692 | 2,526,273 | 2,602,061 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 2,348,131 | 2,452,692 | 2,526,273 | 2,602,061 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $2,348,131 | $2,452,692 | $2,526,273 | $2,602,061 |

FORM 11-3

Other cash income includes campus reimbursement for legal services and other miscellaneous income.

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

**UNIVERSITY OF ARKANSAS, FAYETTEVILLE**
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 121,037,989 | 134,646,835 | 140,032,700 | 145,634,000 |
| 2 | ALL OTHER FEES | 4,094,345 | 90,000 | 90,000 | 90,000 |
| 3 | OFF-CAMPUS CREDIT | 6,786,098 | 662,000 | 672,000 | 672,000 |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | 7,318,717 | 1,500,000 | 1,500,000 | 1,500,000 |
| 7 | OTHER CASH INCOME: | 23,340,148 | 22,503,834 | 23,000,000 | 23,000,000 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 162,577,297 | 159,402,669 | 165,294,700 | 170,896,000 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $162,577,297 | $159,402,669 | $165,294,700 | $170,896,000 |

FORM 11-3

**Detail on Line 7:**

**Actual:**

| | |
|---|---|
| Private Gifts, Grants & Contracts | 3,986,749 |
| Endowment Income | 1,381,619 |
| Sales & Svcs - Educational Activities | 13,402,969 |
| Legal Education Funds | 1,343,810 |
| Other - Misc. | 3,225,001 |
| **Total Actual "Other Cash Income"** | **23,340,148** |

**Budgeted:**

| | |
|---|---|
| Indirect Cost Recovery | 7,000,000 |
| Administrative Service Charge | 200,000 |
| Legal Education/Filing Fees Funds (Law School) | 1,844,000 |
| Dedicated (Departmentally-generated) Revenues | 13,459,834 |
| **Total "Other"** | **22,503,834** |

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

**ARKANSAS RESEARCH & EDUCATION OPTICAL NETWORK**
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | | | | |
| 2 | ALL OTHER FEES | | | | |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | | | | |
| 7 | OTHER CASH INCOME: | 1,106,084 | 2,448,405 | 1,919,795 | 1,977,389 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 1,106,084 | 2,448,405 | 1,919,795 | 1,977,389 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $1,106,084 | $2,448,405 | $1,919,795 | $1,977,389 |

FORM 11-3

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND **CAA 0000** INSTITUTION **UNIVERSITY OF ARKANSAS FUND** APPROPRIATION **534**

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 153,428,155 | 149,686,000 | 169,850,000 | 161,000,000 | 167,000,000 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 35,780,788 | 37,000,000 | 37,000,000 | 35,000,000 | 36,000,000 | | |
| 5 | OPERATING EXPENSES | 2,966,820 | 12,594,267 | 12,594,267 | 5,690,194 | 6,203,042 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | 2,076,850 | 2,076,850 | 2,076,850 | 2,076,850 | 2,076,850 | | |
| 11 | ARK.RES.&EDUC.OPTICAL NETWORK | | | 783,768 | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $194,252,613 | $201,357,117 | $222,304,885 | $203,767,044 | $211,279,892 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 1,701,753 | 2,484,786 | | | | | |
| 16 | GENERAL REVENUE | 178,818,313 | 185,173,362 | | 190,068,075 | 197,580,923 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | 14,586,164 | 13,698,969 | | 13,698,969 | 13,698,969 | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 1,631,169 | | | | | | |
| 22 | TOTAL INCOME | $196,737,399 | $201,357,117 | | $203,767,044 | $211,279,892 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($2,484,786) | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

**NOTE: Other State Treasury Funds includes Tuition Adjustment Funds of $13,409, Other Transfers out of -$78,526, and net COSL Royalty Revenue of $328**

**GIF released to restore May 4, 2010 RSA cut:**

| | |
|---|---|
| UAF: | 1,030,420 |
| UA-SYS | 31,304 |
| UA-AS | 21,316 |
| UA-AGRI | 575,171 |
| UA-CS | 21,025 |
| UA-CJI | 16,722 |
| TOTAL | 1,695,958 |

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND **TSF 0200** INSTITUTION **TOBACCO FUNDS - FAYETTEVILLE** APPROPRIATION **319**

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 601,125 | 480,000 | 480,000 | 480,000 | 480,000 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 67,919 | 75,000 | 75,000 | 75,000 | 75,000 | | |
| 5 | OPERATING EXPENSES | 960,699 | 800,000 | 800,000 | 800,000 | 800,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | 442,417 | 224,014 | 1,020,563 | 1,020,563 | 1,020,563 | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $2,072,160 | $1,579,014 | $2,375,563 | $2,375,563 | $2,375,563 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | | | | | | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | 2,072,532 | 1,579,014 | | 2,375,563 | 2,375,563 | | |
| 21 | OTHER STATE TREASURY FUNDS | (372) | | | | | | |
| 22 | TOTAL INCOME | $2,072,160 | $1,579,014 | | $2,375,563 | $2,375,563 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

***Other Transfers Out

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Fayetteville

Program: UA-AR Biosciences Institute

Act #: 209 Section(s) #: 1 & 3

Estimated Carry Forward $ 0.00 Funding Source: Tobacco Settlement

**Accounting Information:**

Business Area: 0135 Funds Center: 319 Fund: TSF Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

All funds provided are expected to be spent by year end. No carry forward is anticipated.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. G. David Gearhart — Chancellor

08-26-2010 — Date

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND **TSF 0202** INSTITUTION **TOBACCO FUNDS - AGRI EXPERIMENT STATION** APPROPRIATION **321**

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 1,271,292 | 980,000 | 1,320,000 | 1,356,100 | 1,356,100 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 322,776 | 242,000 | 350,432 | 359,332 | 359,332 | | |
| 5 | OPERATING EXPENSES | 321,995 | 261,014 | 360,000 | 380,000 | 380,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 32,060 | 31,000 | 35,000 | 40,000 | 40,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | 43,699 | 15,000 | 150,000 | 100,000 | 100,000 | | |
| 8 | CAPITAL OUTLAY | 80,246 | 50,000 | 200,000 | 180,000 | 180,000 | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $2,072,068 | $1,579,014 | $2,415,432 | $2,415,432 | $2,415,432 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | | | | | | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | 2,072,532 | 1,579,014 | | 2,415,432 | 2,415,432 | | |
| 21 | OTHER STATE TREASURY FUNDS | (464) | | | | | | |
| 22 | TOTAL INCOME | $2,072,068 | $1,579,014 | | $2,415,432 | $2,415,432 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

***Other Transfers Out

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Fayetteville

Program: Div of Agri- AR Biosciences

Act #: 209 Section(s) #: 2 & 3

Estimated Carry Forward $ 0.00 Funding Source: Tobacco Settlement

**Accounting Information:**

Business Area: 0135 Funds Center: 321 Fund: TSF Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

All funds provided are expected to be spent by year end. No carry forward is anticipated.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. G. David Gearhart — Chancellor

08-26-2010 — Date

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND **CAA 0100** INSTITUTION **UNIVERSITY OF ARKANSAS FUND - CJI** APPROPRIATION **534A**

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | CJI - CLANDESTINE METHAMPHETAMINE EDUCATION & TRAINING | 150,000 | 150,000 | 150,000 | 150,000 | 150,000 | | |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
| 5 | | | | | | | | |
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| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $150,000 | $150,000 | $150,000 | $150,000 | $150,000 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | | | | | | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS*** | 150,000 | 150,000 | | 150,000 | 150,000 | | |
| 22 | TOTAL INCOME | $150,000 | $150,000 | | $150,000 | $150,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

*** Other State Treasury Funds - Special State Asset Forfeiture

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND **CAA 0300** INSTITUTION **UNIVERSITY OF ARKANSAS FUND - LAW SCHOOL** APPROPRIATION **534**

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | UNIVERSITY OF ARKANSAS SCHOOL OF LAW | 542,248 | 800,000 | 800,000 | 800,000 | 800,000 | | |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
| 5 | | | | | | | | |
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| 10 | | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $542,248 | $800,000 | $800,000 | $800,000 | $800,000 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | | | | | | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES-LAW FILING FEES | 542,248 | 800,000 | | 800,000 | 800,000 | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS*** | | | | | | | |
| 22 | TOTAL INCOME | $542,248 | $800,000 | | $800,000 | $800,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CAA0000 INSTITUTION **ARKANSAS RESEARCH & EDUCATION OPTICAL NETWORK** APPROPRIATION NEW

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | ARK RESEARCH & EDUCATION OPTICAL NETWORK OPERATIONS | | | | 70,056 | 161,339 | | |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
| 5 | | | | | | | | |
| 6 | | | | | | | | |
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| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $0 | $0 | $0 | $70,056 | $161,339 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | | | | 70,056 | 161,339 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $0 | $0 | | $70,056 | $161,339 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CAA0600 INSTITUTION UA FUND -UA WRI Knowledge Based Economic Development Program APPROPRIATION 59F

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | | | 160,684 | | | | |
| 2 | PERSONAL SERVICES MATCHING | | | 40,171 | | | | |
| 3 | OPERATING EXPENSES | | | 50,000 | | | | |
| 4 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 5 | PROFESSIONAL FEES AND SERVICES | | | | | | | |
| 6 | CAPITAL OUTLAY | | | | | | | |
| 7 | DATA PROCESSING | | | | | | | |
| 8 | LEADERSHIP DEVELOPMENT PROGRAM | | | 273,875 | | | | |
| 9 | KNOWLEDGE BASED ECONOMIC DEVELOPMENT PROGRAM | | | 280,775 | 108,098 | 248,951 | | |
| 10 | RESEARCH BASED INNOVATION PROGRAM | | | 185,600 | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $0 | $0 | $991,105 | $108,098 | $248,951 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | | | | 108,098 | 248,951 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $0 | $0 | | $108,098 | $248,951 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CAA0500 INSTITUTION University of Arkansas Fund - UA Garvan Woodland Gardens APPROPRIATION 59G

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | GARVAN WOODLAND GARDENS OPERATIONS | | | 350,000 | 58,180 | 133,989 | | |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
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| 10 | | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $0 | $0 | $350,000 | $58,180 | $133,989 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | 0 | 0 | | 58,180 | 133,989 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $0 | $0 | | $58,180 | $133,989 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND **2000000** INSTITUTION **UNIVERSITY OF ARKANSAS FUND** APPROPRIATION **B03**

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 109,452,645 | 178,024,600 | 178,024,600 | 178,024,600 | 178,024,600 | | |
| 2 | EXTRA HELP WAGES | 19,004,500 | 27,285,500 | 27,285,500 | 27,285,500 | 27,285,500 | | |
| 3 | OVERTIME | 1,162,614 | 5,900,000 | 5,900,000 | 5,900,000 | 5,900,000 | | |
| 4 | PERSONAL SERVICES MATCHING | 19,528,812 | 44,535,200 | 44,535,200 | 44,535,200 | 44,535,200 | | |
| 5 | OPERATING EXPENSES | 119,732,430 | 160,200,000 | 160,200,000 | 160,200,000 | 160,200,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 19,449,112 | 47,000,000 | 47,000,000 | 47,000,000 | 47,000,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 27,374,973 | 55,000,000 | 55,000,000 | 55,000,000 | 55,000,000 | | |
| 8 | DATA PROCESSING | | | | | | | |
| 9 | CAPITAL OUTLAY | 17,166,895 | 58,000,000 | 58,000,000 | 58,000,000 | 58,000,000 | | |
| 10 | CAPITAL IMPROVEMENTS | 59,663,545 | 246,597,200 | 246,597,200 | 246,597,200 | 246,597,200 | | |
| 11 | DEBT SERVICE | 1,633,840 | 4,000,000 | 4,000,000 | 4,000,000 | 4,000,000 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | | 13,500,000 | 13,500,000 | 13,500,000 | 13,500,000 | | |
| 13 | PROMOTIONAL ITEMS | 19,962 | | | | | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | | | | | | | | |
| 17 | TOTAL APPROPRIATION | $394,189,328 | $840,042,500 | $840,042,500 | $840,042,500 | $840,042,500 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 394,189,328 | 840,042,500 | | 840,042,500 | 840,042,500 | | |
| 20 | FEDERAL CASH FUNDS | | | | | | | |
| 21 | OTHER CASH FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $394,189,328 | $840,042,500 | | $840,042,500 | $840,042,500 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 5,653 | 6,190 | 7,039 | 7,178 | 7,172 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 3,808 | 3,808 | 3,808 | 3,808 | 3,808 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

# APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND **2000000** INSTITUTION **U OF A SOILS TESTING AND RESEARCH** APPROPRIATION **B76**

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 555,402 | 881,219 | 881,219 | 800,000 | 800,000 | | |
| 2 | EXTRA HELP WAGES | 35,262 | 143,990 | 143,990 | 60,000 | 60,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 134,585 | 194,555 | 194,555 | 250,000 | 250,000 | | |
| 5 | OPERATING EXPENSES | 388,730 | 1,076,000 | 1,076,000 | 800,000 | 800,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 11,482 | 85,000 | 85,000 | 20,000 | 20,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | | 85,000 | 85,000 | 20,000 | 20,000 | | |
| 8 | DATA PROCESSING | | 16,500 | 16,500 | | | | |
| 9 | CAPITAL OUTLAY | 133,483 | 608,000 | 608,000 | 500,000 | 500,000 | | |
| 10 | CAPITAL IMPROVEMENTS | | 1,805,000 | 1,805,000 | 1,000,000 | 1,000,000 | | |
| 11 | DEBT SERVICE | | | | | | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | | 847,000 | 847,000 | 300,000 | 300,000 | | |
| 13 | | | | | | | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | CONTINGENCY | | | | | | | |
| 17 | TOTAL APPROPRIATION | $1,258,944 | $5,742,264 | $5,742,264 | $3,750,000 | $3,750,000 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 1,258,944 | 5,742,264 | | 3,750,000 | 3,750,000 | | |
| 20 | FEDERAL CASH FUNDS | | | | | | | |
| 21 | OTHER CASH FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $1,258,944 | $5,742,264 | | $3,750,000 | $3,750,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | | | | | | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | | | | | | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Actual expenses not reported in AASIS.

## APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND **2000400** INSTITUTION **ARKANSAS RES. & EDUC. OPTICAL NETWORK** APPROPRIATION **B03**

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | | 695,000 | 695,000 | 695,000 | 695,000 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | | 208,500 | 208,500 | 208,500 | 208,500 | | |
| 5 | OPERATING EXPENSES | 527,795 | 1,700,000 | 1,700,000 | 8,000,000 | 8,000,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 49,234 | 51,000 | 51,000 | 100,000 | 100,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 531,731 | 1,000,000 | 1,000,000 | 8,000,000 | 8,000,000 | | |
| 8 | DATA PROCESSING | | | | | | | |
| 9 | CAPITAL OUTLAY | 79,855 | 1,000,000 | 1,000,000 | 8,000,000 | 8,000,000 | | |
| 10 | CAPITAL IMPROVEMENTS | | 7,000,000 | 7,000,000 | 30,000,000 | 30,000,000 | | |
| 11 | DEBT SERVICE | | | | | | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | | | | | | | |
| 13 | | | | | | | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | CONTINGENCY | | | | | | | |
| 17 | TOTAL APPROPRIATION | $1,188,615 | $11,654,500 | $11,654,500 | $55,003,500 | $55,003,500 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | 82,531 | | | | | | |
| 19 | LOCAL CASH FUNDS | 1,106,084 | 2,448,405 | | 1,919,795 | 1,977,389 | | |
| 20 | FEDERAL CASH FUNDS | | 9,206,095 | | 53,083,705 | 53,026,111 | | |
| 21 | OTHER CASH FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $1,188,615 | $11,654,500 | | $55,003,500 | $55,003,500 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | | | | | | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | | | | | | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

# AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

**UNIVERSITY OF ARKANSAS - FAYETTEVILLE**
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 62,837,180 | 51,278,586 | 7,613,929 | $3,944,665 | 63,328,725 | 55,978,667 | 7,350,058 | $0 |
| 2 RESIDENCE HALL | 27,340,761 | 14,332,717 | 7,800,753 | 5,207,291 | 25,444,508 | 17,045,283 | 8,399,225 | 0 |
| 3 MARRIED STUDENT HOUSING | | | | 0 | | | | 0 |
| 4 FACULTY HOUSING | | | | 0 | | | | 0 |
| 5 FOOD SERVICES | | | | 0 | | | | 0 |
| 6 COLLEGE UNION | 3,216,672 | 2,449,387 | 926,938 | (159,653) | 2,861,786 | 2,389,106 | 472,680 | 0 |
| 7 BOOKSTORE | 14,132,380 | 14,372,178 | 13,492 | (253,290) | 17,180,596 | 16,118,315 | 1,062,281 | 0 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | 1,345,861 | 1,230,861 | 214,748 | (99,748) | 1,750,477 | 1,750,477 | | 0 |
| 9 STUDENT HEALTH SERVICES | 5,627,008 | 4,768,794 | 280,248 | 577,966 | 5,487,812 | 5,074,016 | 413,796 | 0 |
| 10 OTHER | 7,759,404 | 4,348,002 | 2,177,847 | 1,233,555 | 10,314,794 | 7,095,666 | 3,219,128 | 0 |
| 11 SUBTOTAL | $122,259,266 | $92,780,525 | $19,027,955 | $10,450,786 | $126,368,698 | $105,451,530 | $20,917,168 | $0 |
| 12 ATHLETIC TRANSFER ** | | | | 0 | | | | 0 |
| 13 OTHER TRANSFERS *** | 1,147,685 | 10,277,326 | | (9,129,641) | 156,340 | | | 156,340 |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | $123,406,951 | $103,057,851 | $19,027,955 | $1,321,145 | $126,525,038 | $105,451,530 | $20,917,168 | $156,340 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

| **Details on "Other":** | **Income** | **Expense** | **Debt Service** | **Income** | **Expense** | **Debt Service** |
|---|---|---|---|---|---|---|
| Transit & Parking | 7,312,083 | 3,379,555 | 2,177,847 | 7,810,794 | 4,872,666 | 2,938,128 |
| Other Auxiliary Enterprises | 447,321 | 968,447 | | 2,504,000 | 2,223,000 | 281,000 |
| **Total "Other"** | **7,759,404** | **4,348,002** | **2,177,847** | **10,314,794** | **7,095,666** | **3,219,128** |

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

University of Arkansas
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: 4,639
(As of November 1, 2009 )

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 681 | Black Male: | 49 | Other Male: | 122 | Total | Male: | 852 |
| White Female: | 665 | Black Female: | 75 | Other Female: | 82 | Total | Female: | 822 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | 13 | Black Male: | 0 | Other Male: | 0 | Total | Male: | 13 |
| White Female: | 45 | Black Female: | 1 | Other Female: | 1 | Total | Female: | 47 |
| Classified Employees: | | | | | | | | |
| White Male: | 644 | Black Male: | 41 | Other Male: | 78 | Total | Male: | 763 |
| White Female: | 869 | Black Female: | 63 | Other Female: | 109 | Total | Female: | 1,041 |
| Faculty: | | | | | | | | |
| White Male: | 596 | Black Male: | 23 | Other Male: | 107 | Total | Male: | 726 |
| White Female: | 308 | Black Female: | 15 | Other Female: | 52 | Total | Female: | 375 |
| Total White Male: | 1,934 | Total Black Male: | 113 | Total Other Male: | 307 | Total | Male: | 2,354 |
| Total White Female: | 1,887 | Total Black Female: | 154 | Total Other Female: | 244 | Total | Female: | 2,285 |
| Total White: | 3,821 | Total Black: | 267 | Total Other: | 551 | Total | Employees: | 4,639 |
| | | | | **Total Minority:** | 818 | | | |

FORM 11-8

| | |
|---|---|
| *Finding:* | **Data Security**<br><br>Network security should be utilized and kept current to prevent unauthorized personnel from gaining access to network/network resources.<br><br>Review of External Internet Protocol port scans and firewall configuration revealed potential vulnerabilities/exploits that if exposited could lead to unauthorized access of network resources.<br><br>The potential exists for unauthorized usage of computing assets through the use of exploited IP ports or weak firewall configuration rules. |

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| *Recommendation:* | All security parameters be reviewed and configured to be conducive to preventing unauthorized use of network/network resources. |

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| *Institution's Response:* | We agree. The examination of the University's firewall rules was based on hardware and configurations that have since been migrated to a new environment. The new environment utilizes the industry's accepted best practice for firewall configurations of using security zones with the default configuration that blocks all inbound traffic (Deny-All) and specific rules for allowing only the required traffic for the systems within the security zones. The one exception is the zone Campus to zone Net5, which currently has a default zone rule that allows all inbound traffic from campus while utilizing host specific rules for restricting access. Work is already underway to review these host rule sets to migrate this security zone to a default configuration like the others in that will block all inbound traffic unless specifically required for a host. This migration is expected to be completed within the next 12 months.<br><br>The referenced External Internet Protocol port scans (using an application called Nessus) found two University IT Services |

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| | managed host computers, uamail.uark.edu and comp.uark.edu. Neither directly relates to the University's financial or student information systems. And, they are not within the firewall security zones containing these systems. Nevertheless, we agree that uamail.uark.edu was running a version of Horde webmail during the time of the scan that has a potential vulnerability. The team responsible for that application has since upgraded to the newer version that rectifies this potential. We have performed another Nessus scan to confirm that this potential vulnerability is no longer reported. The potential vulnerability of older versions of Apache and PHP running on comp.uark.edu has been confirmed and will be addressed by the web server team to perform the necessary updates. |

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| *Finding:* | **UNIVERSITY OF ARKANSAS, FAYETTEVILLE (Repeat)**<br>**Data Security**<br>Effective data access security requires network user's accounts to be locked after a reasonable number of unsuccessful logon attempts and maintain locked until reset by security administrator.<br><br>The system allows 100 unsuccessful logon attempts and automatically resets after 30 minutes.<br><br>Failure to establish proper password controls increases the likelihood that an unauthorized person could gain access to the system.<br><br>A similar finding was reported in 2007 and 2008. |

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|---|---|
| Recommendation: | The University implement strengthened password controls. |

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| Institution's Response: | We agree. The password requirements as described by the state standards have been fully implemented. However, the lock out feature after three unsuccessful logon attempts from the |

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| | Legislative Audit Best Practices Standards has not been implemented. Because of the student environment at the University such a feature would cause undue hardship on students trying to access the system in order to do classroom assignments, communicate with professors outside of the regular administrative hours and others causing a lock out in retaliation to non-campus issues.<br><br>The University's Information Technology Services Department has spent the last year researching an appropriate control that would protect the campus authentication servers from a programmatic brute force or a knowledgeable insider attack. With an approach of combating attacks by focusing on the attacker rather than the victim, the University purchased the Juniper Networks integrated security devices. The Juniper SRX and STRM devices are designed with security features such as firewall and intrusion prevention.<br><br>These devices enable the University's Security Team to control network security with a centralized, policy-based management tool with monitoring, event correlation and comprehensive log management. This threat response manager will provide an enhanced layer of protection by analyzing data thus allowing the security team to view and act on information via an automated rule set.<br><br>To date, the implementation project is progressing smoothly and expeditiously. On July 26, 2009, the Juniper SRX (Services Gateway/Firewall/Intrusion Detection/Protection) hardware was installed. |

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| Institution's Response (Continued): | The phased-in implementation includes a 5-tier system for IP address blocks, with the final tier being a permanent block requiring the intervention of authorized staff to remove the IP address from the block list. The initial 5 tiers are:<br><br>• Tier 0: very short, to allow for accidental password mistakes and the aftermath of password resets. This block implemented by IDP rule set alone. (This is not really a tier, but an initial event to subsequent tiers.)<br><br>• Tier 1: a short-term block intended to give the user time to reset passwords in mail clients and other software that cache passwords.<br><br>• Tier 2: expires within the business day. This arrests activity and gives staff time to contact users and respond to problems.<br><br>• Tier 3: expires within one day (24 hours). Allows a user a second attempt if lock occurs close to close of business, but arrests most activity.<br><br>• Tier 4: expires within a weekend. Allows for locks that occur near the beginning of a weekend.<br><br>• Tier 5: permanent.<br><br>Each tier is subject to change based on operational statistics. The conditions necessary to trigger each successive tier mimic the type of misbehavior representative of that tier.<br><br>• Each individual appearance: logged, but no additional action |

| | |
|---|---|
| | taken.<br><br>• IP is blocked 3 times in a 10 minute period: IP is placed in the 30-minute block list.<br><br>• IP on the 30-minute list is blocked 2 times in a 10 minute period (after coming out of block): IP is placed on the 2-hour block list<br><br>• IP on the 2-hour block list is blocked 3 times in a 20 minute period (after coming out of block): IP is placed on the 8-hour block list<br><br>• IP on the 8-hour block list is blocked 3 times in a 60 minute period (after coming out of block): IP is placed on the 24-hour block list.<br><br>• IP on the 24-hour block list is blocked 5 times in a 2 hour period (after coming out of block): IP is placed on the permanent block list. IP's must be manually removed from this list.<br><br>In all cases, the transitions through the tiers will be monitored by our normal event monitoring and analysis tools. All actions are individually logged. Network and/or security staff receive e-mail notifications when an IP address is placed on the 2, 8, 24-hour and permanent block lists.<br><br>Failed login attempts will be monitored and adjusted as users become accustomed to the new system. An analysis of our authentication logs indicates the initial threshold of 7-9 failures will be effective in catching egregious attack but have a low minimal impact on users. The threshold will be reduced over the implementation and training period to the base thresholds outlined above.<br><br>The University academic schedule will dictate our implementation schedule. The current target roll-out is February 2010, with the interim |

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| | period used to promote campus awareness and training. |

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| *Finding:* | **UNIVERSITY OF ARKANSAS, FAYETTEVILLE (Repeat)**<br>**Our 2009 IS Review of UAF's Business & Administrative Strategic Information Systems (BASIS) revealed the following:**<br>**Data Access Security-AIMS & TARGET Application**<br><br>Effective data access security requires passwords to meet minimum standards.<br><br>The AIMS and TARGET (BASIS) passwords meet all the minimum standards with the exception of password reset. AIMS and TARGET (BASIS) Passwords can be reset with only the owner's UARK ID and password through the WebBASIS facility. The UARK ID and password parameters do not meet minimum standards.<br><br>Failure to establish proper password controls increases the likelihood that an unauthorized person could gain access to the system.<br><br>A similar finding was reported in 2008. |

| | |
|---|---|
| *Recommendation:* | Both the AIMS and TARGET (BASIS) accounts remain locked until reset by security administrator or that all UARK accounts limit unsuccessful logon attempts to a reasonable number. |

| | |
|---|---|
| *Institution's Response:* | We agree. The University is addressing "Data Access Security" at the campus-wide, network level. Refer to the comprehensive "University Response (2009)" on the Network Reportable Comment. |

| | |
|---|---|
| *Finding:* | **UNIVERSITY OF ARKANSAS, FAYETTEVILLE (Repeat)**<br>**Our 2009 IS Review of UAF's Business & Administrative Strategic Information Systems (BASIS) revealed the following:**<br>**Data Access Security-Student Financials and Financial Aid**<br><br>Effective data access security requires passwords to meet the following minimum standards: require password change at initial logon, require password change at least every one hundred twenty days, lock user account after three unsuccessful logon attempts, maintain password history file to prevent reuse of password for at least five generations, contain alpha and numeric characters and a minimum of eight characters with no repeating characters.<br><br>The system does not meet the following password standards: require the user to change the password at initial logon, require passwords to be changed, **lock user's account after a number of unsuccessful logon attempts**, and does not maintain a password history file to prevent reuse of recent passwords.<br><br>Failure to establish proper password controls increases the likelihood that an unauthorized person could gain access to the system.<br><br>A similar finding was reported in 2008. |

| | |
|---|---|
| *Recommendation:* | The University implement strengthened password controls. |

| | |
|---|---|
| *Institution's Response:* | We agree. The University is addressing "Data Access Security" at the campus-wide, network level. Refer to the comprehensive "University Response (2009)" on the Network Reportable Comment. |

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## I. Introduction

The Division of Agriculture of the University of Arkansas System is unique in the overall scheme of higher education in Arkansas. It is composed of the Agricultural Experiment Station and the Cooperative Extension Service and has the basic mission of discovery of knowledge through research and, through extension education, helping Arkansans put that knowledge to work in their daily lives. Through its programs, the Division reaches out into all 75 counties and touches nearly every rural and urban citizen in the state.

Many Division faculty have joint appointments with institutions of higher education to carry their research and extension expertise into the classroom. Experiment Station scientists and Extension specialists are located at the University of Arkansas-Fayetteville, University of Arkansas-Monticello, University of Arkansas-Pine Bluff, University of Arkansas-Little Rock and at Arkansas State University in Jonesboro. In addition, faculty are headquartered at the Cooperative Extension Service in Little Rock and at four Research and Extension Centers at Hope, Keiser, Stuttgart and Monticello. There are seven branch research stations across the state. Programs are taken directly into local communities through County Extension offices in all 75 counties.

Because of the highly diverse programs ranging from basic science in areas like molecular genetics to practical applications in production agriculture to developing Arkansas youth for a better future through 4-H, the priority goals for the Division are equally broad and diverse.

## II. Institutional Mission Statement

The University of Arkansas System is a comprehensive, multi-campus, publicly aided institution dedicated to the improvement of the mind and spirit through the development and dissemination of knowledge.

## III. Institutional Goal(s)

The mission of the University of Arkansas Division of Agriculture is education and research. The Division is dedicated to improving the lives of Arkansans by generating knowledge through research and putting that knowledge to use through education. Within the broad context of this mission, the Division will:

Foster the improvement of agriculture and agribusiness,
Improve the stewardship of natural resources and the environment,
Ensure a safe, nutritious food supply,
Strengthen Arkansas families,
Develop leadership skills and productive citizenship among youth and adults,
Enhance economic security and financial responsibility among the citizens of the state, and
Improve the quality of life in communities across Arkansas.

## IV. Programs and Program Definitions

The University of Arkansas System reaches every county of the state through its Division of Agriculture. The Division includes the Arkansas Agricultural Experiment Station and the Cooperative Extension Service.

The Cooperative Extension Service has an office in all 75 Arkansas counties. County faculty and state specialists provide education, consultation and other services in agriculture, natural resources, economic and community development, family and consumer science, 4-H and youth development, and business development.

The Arkansas Agricultural Experiment Station is the primary research support agency for Arkansas agriculture and horticulture, forestry, food processing and related issues impacting the environment, families and communities.

Research is conducted on three university campuses, at five research and extension centers, and at seven branch stations.

- **Program 1 - Arkansas Agricultural Experiment Station**

The Arkansas Agricultural Experiment Station is the statewide research component of the U of A System's Division of Agriculture. The mission of the Arkansas Agricultural Experiment Station is to generate, interpret and communicate new technologies and knowledge for use by individuals, families, communities and businesses. The Arkansas Agricultural Experiment Station serves as the primary research support agency for Arkansas farmers, food processors and related industries.

**Goal 1 - An agricultural system that is highly competitive in the global economy.**

**Objective 1**

Develop sustainable plant and animal production systems

**Strategies**

Conduct research on all aspects of plant and animal production systems

**Goal 2 - A safe and secure food and fiber system.**

**Objective 1**

Enhance food safety

**Strategies**

Conduct research to reduce the incidence of food borne risks (pathogens, chemicals, naturally occurring toxins)

**Goal 3 - A healthy, well-nourished population.**

**Objective 1**
Improve human Nutrition

**Strategies**
Conduct research on nutrient composition of foods/food components

**Goal 4 - Greater harmony between agriculture and the environment.**

**Objective 1**
Improve forest, soil, water and wildlife conservation management

**Strategies**
Conduct research to ensure ecosystems integrity and biodiversity, and protect, sustain and enhance water, soil & air resources

- **Program 2 - Arkansas Cooperative Extension Service**

The Arkansas Cooperative Extension Service is the statewide public service education component of the U of A System's Division of Agriculture. The mission of the Arkansas Cooperative Extension Service is to develop and transfer need based educational programs, in response to issues identified by citizens at the local level, to support economic, environmental and social goals. This is achieved through partnerships with the public and private sector, and through the use of new technologies and research-based information, transferred to individuals, families, communities and businesses across Arkansas. Through research and education, the Cooperative

Extension Service works:

- To empower the agricultural system with knowledge that will improve our competitiveness in domestic production, processing and marketing;
- To support and strengthen the health and economic well-being of Arkansas families;
- To provide experiential learning opportunities for the state's youth to support their growth and development in citizenship, leadership and life skills; and
- To foster individual, organizational and community development to maximize the leadership potential of all Arkansans.

**Goal 1 - An agricultural system that is highly competitive in the global economy.**

**Objective 1**

Promote agricultural profitability and sustainability

**Strategies**

Teach and demonstrate appropriate plant and animal production systems practices

**Goal 2 - A safe and secure food and fiber system.**

**Objective 1**

Promote food quality, safety and security

**Strategies**

Teach and demonstrate practices to enhance quality, safety and security of the food supply

**Goal 3 - A healthy, well-nourished population.**

**Objective 1**
Improve human health and nutrition

**Strategies**
Teach and demonstrate practices for better health and nutrition for all Arkansans

**Goal 4 - Greater harmony between agriculture and the environment.**

**Objective 1**
Improve management of natural resource systems

**Strategies**
Teach and demonstrate proper management of natural resources systems

**Goal 5 - Enhanced economic opportunity and quality of life for Arkansans**.

**Objective 1**
Support Arkansas youth, families and communities

**Strategies**
Teach and demonstrate practices leading to youth development, family support, economic development and leadership training.

## General Revenue Request

The Division of Agriculture will use the recommended additional funding to support base programs coupled with planned appropriate redirection in those programs to meet emerging needs in areas including water quality and sustainability. Funding used to this end will be:

FY 2011-12 $ 460,965
FY 2012-13 $1,212,382

## Personal Services Request

The Division of Agriculture did not request any additional positions for the 2011-13 biennium.

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

UNIVERSITY OF ARKANSAS DIVISION OF AGRICULTURE

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | SALARIES-CLASSIFIED | 10,251,194 | 10,647,906 | 10,176,266 | 10,946,047 | 10,402,468 | 11,252,536 |
| 2 | SALARIES-NONCLASSIFIED | 41,130,092 | 42,721,790 | 44,705,965 | 43,918,000 | 46,772,173 | 44,796,360 |
| 3 | FRINGE BENEFITS | 14,697,733 | 14,130,440 | 14,382,558 | 14,256,092 | 14,996,051 | 14,655,262 |
| 4 | OPERATING EXPENSES | 15,343,134 | 16,423,812 | 17,617,512 | 16,757,122 | 18,461,346 | 16,385,485 |
| 5 | CONTINGENCY | 0 | 2,440,779 | 2,495,541 | | 2,550,992 | |
| 6 | | | | | | | |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | 10,364 | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | (629,741) | 1,200,000 | 1,000,000 | 1,000,000 | 1,000,000 | 1,000,000 |
| 16 | TOTAL UNREST. E&G EXP. | $80,802,776 | $87,564,727 | $90,377,842 | $86,877,261 | $94,183,030 | $88,089,643 |
| 17 | NET LOCAL INCOME | 21,303,647 | 19,809,670 | 18,661,240 | 18,661,240 | 18,661,240 | 18,661,240 |
| 18 | PRIOR YEAR BALANCE*** | | | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 60,644,871 | 62,800,138 | 66,761,683 | 63,261,102 | 70,566,871 | 64,473,484 |
| 20 | EDUCATIONAL EXCELLENCE | 5,275,818 | 4,954,919 | 4,954,919 | 4,954,919 | 4,954,919 | 4,954,919 |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS **** | 775,171 | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $87,999,507 | $87,564,727 | $90,377,842 | $86,877,261 | $94,183,030 | $88,089,643 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

****Other State Funds:

| | | |
|---|---|---|
| GIF | 575,171 | Released May 4, 2010 to restore RSA cut. |
| KBN180T | 200,000 | |

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS DIVISION OF AGRICULTURE
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | | | | |
| 2 | ALL OTHER FEES | | | | |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | 301 | 300 | 300 | 300 |
| 7 | OTHER CASH INCOME* | 21,303,346 | 19,809,370 | 18,660,940 | 18,660,940 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 21,303,647 | 19,809,670 | 18,661,240 | 18,661,240 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $21,303,647 | $19,809,670 | $18,661,240 | $18,661,240 |

FORM 11-3

*Other Cash income:
Federal Appropriations
County Appropriations
Other Sales/Services
Private Gifts

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**INTRODUCTION:**

The Arkansas Archeological Survey, an independent unit of the University of Arkansas System, operates a statewide program of archeological research, public service, and public education. Eleven Research Stations are strategically located in the state. The Coordinating Office is located in Fayetteville.

Archeologists at the eleven research stations conduct basic archeological research and provide assistance to citizens of Arkansas and to state and federal agencies. Eight research stations are located on university campuses (UAF, UAPB, UAM, UAFS, WRI, HSU, ASU, and SAU). Research stations are also located at Toltec Mounds Archeological State Park, Parkin Archeological State Park, and the City of Blytheville. The Survey's Coordinating Office in Fayetteville houses the administrative offices, the State Archeologist's office, the Registrar's office, Computer Services, Sponsored Research Program, and the Publications Office. Survey administrative staff includes the Director, the Assistant Director for Financial Affairs, an administrative secretary, and an accounting technician. The Survey has 43 employees statewide.

**HIGHLIGHTS OF RECENT WORK:**

In 2009, George Sabo, Research Station Archeologist at UAF, Dr. Jami Lockhart, Archeogeophysics director at the Coordinating Office, and Dr. Andrea Hunter, Tribal Preservation Officer for the Osage Nation were awarded $240,000 from the National Endowment for Humanities for a three year project to better understand the complex history of the Arkansas River Valley. The project is collaborative with the Osage, Caddo, and Quapaw nations of Oklahoma. The project has been designated an NEH *We the People* project to encourage the teaching and study of our nation's history.

Under the overall direction of Kathleen Cande, Sponsored Research Program, the Survey continued archeological research at Old Davidsonville State Park and worked with the Department of State Parks exhibit designers to develop new interpretive exhibits and kiosks. The Survey also conducted additional excavations at Old Washington State Park, and Mary Kwas, educational specialist with the Survey, published a book on the archeology of the park through the

University of Arkansas Press. UAFS Research Station Archeologist, Tim Mulvihill, conducted archeological excavations at the John Drennen House in Van Buren as part of UAFS's efforts to preserve and interpret the early history of Van Buren.

The Survey's Computer Services Program continues to provide geophysical technical support to state and federal agencies, law enforcement organizations, the FBI, and state cemetery preservation associations. The Survey's geophysical equipment (GPR, gradiometers, resistance, conductivity) helps locate graves, prehistoric palisades, house foundations, and other buried features. These technologies improve cost-efficiency of excavation and keep Arkansas at the forefront of developments in modern archeological field methods.

Dr. Ann Early, State Archeologist, serves on the Department of Arkansas Heritage's Historic Site Review Board. Marion Haynes, Blytheville Research Station Assistant, serves on the Arkansas Governor's Earthquake Advisory Council. Dr. Jamie Brandon, SAU Research Station Archeologist, was appointed to the Arkansas Civil War Sesquicentennial Commission. All were appointed by the Governor to these boards and commissions.

Survey station archeologists taught 21 anthropology and archeology classes at 6 state universities to 386 students in the past year. The classes were taught at UAF, UAPB, UAM, ASU, HSU, and SAU. Station archeologists also have titles in the UAF Department of Anthropology and chair and serve on graduate committees.

The Survey and Arkansas Archeological Society, a state-wide amateur organization, annually sponsors an archeological training program for amateurs. The program is 47 years old and the attendance averages around 100 people each year. The program is critical to the success of the Survey as it provides trained volunteers for emergency archeological projects in the state. This past year the training program was at Toltec Mounds Archeological State Park and 168 people enrolled.

**FUNDING GOALS FOR 2011-2013 BIENNIUM**:

**1. Salary Equity:** The salaries of Survey employees are well below comparable rates paid by state universities, federal and state agencies, and private industry. In order to attract and keep qualified archeologists additional funds are needed for salaries. Because of low salaries it is difficult to keep well trained MA-level archeologists that are essential to the success of the organization. This is the number one funding goal for the FY 2011-2013 biennium.

**2. Cemetery Preservation Program:** The Survey is the primary state agency providing field services to local cemetery preservation organizations. Additional funds are needed to hire one full-time archeologist who is a specialist in cemetery preservation to provide expertise to Arkansas citizens and coordinate the Survey's responses to requests for help.

**3. Registrar's Office and Computer Data Bases:** Funds are needed for one new person in Survey's Registrar's Office. Additional help is needed to maintain the existing databases. These databases are accessed by state and federal agencies and private corporations that need to comply with federal historic preservation and environmental laws.

**JUSTIFICATION AND RATIONALE FOR FUNDING GOALS FOR 2011-2013 BIENNIUM**:

**1. Salary Equity:** Survey salaries remain substantially below market value. Salaries of research station archeologists and other PhD-level archeologists in the Coordinating Office are well below those for comparable positions in history and anthropology at the University of Arkansas – Fayetteville and other Arkansas state universities. Research station archeologists have the same teaching, research, and public service responsibilities as faculty at major research institutions. The Survey has to compete with state research institutions for quality archeologists. In 2007, the Survey had only 13 applications for the Research Station Archeologist position at Toltec Mounds Archeological Research Station, and good jobs are scarce for PhDs in archeology.

Survey salaries for MA and BA level archeologists are well below similar positions requiring comparable training and

experience at the Arkansas Highway and Transportation Department, the U.S. Forest Service and U.S. Army Corps of Engineers, and private archeological consulting firms. The Survey continues to lose MA and BA level archeologists to government and private industry. The Survey suffers serious setbacks in terms of delayed progress on important projects when we spend time training BA and MA level archeologists who, after gaining valuable experience, leave to take higher paying positions with other organizations.

An additional $538,832 is needed to fully fund salary equity for FY12 based on an assessment prepared in March, 2008. Given the general economic recession, the Survey has not given permanent salary increases for the past two years, and will not give salary increases in FY 2011. Nevertheless, the additional funds needed have not significantly increased due to the stagnant wages in all sectors of the economy.

**2. Cemetery Preservation Program:** The Survey receives numerous requests each month by organizations and individuals requesting help in the preservation of Arkansas cemeteries. The Survey is the only state agency that will provide instruction and expertise for mapping cemeteries, locating unmarked graves, providing geophysical remote sensing applications (ground penetrating radar and other techniques), and general advice for preservation. The Survey does not have the staff to respond to all requests in a timely fashion. The Survey needs to hire one person to coordinate and respond to requests for help. An additional $49,880 is requested for salary and fringe benefits for this position. No new positions are needed, just the funding.

**2. Registrar's Office and Computer Data Bases:** Two permanent, full-time employees work in the Registrar's Office that maintains the basic databases on archeological sites in the state. The databases are essential for the economic well being of Arkansas because federal and state agencies and private corporations that must comply with federal historic preservation and environmental laws need archeological site and project information as part of their environmental reports. On average, 1200 new archeological sites are added to the inventory each year, and the two Survey employees are completely overworked trying to keep the records up-to-date. One additional person is needed in this office. An additional $39,959 is requested for salary and fringe benefits for this position. No new positions are needed.

**GENERAL REVENUE REQUEST FOR 2011-2013 BIENNIUM:**

Salary equity has been the number one funding goal for the Survey for the last ten years. Based on a detailed salary comparison with comparable positions in higher education, state and federal agencies, and private cultural resource management firms in Arkansas, the Survey requested an additional $538,832 in FY12 and $554,997 in FY13. The Survey also requested funds to hire a cemetery preservation expert and a support person in the Survey's Registrar's Office.

ADHE's recommendation of $22,786 in new funds for FY12 and $41,277 in new funds for FY13 will be used towards eliminating the salary inequity for at least a few Survey employees. Individual salary increases will be based on merit performance evaluations.

**PERSONNEL SERVICES REQUEST FOR 2011-2013 BIENNIUM**:

No new positions are requested for the 2011-2013 Biennium.

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

UNIVERSITY OF ARKANSAS - ARKANSAS ARCHEOLOGICAL SURVEY

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | Salaries | 1,649,067 | 1,644,133 | 2,322,128 | 1,712,912 | 2,391,791 | 1,730,041 |
| 2 | Staff benefits | 393,192 | 406,101 | 418,284 | 428,228 | 430,833 | 432,510 |
| 3 | Extra help | 6,346 | | | | | |
| 4 | Maintenance and Operations | 220,301 | 337,767 | 404,640 | 328,205 | 413,203 | 348,071 |
| 5 | Survey publications | 35,533 | 30,000 | 30,000 | 30,000 | 30,000 | 30,000 |
| 6 | Contingency | | 90,456 | | | | |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | 94,664 | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $2,399,103 | $2,508,457 | $3,175,052 | $2,499,345 | $3,265,827 | $2,540,622 |
| 17 | NET LOCAL INCOME | 24,699 | 30,000 | 30,000 | 30,000 | 30,000 | 30,000 |
| 18 | PRIOR YEAR BALANCE*** | | 31,897 | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 2,247,505 | 2,327,380 | 3,025,872 | 2,350,165 | 3,116,647 | 2,391,442 |
| 20 | EDUCATIONAL EXCELLENCE | 126,899 | 119,180 | 119,180 | 119,180 | 119,180 | 119,180 |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS **** | 21,316 | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $2,420,419 | $2,508,457 | $3,175,052 | $2,499,345 | $3,265,827 | $2,540,622 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

**** General Improvement Funds released May 4, 2010 to restore RSA cut.

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS - ARKANSAS ARCHEOLOGICAL SURVEY
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | | | | |
| 2 | ALL OTHER FEES | | | | |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | | | | |
| 7 | OTHER CASH INCOME* | 24,699 | 30,000 | 30,000 | 30,000 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 24,699 | 30,000 | 30,000 | 30,000 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $24,699 | $30,000 | $30,000 | $30,000 |

*Survey Publications

FORM 11-3

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The University of Arkansas Clinton School of Public Service, now in its sixth academic year, is the first graduate school in the nation offering a Master of Public Service (MPS) degree program. The program is unique because a portion of its curriculum is made up of in-the-field, hands-on public service projects. Students complete group, international and individual public service projects for academic credit toward their degree. They also work heavily in the classroom, studying the aspects of public service ranging from communication and ethics, to dynamics of social change and leadership development among other areas. As the student population and field-work opportunities continue to grow, the School plans continued curriculum development surrounding aspects of public service both in the classroom and in the field. Resources will be dedicated to grow the school's faculty base and academic programs. Faculty and staff support are needed for this planned growth.

The MPS program is a full-time graduate program taking two years to complete. Core courses are completed in the first year, with nine hours of elective course-work and three major public service projects completed throughout the two-year program. The School's mission and values differ from those in traditional schools of public administration and public policy. While competency in management, policy assessment and policy formulation is important, the Clinton School's focus is more on building global leadership in issues related to such things as community and economic development, social change to improve the lives of local residents, civic engagement and enhancing the capacity of people to work across disciplinary, racial/ethnic, and geographic boundaries.

The MPS degree requires 36 semester credit hours for graduation. Twenty-one (25) credit hours are required from core and elective courses, with the remainder from three public service field projects:

The **Practicum** is a year-long required field service learning course that seeks to give students the opportunity to apply the skills learned in the classroom. The Practicum, which is taught in multiple sections, with each section involving a partnership with one or more Arkansas organizations, promotes the Clinton School's mission to educate leaders to build and sustain healthy, engaged and vibrant communities in Arkansas and around the world by emphasizing the "practice" of public service by working with community organizations to achieve partner and community objectives. Current Practicum projects are being completed in the areas of neighborhood and community revitalization, literacy training, and youth leadership development.

The **International Public Service Project** is designed to provide a practical or "hands-on" experience with placement in a public service agency or organization that is located overseas or carries out international work within the continental United States. International projects are designed to allow students to participate in the daily activities of the public service agency, serving as an integral member of the organizational staff. Past Clinton School students have served on all six of the world's inhabited continents.

The **Capstone** program is designed to provide students an opportunity to integrate the knowledge and skills that have been gained from their core and elective courses, plus earlier public service projects in the Practicum and international experience, into a new and more in-depth focus on those professional skills that will be needed in their field of future practice and/or specialization. Specifically, the project taps the knowledge, analytic abilities, writing and presentation skills, and the insights students have acquired through study, observation, and involvement in public service.

The School's curriculum schedule is as follows:

| | |
|---|---|
| **Required Core Courses** | |
| Analysis for Decision-making in Public Service | (3 hours) |
| Leadership in Public Service | (3 hours) |
| Communication Processes and Conflict Transformation | (3 hours) |
| Dynamics of Social Change | (3 hours) |
| Ethical and Legal Dimensions of Public Service | (2 hours) |
| Professionalism in Public Service | (2 hours) |
| **Electives** | (9 hours) |
| **Public Service Field Projects** | |
| Group Practicum I and II | (5 hours) |
| International public service project | (3 hours) |
| Capstone | (3 hours) |

**MPS Program: Semester by Semester Progression**

**Year 1 — Fall Semester**:
Required Courses: 11 credit hours
Practicum: 2 credit hours

**Year 1 — Spring Semester**:
Required Courses: 5 credit hours
Practicum: 3 credit hours
Course Electives: 3 credit hours

**Year 1 — Summer**:
International Public Service Project: 3 credit hours

**Year 2 — Fall Semester**:
Capstone: 3 credit hours
Electives: 6 credit hours

**Year 2 — Spring Semester**:
Continuation of Capstone Project
Commencement

The School also hosts free public programs, guest lectures and community conversations featuring internationally-prominent leaders and timely topics. This series not only enhances the education of Clinton School students, but also provides a venue for the people of Arkansas to engage in intellectual discussions on the issues of the day. The Clinton School Distinguished Lecture Series features a diverse array of programs ranging from senators, congressman, cabinet officials and ambassadors to renowned academics, corporate CEOs, philanthropists, authors and journalists. The school also screens documentary films and hosts book signings featuring authors from all genres.

As the Clinton School continues to grow, resources will be dedicated to further development of this curriculum, especially as it relates to the field-based public service projects. The focus for the next biennium is to further develop student projects, public service academic studies and enhance the schools' curriculum. The goal is to grow the Clinton School through continued development of its academic faculty and student population. This goal will also affect the overall reach of the Clinton School's practically-based public service projects and theories with the idea of creating positive social change through "real-world" academics.

To complete this objective of growth and overall practical impact of the Clinton School and its mission, the School plans to increase its student and faculty recruitment efforts as well as dedicate faculty and staff support toward new initiatives in and out of the classroom. Resources will be dedicated to identify and implementing new public service projects, as well as to offering more options for students interested in public service.

General Revenue Request:

In FY 2012, the recommended need for the UA Clinton School is an additional $204,867 in general revenue. Of this amount, the Arkansas Higher Education Coordinating Board has recommended an increase of $23,838. If approved, the additional $23,838 would be applied toward a cost-of living adjustment for staff.

In FY 2013, the recommended need for the UA Clinton School is an additional $279,881 in general revenue. Of this amount, the Arkansas Higher Education Coordinating Board has recommended an increase of $42,490. If approved, the additional $42,490 would be applied toward a cost-of living adjustment for staff and partial funding for a new faculty position to teach core courses.

Personal Services Request:

No additional positions over authorized have been requested.

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

UNIVERSITY OF ARKANSAS CLINTON SCHOOL OF PUBLIC SERVICE

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | Salaries - Unclassified | 1,150,821 | 1,276,851 | 1,465,157 | 1,294,730 | 1,509,111 | 1,326,597 |
| 2 | Extra Help Wages | 71,304 | 92,800 | 95,584 | 92,800 | 98,452 | 92,800 |
| 3 | Staff Benefits | 283,782 | 321,414 | 357,587 | 327,373 | 368,314 | 337,996 |
| 4 | Scholarships | 409,304 | 380,824 | 392,249 | 380,824 | 404,016 | 380,824 |
| 5 | Maintenance & Operating | 554,798 | 877,203 | 855,093 | 826,914 | 880,747 | 845,010 |
| 6 | | | | | | | |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | 225,000 | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $2,695,009 | $2,949,092 | $3,165,670 | $2,922,641 | $3,260,640 | $2,983,227 |
| 17 | NET LOCAL INCOME | 498,720 | 622,056 | 603,228 | 603,228 | 621,324 | 621,324 |
| 18 | PRIOR YEAR BALANCE*** | | 31,461 | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 2,216,792 | 2,295,575 | 2,562,442 | 2,319,413 | 2,639,316 | 2,361,903 |
| 20 | EDUCATIONAL EXCELLENCE | | | | | | |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS **** | 21,025 | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $2,736,537 | $2,949,092 | $3,165,670 | $2,922,641 | $3,260,640 | $2,983,227 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

****General Improvement Funds released May 4, 2010 to restore RSA cut.

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS CLINTON SCHOOL OF PUBLIC SERVICE
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 462,600 | 479,298 | 479,298 | 479,298 |
| 2 | ALL OTHER FEES | | | | |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | | | | |
| 7 | OTHER CASH INCOME: | 36,120 | 142,758 | 123,930 | 142,026 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 498,720 | 622,056 | 603,228 | 621,324 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $498,720 | $622,056 | $603,228 | $621,324 |

FORM 11-3

Line 7 Other Cash Income comprised of reimbursables and book signings.

## *Mission Statement*

The mission of the Criminal Justice Institute (CJI), a division of the University of Arkansas System, is to enhance the professional and technical effectiveness of Arkansas's law enforcement professionals by offering continuing education in the fields of management, forensic sciences, computer applications, and other specialized areas of law enforcement, and also providing technical assistance. CJI is committed to continuing and strengthening collaborative efforts with other higher education institutions and criminal justice agencies in order to provide advanced education and professional development for the Arkansas law enforcement community.

## *Institutional Goal*

To achieve its mission, CJI must design, enhance, and implement curricula in management, forensic sciences, computer applications, and other specialized areas of law enforcement that meet the unique educational and training needs of Arkansas law enforcement personnel. CJI is also committed to meeting the technical and informational support needs of this group which is vitally important to communities across the State.

## *Program Goal, Objective, and Strategies*

Program: CJI provides education and services to the law enforcement community in Arkansas.

Goal: The goal of CJI is to make available courses, programs, and services specific to the unique needs of Arkansas law enforcement professionals.

Objective: CJI will enhance the knowledge and skills of the Arkansas law enforcement community in management, forensic sciences, computer applications, and other specialized areas of law

enforcement, as well as provide needed services that allow Arkansas law enforcement agencies to best serve their constituencies.

Strategies: 1) CJI will strive to acquire state funding for the Safe Schools Initiatives Division (SSID), which provides unfilled training needs that address public school and campus safety issues. Specialized education and training targeted to school resource officers, campus police, and school and campus administrators will assist them in creating a safe environment for teaching and learning.

2) CJI will strive to better serve Arkansas's law enforcement community by enhancing the accessibility of CJI's management and crime scene investigation courses. Distance learning strategies (web-based programs, for example) will be used to assist officers in attaining program completion in the Crime Scene Investigation and Law Enforcement Administration certificate and AAS degree programs.

3) (FSCED) will ensure that Arkansas law enforcement personnel keep pace with current trends and initiatives in forensic sciences and computer technology. CJI will strive to enhance funding to expand delivery of these courses statewide.

4) The Law Enforcement Management Division (LEMD) will enhance the knowledge, skills, and abilities of supervisors and leaders in the Arkansas law enforcement community through various education and training programs. Additional education and training will address issues critical to all law enforcement professionals.

5) Colleges and universities across the State to expand higher education opportunities for Arkansas's law enforcement professionals. Through two unique programs---Crime Scene Investigation and Law Enforcement Administration---law enforcement personnel

can now obtain Certificates of Proficiency, Technical Certificates and Associate of Applied Science (AAS) Degrees.

6) CJI will continue to actively seek grant funds to expand and enhance education, training, and technical assistance to the law enforcement community in Arkansas and nationally.

GENERAL REVENUE REQUEST FOR THE 2011-2013 BIENNIUM:

CJI requested an additional $852,223 for FY12 and $785,917 for FY13. These funds were to be used for expanding operations to include enhancements to our current programs such as a school and campus safety initiative, statewide expansion of our law enforcement training programs, and increasing the use of distance education for course delivery as well as additional personnel to oversee these programs. The funds requested represent partial reinstatement of state base lost in 2001.

ADHE's recommendation of $19,545 in new funds for FY12 and $34,557 in new funds for FY13 will only allow us to give a merit increase to employees based on performance evaluations as well as begin working toward other program enhancements.

PERSONNEL SERVICES REQUEST FOR THE 2011-2013 BIENNIUM:

CJI did not request additional personnel positions for the Biennium.

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

CRIMINAL JUSTICE INSTITUTE

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | Public Service | 2,252,313 | 2,559,392 | 3,227,992 | 2,395,315 | 3,202,068 | 2,429,872 |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
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| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | 209,918 | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $2,462,231 | $2,559,392 | $3,227,992 | $2,395,315 | $3,202,068 | $2,429,872 |
| 17 | NET LOCAL INCOME | 570,464 | 558,600 | 400,000 | 400,000 | 400,000 | 400,000 |
| 18 | PRIOR YEAR BALANCE*** | | 25,023 | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 1,763,110 | 1,825,769 | 2,677,992 | 1,845,315 | 2,652,068 | 1,879,872 |
| 20 | EDUCATIONAL EXCELLENCE | | | | | | |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS **** | 166,722 | 150,000 | 150,000 | 150,000 | 150,000 | 150,000 |
| 24 | TOTAL SOURCES OF INCOME | $2,500,296 | $2,559,392 | $3,227,992 | $2,395,315 | $3,202,068 | $2,429,872 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Other State Funds are Special State Asset Forfeiture Funds

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

****General Improvement Funds ($16,722) released May 4, 2010 to restore RSA cut and Special Asset Forfeiture funds ($150,000)

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

CRIMINAL JUSTICE INSTITUTE
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | | | | |
| 2 | ALL OTHER FEES | | | | |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | | | | |
| 7 | OTHER CASH INCOME* | 570,464 | 558,600 | 400,000 | 400,000 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 570,464 | 558,600 | 400,000 | 400,000 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $570,464 | $558,600 | $400,000 | $400,000 |

*Indirect Costs and M&R Sales

FORM 11-3

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**Institution Mission Statement**

The mission of the Arkansas School for Mathematics, Sciences and the Arts (ASMSA), is to create, encourage and sustain, throughout the State of Arkansas, an educational community of academically talented students, faculty and staff that pursues knowledge of mathematics, sciences and the arts. To accomplish this mission, ASMSA strives to:

- enhance the future of Arkansas by educating eleventh and twelfth grade students who are academically talented in mathematics, sciences and the arts;
- prepare students for post secondary education by providing innovative learning experiences;
- provide courses and learning opportunities through distance education to improve instruction for students and teachers throughout the State;
- increase the public's awareness of the importance of advanced education in mathematics, sciences and the arts;
- serve as a model for Arkansas schools;
- serve as a center for teacher education; and
- create a greater base of leadership for the state's development and growth.

**Institutional Goals**

**Goal One:** To provide a challenging academic and residential life program for students who are educationally gifted.

**Goal Two:** To continue to deliver quality instruction in a wide variety of disciplines in order to provide equitable education opportunities for all Arkansas students.

**Goal Three:** To develop and deliver professional development opportunities for teachers.

**Goal Four:** To provide adequate facilities for the residential and distance education programs through implementation of the campus master plan.

## *Programs and Definitions*

- **Residential Academic Program:**

  This program includes all students who reside on campus for the two-year program. ASMSA is responsible, by law, for residential and academic programming.

  **Goal:** To provide a challenging academic and residential life program for students who are educationally gifted.

  **Objective One:** Provide a dynamic and rigorous academic program

Strategy One: Implement revisions that enhance the curricular offerings and allow for additional student research opportunities and individual enhancement.

Strategy Two: Continue and expand a “Tools for Success” program for incoming juniors to increase retention and academic success.

Strategy Three: Upgrade technology equipment on a three-year rotation schedule.

Strategy Four: Seek funding for the purchase of biotechnology equipment to enhance the science curriculum.

Strategy Five: Continue to offer summer enhancement courses to entering students.

Strategy Six: Offer summer mathematics, science and humanities programs for students from underrepresented populations and areas of the state.

Strategy Seven: Add a minimum of one new arts course per year until the arts curriculum can be fully implemented.

Strategy Eight: Develop a continuous and comprehensive quality assurance and accountability assessment plan.

Strategy Nine: Develop a five-year strategic plan.

**Objective Two:** Provide residential programming

Strategy One: Continue to provide extracurricular offerings to address diverse student interests.

Strategy Two: Provide professional development for residential staff members that will ensure the safety and welfare of the students.

Strategy Three: Provide an environment that develops and encourages good citizenship.

- **Distance Education Program**

The Office of Distance Education has grown from serving 228 students during its first year of operation (1998-99) to over 3600 students in AY2009-10.

**Goal:** Continue to deliver quality instruction in a wide variety of disciplines in order to provide equitable education opportunities for all Arkansas students.

**Objective One**: Provide services requested by school districts.

Strategy One: Continue to gather and analyze curriculum data from school districts on needs.

Strategy Two: Develop new courses as needed.

Strategy Three: Develop standards for course assessment, data analysis, and reporting to the school districts.

**Objective Two:** Promote distance education.

Strategy One: Attend workshops, conferences, and meetings to promote distance education.

Strategy Two: Work with other institutions and agencies to coordinate distance education efforts to maximize efficiency and cost savings.

Strategy Three: Develop teacher enhancement programs that can be delivered via distance education technologies.

**Objective Three:** Promote new methods for the delivery of distance education.

Strategy One: Continue writing and submitting federal grants for distance education.

Strategy Two: Examine new distance education technologies for instructional and cost effectiveness.

- **Professional Development**

This part of the school's mission assists teachers, both on and off campus, with improving and maintaining areas of expertise.

**Goal:** To develop and deliver professional development opportunities for teachers.

**Objective One:** Determine professional development needs of Arkansas teachers

Strategy One: Offer both school year and summer programs for teacher professional development on the ASMSA campus.

Strategy Two: Continue to present at State and National conferences to offer Arkansas teachers the most up-to-date information and techniques for improving instruction.

Strategy Three: Work with State agencies in determining teacher needs in Arkansas.

- **Facilities Enhancement**

This program includes the overall development of the campus that impacts the three core areas of the ASMSA mission statement.

**Goal:** To provide adequate facilities for the residential and distance education programs through implementation of the campus master plan.

**Objective One:** To provide a safe and healthful living and work environment.

Strategy One: Continue to work with the State to secure funding for construction of facilities to replace aging residential and instructional buildings deemed unsafe or not cost effective to repair.

Strategy Two: Increase safety and health measures to meet or exceed compliance with current safety codes and ADA requirements.

**Programs, Awards and Special Recognitions:**

Office of Distance Education special recognitions:

United States Distance Learning Association Gold Award for Best Practices in Programming – Department of Foreign Languages

2010 Computerworld Honors Program Laureate for the project: Distance Learning Outreach Project in the category of Non-Profit Organizations

Residential school special recognitions:

One of two U.S. schools to receive honorable mention in the Oracle Academy Global Data Modeling Competition for the second year (Tied for 4th place in the world)

Class of 2010's 88 graduates were accepted to 132 institutions of higher education and were awarded over $10.6 million in scholarships

Four students selected for the Youth Energy Policy Board in Washington, DC advising the US Government and Non-Government organizations on energy concerns

Three students competed in the 2010 International Science and Engineering Fair

**General Revenue Requests:**

The Arkansas School for Mathematics, Sciences and the Arts is a non-formula entity. The School requested a total increase of $700,000 in state funding for various program enhancements. These included enhancements in the Residential Arts program, capital outlay for scientific equipment, summer programs and an increase in base operations.

ASMSA will experience a reduction in forecasted state funding for FY11 of $395,380. Because of this, our AHECB Recommendation for FY12 is $333,315 lower than our actual receipts for FY10. Even with the recommended increase in General Revenue of $62,065, it is more appropriate to explain where the reductions will be applied. The reductions in funding were taken from Operating Expenses, Travel, Professional Fees, and Capital Outlay.

As a result of the Educational Excellence Trust Fund reductions, our request is primarily to reallocate our appropriation to salary and benefits in order to consolidate and reduce our available commitment items. Our salary expenses have increased from $3.9 million in FY08 to $4.6 million in FY10 because of the consistent growth in our distance education program. By reallocating our General Revenue appropriation to these more appropriate commitment items, it will more closely align our state fund budget with our overall budget.

**Cash Appropriation Requests:**

The School is requesting an additional $10 million in cash appropriation for continued construction of a new residential facility.

**Personal Services Requests:**

The School is requesting to create two new positions titled ASMSA Recruiter. We are requesting positions for ten-month Recruiters that can share in the state-wide territory to visit more schools and attract the highest quality students from all areas of the state.  We are also requesting one additional Assistant Network Engineer position in order to keep up with the increasing demand in technology maintenance on campus, both in the Distance Education program and the residential program.

## INSTITUTION APPROPRIATION SUMMARY
## 2011-13 BIENNIUM

**INSTITUTION** AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS

| | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 STATE TREASURY | 8,018,171 | | 7,805,594 | | 8,428,513 | | 8,383,728 | | 7,712,403 | | 8,418,120 | | 7,796,326 | |
| 2 CASH | 3,062,523 | | 17,965,000 | | 17,965,000 | | 30,000,000 | | 30,000,000 | | 30,000,000 | | 30,000,000 | |
| 3 | | | | | | | | | | | | | | |
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| 9 | | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | | |
| 11 TOTAL | $11,080,694 | 118 | $25,770,594 | 112 | $26,393,513 | 130 | $38,383,728 | 132 | $37,712,403 | 132 | $38,418,120 | 132 | $37,796,326 | 132 |
| **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 12 PRIOR YEAR FUND BALANCE* | 128,651 | 1% | 155,256 | 1% | | | | 0% | | 0% | | 0% | | 0% |
| 13 GENERAL REVENUE | 1,074,817 | 10% | 1,113,015 | 4% | | | 1,846,405 | 5% | 1,175,080 | 3% | 1,880,797 | 5% | 1,259,003 | 3% |
| 14 EDUCATIONAL EXCELLENCE TRUST FUND | 6,960,707 | 62% | 6,537,323 | 25% | | | 6,537,323 | 17% | 6,537,323 | 17% | 6,537,323 | 17% | 6,537,323 | 17% |
| 15 WORKFORCE 2000 | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 16 CASH FUNDS | 1,930,523 | 17% | 17,965,000 | 70% | | | 30,000,000 | 78% | 30,000,000 | 80% | 30,000,000 | 78% | 30,000,000 | 79% |
| 17 SPECIAL REVENUES | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 18 FEDERAL FUNDS | 1,132,000 | 10% | 0 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 19 TOBACCO SETTLEMENT FUNDS | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 20 OTHER FUNDS | 9,252 | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 21 TOTAL INCOME | $11,235,951 | 100% | $25,770,594 | 100% | | | $38,383,728 | 100% | $37,712,403 | 100% | $38,418,120 | 100% | $37,796,326 | 100% |
| 22 EXCESS (FUNDING)/APPROPRIATION | ($155,256) | | $0 | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $545,166 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $17,358 |
| INVENTORIES | |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | $128,056 |
| INSURANCE DEDUCTIBLES | |
| MAJOR CRITICAL SYSTEMS FAILURES | |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $1,019,392 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | |
| OTHER (FOOTNOTE BELOW) | |
| UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE | ($619,640) |

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | INSTRUCTION | 4,280,805 | 4,008,498 | 4,277,509 | 3,985,960 | 4,291,158 | 4,022,845 |
| 2 | ACADEMIC SUPPORT | 1,041,963 | 1,020,523 | 1,088,709 | 1,014,958 | 1,092,737 | 1,024,092 |
| 3 | STUDENT SERVICES | 1,157,164 | 1,244,902 | 1,328,081 | 1,238,114 | 1,332,995 | 1,249,257 |
| 4 | INSTITUTIONAL SUPPORT | 956,173 | 1,084,223 | 1,156,666 | 1,078,311 | 1,160,946 | 1,088,016 |
| 5 | OPERATION & MAINT OF PLANT | 1,734,004 | 1,905,449 | 2,032,763 | 1,895,059 | 2,040,284 | 1,912,115 |
| 6 | | | | | | | |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | 594,904 | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $9,765,013 | $9,263,594 | $9,883,728 | $9,212,403 | $9,918,120 | $9,296,326 |
| 17 | NET LOCAL INCOME | 1,736,714 | 1,458,000 | 1,500,000 | 1,500,000 | 1,500,000 | 1,500,000 |
| 18 | PRIOR YEAR BALANCE*** | 128,651 | 155,256 | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 1,074,817 | 1,113,015 | 1,846,405 | 1,175,080 | 1,880,797 | 1,259,003 |
| 20 | EDUCATIONAL EXCELLENCE | 6,960,707 | 6,537,323 | 6,537,323 | 6,537,323 | 6,537,323 | 6,537,323 |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS **** | 9,252 | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $9,910,142 | $9,263,594 | $9,883,728 | $9,212,403 | $9,918,120 | $9,296,326 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Other State Funds

**** General Improvement Funds ($10,194) released to restore RSA funding that was cut on May 4, 2010; Other Transfers Out (-$942)

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | | | | |
| 2 | ALL OTHER FEES | 37,725 | 38,000 | 35,000 | 35,000 |
| 3 | OFF-CAMPUS CREDIT | 1,542,565 | 1,400,000 | 1,425,000 | 1,425,000 |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | 51,409 | 0 | 20,000 | 20,000 |
| 7 | OTHER CASH INCOME: | 105,015 | 20,000 | 20,000 | 20,000 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 1,736,714 | 1,458,000 | 1,500,000 | 1,500,000 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $1,736,714 | $1,458,000 | $1,500,000 | $1,500,000 |

FORM 11-3

Other Cash Income Includes:
- Telephone & equipment rebates
- Sales Tax Reimbursement
- Entergy Rebate
- Utility Reimbursement by City of HS

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CMS0000 INSTITUTION AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS APPROPRIATION 2FD

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 4,000,000 | 4,100,000 | 4,100,000 | 4,400,000 | 4,400,000 | | |
| 2 | EXTRA HELP WAGES | 740 | | 10,000 | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 1,120,000 | 1,148,000 | 1,148,000 | 1,300,000 | 1,300,000 | | |
| 5 | OPERATING EXPENSES | 2,702,431 | 2,402,338 | 2,965,513 | 2,012,403 | 2,096,326 | | |
| 6 | CONFERENCE FEES & TRAVEL | 50,000 | 50,000 | 50,000 | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | 20,000 | | 20,000 | | | | |
| 8 | CAPITAL OUTLAY | 125,000 | 105,256 | 125,000 | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | CONSTRUCTION | | | 10,000 | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $8,018,171 | $7,805,594 | $8,428,513 | $7,712,403 | $7,796,326 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 128,651 | 155,256 | | | | | |
| 16 | GENERAL REVENUE | 1,074,817 | 1,113,015 | | 1,175,080 | 1,259,003 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUN | 6,960,707 | 6,537,323 | | 6,537,323 | 6,537,323 | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS *** | 9,252 | | | | | | |
| 22 | TOTAL INCOME | $8,173,427 | $7,805,594 | | $7,712,403 | $7,796,326 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($155,256) | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

***Other State Funds: General Improvement Funds ($10,194) released to restore RSA funding that was cut on May 4, 2010; Other Transfers Out (-$942)

## APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2000300 INSTITUTION AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS APPROPRIATION B03

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 655,396 | 4,000,000 | 4,000,000 | 5,000,000 | 5,000,000 | | |
| 2 | EXTRA HELP WAGES | | 100,000 | 100,000 | 150,000 | 150,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 307,769 | 1,000,000 | 1,000,000 | 1,700,000 | 1,700,000 | | |
| 5 | OPERATING EXPENSES | 156,943 | 2,955,000 | 2,990,000 | 4,000,000 | 4,000,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 44,950 | 125,000 | 125,000 | 300,000 | 300,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 43,384 | 275,000 | 275,000 | 400,000 | 400,000 | | |
| 8 | DATA PROCESSING | | | | | | | |
| 9 | CAPITAL OUTLAY | 1,576,546 | 5,000,000 | 5,000,000 | 4,000,000 | 4,000,000 | | |
| 10 | CAPITAL IMPROVEMENTS | | 4,000,000 | 4,000,000 | 4,000,000 | 4,000,000 | | |
| 11 | DEBT SERVICE | 264,041 | 450,000 | 450,000 | 450,000 | 450,000 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | | | | | | | |
| 13 | PROMOTIONAL ITEMS | 13,494 | 60,000 | 25,000 | | | | |
| 14 | CONSTRUCTION | | | | 10,000,000 | 10,000,000 | | |
| 15 | | | | | | | | |
| 16 | | | | | | | | |
| 17 | TOTAL APPROPRIATION | $3,062,523 | $17,965,000 | $17,965,000 | $30,000,000 | $30,000,000 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 1,653,898 | 17,965,000 | | 30,000,000 | 30,000,000 | | |
| 20 | FEDERAL CASH FUNDS | 1,132,000 | | | | | | |
| 21 | OTHER CASH FUNDS | 276,625 | | | | | | |
| 22 | TOTAL INCOME | $3,062,523 | $17,965,000 | | $30,000,000 | $30,000,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 118 | 112 | 130 | 132 | 132 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 1 | 0 | 10 | 10 | 10 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: 118
(As of November 1, 2009 )

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 14 | Black Male: | 2 | Other Male: | 1 | Total | Male: | 17 |
| White Female: | 25 | Black Female: | 6 | Other Female: | 2 | Total | Female: | 33 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | | Black Male: | | Other Male: | | Total | Male: | 0 |
| White Female: | | Black Female: | | Other Female: | | Total | Female: | 0 |
| Classified Employees: | | | | | | | | |
| White Male: | | Black Male: | | Other Male: | | Total | Male: | 0 |
| White Female: | | Black Female: | | Other Female: | | Total | Female: | 0 |
| Faculty: | | | | | | | | |
| White Male: | 28 | Black Male: | | Other Male: | 1 | Total | Male: | 29 |
| White Female: | 32 | Black Female: | 1 | Other Female: | 6 | Total | Female: | 39 |
| Total White Male: | 42 | Total Black Male: | 2 | Total Other Male: | 2 | Total | Male: | 46 |
| Total White Female: | 57 | Total Black Female: | 7 | Total Other Female: | 8 | Total | Female: | 72 |
| Total White: | 99 | Total Black: | 9 | Total Other: | 10 | Total | Employees: | 118 |
| | | | | **Total Minority:** | 19 | | | |

FORM 11-8

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## I. INTRODUCTION

The University of Arkansas – Fort Smith respectfully submits the following request for legislative appropriation for the biennium ending June 30, 2013. The request is aligned with the University's strategic planning documents and is consistent with its Board approved institutional role and scope. In brief, the revenue requested is needed to maintain existing academic programs at a quality level and provide for new programs needed by the citizens and communities served by UA Fort Smith while bringing University funding to a level that supports actual enrollment.

UA Fort Smith remains the most affordable of the state's four-year institutions. It has been challenging, however, to preserve affordability and quality as state funding for UA Fort Smith on a per student basis has dropped more than $1,100 from $5,113/student in FY2001, our last year as a community college, to $3,945 in FY2010. We appreciate the growth in total appropriated funds provided our institution by the legislature, but the growth in dollars has not kept pace with the growth in enrollment.

UA Fort Smith is distinctive for reasons other than affordability.

- We continue to offer one- and two-year certificate and associate degree programs along with a growing inventory of selected baccalaureate degrees that make sense to the region we serve in terms of job opportunity, availability, and growth potential.

- We created degree programs specifically tailored for the non-traditional student who holds an associate of applied science degree. These programs provide an avenue for students to build general education credits on top of their two-year technical degree to earn a bachelor's degree in nursing, applied science, diagnostic medical sonography, or organizational leadership.

- We partnered with five community colleges in the Arkansas Delta Training and Education Consortium (ADTEC) to

address critical workforce and economic development needs in eastern Arkansas and offer a BS in information technology through the University Center on the campus of Mid-South Community College to Arkansans from the Delta. We also partner in the Arkansas Delta Science, Technology, Engineering, and Mathematics Talent Expansion Program (ADSTEP) in delivering the bachelor of applied science program to the citizens of east Arkansas.

- We have a campus built almost 100 percent by local citizens who tax themselves and give generously of their personal resources for the benefit of UA Fort Smith. This is the only four-year institution receiving local assistance, and our citizens are rightfully proud of the award-winning UA Fort Smith campus they have had a hand in building.
- We work upstream with the public schools. Over 400 high school students from 25 school districts in six counties of western Arkansas arrive on the UA Fort Smith campus each afternoon to receive instruction in the Western Arkansas Technical Center (WATC). This ongoing partnership with school superintendents in the region maximizes resource effectiveness, shortens the learning cycle, and promotes workforce education. Most significantly, WATC introduces the possibility of college to a number of students who might otherwise never consider going beyond high school.

- We do not hire faculty into tenure track positions and yet we are still attracting high-caliber, highly-credentialed individuals in all disciplines. Our faculty members are confident in their ability and motivated by the chance to make a difference through teaching.

- We are a regional university with a community focus. We effectively partnered with the City of Fort Smith and the Chamber of Commerce in successful efforts to attract Mitsubishi Power Systems for economic development of the region. Our Innovation and Entrepreneurship Center and the Family Enterprise Center were developed in response to a need expressed by the business community for a resource that addressed the unique needs of the closely held family business.

- We are also a regional university with an emerging global perspective – 23 exchange agreements with institutions in seven countries and students from 16 countries are enrolled for fall 2010, which enriches all students and the larger community.

The above corroborates past efforts, but we also look to the future. The look ahead is documented in the institution's five-year strategic plan. Released in August 2010, the plan is the product of months of work involving faculty, staff, students, administrators, and community stakeholders. It incorporates the foundational assumptions, core convictions, and imperatives that will shape the future of the institution in coming years.

## II. STRATEGIC PLAN – Vision, Mission, and Goals

### Vision & Mission

**Vision** - "UA Fort Smith will be a premier regional university, connecting education with careers."

**Mission** - "UA Fort Smith prepares students to succeed in an ever-changing global world while advancing economic development and quality of place."

UA Fort Smith cannot be all things to all people. We need a specific and identifiable niche and that niche is clearly identified in the mission and vision statements. The history of this institution has been about supporting general education that teaches critical and creative thinking skills, creating real world opportunities for students, and supporting the business and industrial community with training and education. Those activities have, in turn, spurred economic development for the area as well as quality of place programs and events. That is who we have been and that is who we need to continue to be as the University of Arkansas – Fort Smith.

Six pillars form the base of the plan and under each pillar is a set of initiatives. Though not reflected below, the plan

includes multiple action steps for each initiative that get to the specifics of how the plan goals will be accomplished.

Note that the first pillar has the most initiatives because it most reflects the core of what we do every day—reaching out to students to help them develop into engaged, thinking, informed, and culturally aware citizens who graduate with a career focused major but who have the thinking skills to survive an unpredictable world. The other pillars cover areas such as providing real world work experiences for students, contributing to economic development of our region, using technology strategically and innovatively, promoting global learning, and finding and developing resources for the university.

The following strategic directions and stated outcomes will guide the efforts of the University of Arkansas - Fort Smith through the next biennium and beyond as we become a results-oriented university that provides each graduate with the knowledge, competencies, and actual experience needed for success in life.

The Mission will be accomplished by:

**Pillar 1 - Developing as a center for intellectual, artistic, social, and cultural advancement.**

Initiative 1: Ensure excellence in all academic programs in order to support economic development.
Initiative 2: Recruit and retain high quality faculty and academic support staff from diverse cultural backgrounds to ensure quality instruction.
Initiative 3: Attract and retain a highly motivated and diverse student population.
Initiative 4: Develop and implement engaging innovative learning opportunities that address the formal and informal needs of the non-traditional, degree seeking student population.
Initiative 5: Provide an environment for a smooth transition into the university and a support system for student success.
Initiative 6: Strengthen existing relationships and seek new partnerships with regional and state public and private schools (K-12) and community colleges
Initiative 7: Improve the quality of student life and services to guarantee the students' continued well-being.

Initiative 8: Enhance cultural enrichment and “quality of place” activities.
Initiative 9: Ensure a high quality Residential Life Program that facilitates leadership development, service learning, academic success, and retention.
Initiative 10: Develop and implement personal enrichment programs to engage youth (17 and younger) as lifelong learners.

**Pillar 2 - Maximizing citizenship and real-world work application experiences.**

Initiative 1: Develop an academic identity grounded in the application of knowledge, civic engagement, and global awareness.
Initiative 2: Prepare students for a successful transition from the university into the external community
Initiative 3: Position the University as a leader in developing and supporting a climate of innovation and entrepreneurship.

**Pillar 3 - Solidifying and expanding UA Fort Smith’s position as a primary contributor to economic development.**

Initiative 1: Increase the number of graduates to meet workforce needs.
Initiative 2: Establish and nurture partnerships which expand economic development opportunities.
Initiative 3: Establish “Economic and Community Development Centers of Excellence” focusing on accessibility and economic development needs.

**Pillar 4 - Leading in the innovative use of technology**

Initiative 1: Implement and maintain an appropriate technological infrastructure.
Initiative 2: Deploy and maintain appropriate technology to meet institutional teaching and learning objectives.

Initiative 3: Provide a solution for communicating the University's opportunities, presence, and direction.

**Pillar 5 - Promoting global learning initiatives.**

Initiative 1: Create global and cultural awareness with on-campus and off-campus experiences.
Initiative 2: Establish worldwide relationships to develop student learning opportunities.

**Pillar 6 - Continuing to seek and steward resources.**

Initiative 1: Develop and nurture diverse, mutually beneficial relationships.
Initiative 2: Strategically grow resources.
Initiative 3: To be wise managers and excellent stewards of resources entrusted to us.

## III. APPROPRIATION REQUEST

**General Revenue Request** – The University of Arkansas – Fort Smith is a formula driven entity and did not make a request for general revenue. The increase in general revenue funding is a result of the recommendation made by the Arkansas Higher Education Coordinating Board. UAFS is recommended for $23,640,880 in FY2012 and $24,708,893 in FY2013 – increases of $719,962 and $1,068,013 respectively. The increase in FY2012 restores base funding to a level comparable to state funds actually received in FY2008; however, the workload has gone up by 14 percent in terms of enrollment. We preliminarily plan to allocate the increases as follows:

| | FY2012 | FY2013 |
|---|---|---|
| Pay Raises | $500,000 | $600,000 |
| Health Plan Costs | 0 | 75,000 |
| Staff/Faculty Hiring | 150,000 | 300,000 |

| | | |
|---|---|---|
| Utilities and Other M&O Costs | 69,962 | 93,013 |
| | $719,962 | $1,068,013 |

**Cash Appropriation Request:** A reallocation of appropriation is requested in the "list commitment items" in order to expense in the appropriate commitment items. In addition, a contingency of $40 million in FY2012 and $45 million in FY2013 is requested to allow expenditure and/or outlay of unanticipated grant or gift funds.

**Personal Services Request** – UAFS is requesting an increase of six classified positions to address staffing needs driven by the institution's multi-year growth in enrollment, facility space and area, manpower, complexity of work processes and programs, expectations of accountability and reporting requirements. Our request is minimal and does not drive the budget, but rather addresses the need to have the "right" authorizations to respond to constituencies we serve and changes encountered in the fast-paced world in which we operate. Specifically, we request:

- **Accountant (2)** – To meet growth and expectations, we have implemented a number of on-line and electronic services, all of which must be maintained and reconciled to the general ledger. This requires the services of trained accountants. Additionally, there is an increasing need to monitor tax related transactions and to comply with and be cognizant of IRS rules and regulations creates a need for a staff accountant dedicated to tax compliance matters (e.g. UBIT, Form 1042-S processing)

- **Library Technician** – Two factors create pressure for added library staff: (1) the expansion of the library facility; and (2) the need or extended operating hours to accommodate the needs of growing population of students residing in campus housing .

- **Special Events Worker** – UAFS relies on a three-man (two full-time and one part-time) crew to porter furniture and set-up/take-down furniture, risers, trash receptacles, etc., in multiple campus venues for scheduled events. Demand for these services has grown an average of 7% per year and involves from 5 to 15 setups per day and

movement of several tons of furniture in a matter of hours. This crew also handles pickup of recycle collections of more than 25 tons per year. The addition is needed to meet the added demand and mitigate physical stress on the crew.

- **Registrar Assistant** – Full-time equivalent enrollment has increased by 70% in the eight years since becoming a baccalaureate institution. These students need to be served by a records office that is presently understaffed to meet those needs. Specifically, the registrar's assistant processes and audits change of schedule forms that grew in volume in one year from 14,000 documents to over 18,000 in 2009-10.

- **Administrative Specialist** – The addition of the BSN program and the growth in courses (18 new courses), student and faculty population (160 and 13 respectively) along with parallel growth in the ADN, LPN, RN-BSN Online program have collectively exceeded the support capacity o one administrative specialist.

## IV, CONCLUSION

Fulfilling our purpose and achieving our mission and the objectives identified above requires resources. We will energetically seek private funds and grant support, but **need the State of Arkansas to become our strongest partner in the enterprise.** Our request is not internally focused, but responds to the needs of those we serve. It is with these ideals in mind that we respectfully request your support of the funding recommendation for the University of Arkansas - Fort Smith and for all higher education in the state. Arkansas will be better for it.

**INSTITUTION APPROPRIATION SUMMARY**
**2011-13 BIENNIUM**

**INSTITUTION** **UNIVERSITY OF ARKANSAS - FORT SMITH**

| | | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| | APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 | STATE TREASURY | 22,750,126 | | 23,188,993 | | 25,594,035 | | 29,108,293 | | 23,640,880 | | 30,229,433 | | 24,708,893 | |
| 2 | CASH | 60,899,989 | | 170,659,850 | | 170,659,850 | | 211,901,642 | | 211,901,642 | | 221,901,642 | | 221,901,642 | |
| 3 | | | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | | | |
| 11 | TOTAL | $83,650,115 | 842 | $193,848,843 | 867 | $196,253,885 | 1,110 | $241,009,935 | 1,116 | $235,542,522 | 1,115 | $252,131,075 | 1,116 | $246,610,535 | 1,115 |
| | **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 12 | PRIOR YEAR FUND BALANCE* | 197,832 | 0% | 268,075 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 13 | GENERAL REVENUE | 19,425,592 | 23% | 20,115,961 | 10% | | | 26,303,336 | 11% | 20,835,923 | 9% | 27,424,476 | 11% | 21,903,936 | 9% |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUND | 2,986,616 | 4% | 2,804,957 | 1% | | | 2,804,957 | 1% | 2,804,957 | 1% | 2,804,957 | 1% | 2,804,957 | 1% |
| 15 | WORKFORCE 2000 | | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 16 | CASH FUNDS | 58,807,416 | 70% | 168,573,084 | 87% | | | 211,901,642 | 88% | 211,901,642 | 90% | 221,901,642 | 88% | 221,901,642 | 90% |
| 17 | SPECIAL REVENUES | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 18 | FEDERAL FUNDS | 2,086,766 | 2% | 2,086,766 | 1% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 19 | TOBACCO SETTLEMENT FUNDS | | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 20 | OTHER FUNDS** | 413,968 | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 21 | TOTAL INCOME | $83,918,190 | 100% | $193,848,843 | 100% | | | $241,009,935 | 100% | $235,542,522 | 100% | $252,131,075 | 100% | $246,610,535 | 100% |
| 22 | EXCESS (FUNDING)/APPROPRIATION | ($268,075) | | $0 | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $3,122,305 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $1,953,006 |
| INVENTORIES | $70,599 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | $539,547 |
| INSURANCE DEDUCTIBLES | $80,000 |
| MAJOR CRITICAL SYSTEMS FAILURES | |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $5,108,800 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | |
| OTHER (FOOTNOTE BELOW) | |
| UNRESERVED EDUCATIONAL & GENEREAL FUND BALANCE | ($4,629,647) |

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS - FORT SMITH

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 19,762,589 | 20,638,560 | 21,670,488 | 22,754,012 |
| 2 | RESEARCH | | | | |
| 3 | PUBLIC SERVICE | 494,405 | 437,793 | 525,352 | 530,605 |
| 4 | ACADEMIC SUPPORT | 7,873,896 | 7,611,227 | 8,067,901 | 8,551,975 |
| 5 | STUDENT SERVICES | 3,762,185 | 4,070,943 | 4,274,490 | 4,317,235 |
| 6 | INSTITUTIONAL SUPPORT | 7,864,573 | 11,174,158 | 8,257,802 | 8,340,380 |
| 7 | PHYSICAL PLANT M&O | 5,434,365 | 5,556,477 | 5,723,171 | 5,894,866 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 3,177,238 | 2,912,657 | 3,272,555 | 3,370,732 |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | MANDATORY TRANSFERS | 4,059,940 | 3,865,812 | 6,864,731 | 6,846,856 |
| 14 | AUXILIARY TRANSFERS | | | | |
| 15 | NON-MANDATORY TRANSFERS | 2,447,367 | 1,232,445 | | |
| 16 | TOTAL UNREST. E&G EXP. | $54,876,558 | $57,500,072 | $58,656,490 | $60,606,661 |
| 17 | NET LOCAL INCOME | 32,194,685 | 34,579,154 | 35,015,610 | 35,897,768 |
| 18 | PRIOR YEAR BALANCE*** | 192,025 | 268,075 | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 19,425,592 | 20,115,961 | 20,835,923 | 21,903,936 |
| 20 | EDUCATIONAL EXCELLENCE | 2,986,616 | 2,804,957 | 2,804,957 | 2,804,957 |
| 21 | WORKFORCE 2000 | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | |
| 23 | OTHER STATE FUNDS ** | 413,968 | | | |
| 24 | TOTAL SOURCES OF INCOME | $55,212,886 | $57,768,147 | $58,656,490 | $60,606,661 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Line 23 Other State Funds

| | |
|---|---|
| General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 | 184,237 |
| Tuition Adjustment Funds | 237,347 |
| Transfer out | (7,616) |
| | 413,968 |

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS - FORT SMITH
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 24,743,762 | 26,412,752 | 27,544,054 | 28,500,000 |
| 2 | ALL OTHER FEES | 162,907 | 143,693 | 162,907 | 162,907 |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | 467,900 | 1,202,302 | 467,900 | 467,900 |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | 24,396 | 32,322 | 24,396 | 24,396 |
| 6 | INVESTMENT INCOME | 33,006 | 132,810 | 38,191 | 37,810 |
| 7 | OTHER CASH INCOME: See footnotes below. | 6,762,714 | 6,655,275 | 6,778,162 | 6,704,755 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 32,194,685 | 34,579,154 | 35,015,610 | 35,897,768 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $32,194,685 | $34,579,154 | $35,015,610 | $35,897,768 |

FORM 11-3

Line 7 Other Cash Income

| | | | | |
|---|---|---|---|---|
| County Sales Tax | 5,286,908 | 5,500,000 | 5,400,000 | 5,520,000 |
| Grants and Contracts | 796,574 | 449,224 | 849,224 | 684,001 |
| Other Sources | 679,232 | 706,051 | 528,938 | 500,754 |
| | 6,762,714 | 6,655,275 | 6,778,162 | 6,704,755 |

**APPROPRIATION ACT FORM - STATE TREASURY**
**2011-13 BIENNIUM**

FUND CWW0000 INSTITUTION UNIVERSITY OF ARKANSAS - FORT SMITH APPROPRIATION 568

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 15,791,900 | 17,617,608 | 17,617,608 | 17,750,000 | 18,620,000 | | |
| 2 | EXTRA HELP WAGES | 528,981 | 635,398 | 708,515 | 650,000 | 671,433 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 3,595,200 | 3,043,949 | 3,875,874 | 3,336,840 | 3,400,000 | | |
| 5 | OPERATING EXPENSES | 2,816,585 | 1,874,578 | 3,374,578 | 1,886,580 | 2,000,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | 17,460 | 17,460 | 17,460 | 17,460 | 17,460 | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $22,750,126 | $23,188,993 | $25,594,035 | $23,640,880 | $24,708,893 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 192,025 | 268,075 | | | | | |
| 16 | GENERAL REVENUE | 19,425,592 | 20,115,961 | | 20,835,923 | 21,903,936 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | 2,986,616 | 2,804,957 | | 2,804,957 | 2,804,957 | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 413,968 | | | | | | |
| 22 | TOTAL INCOME | $23,018,201 | $23,188,993 | | $23,640,880 | $24,708,893 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($268,075) | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

Line 23 Other State Funds

| | |
|---|---|
| General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 | 184,237 |
| Tuition Adjustment Funds | 237,347 |
| Transfer out | (7,616) |
| | 413,968 |

# APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2160000 INSTITUTION UNIVERSITY OF ARKANSAS - FORT SMITH APPROPRIATION B12

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 14,564,790 | 22,454,470 | 22,454,470 | 38,954,470 | 42,575,000 | | |
| 2 | EXTRA HELP WAGES | 922,434 | 4,091,326 | 4,091,326 | 4,091,326 | 4,291,326 | | |
| 3 | OVERTIME | 160,924 | 763,518 | 763,518 | 913,518 | 1,163,518 | | |
| 4 | PERSONAL SERVICES MATCHING | 5,200,990 | 9,703,679 | 9,703,679 | 13,303,679 | 14,453,679 | | |
| 5 | OPERATING EXPENSES | 10,030,571 | 22,599,757 | 22,599,757 | 30,709,757 | 31,752,034 | | |
| 6 | CONFERENCE FEES & TRAVEL | 475,635 | 952,034 | 952,034 | 1,350,000 | 1,500,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 1,602,061 | 4,084,019 | 4,084,019 | 4,250,000 | 4,350,000 | | |
| 8 | DATA PROCESSING | 0 | 1,519,962 | 1,519,962 | 0 | 0 | | |
| 9 | CAPITAL OUTLAY | 20,443,283 | 31,904,470 | 31,904,470 | 32,456,747 | 32,958,940 | | |
| 10 | CAPITAL IMPROVEMENTS | 841,094 | 31,904,470 | 31,904,470 | 45,000,000 | 48,000,000 | | |
| 11 | DEBT SERVICE | 0 | 9,723,118 | 9,723,118 | 9,723,118 | 9,773,118 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENT | 6,558,350 | 30,784,027 | 30,784,027 | 30,874,027 | 30,784,027 | | |
| 13 | PROMOTIONAL ITEMS | 99,857 | 175,000 | 175,000 | 275,000 | 300,000 | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | | | | | | | | |
| 17 | TOTAL APPROPRIATION | $60,899,989 | $170,659,850 | $170,659,850 | $211,901,642 | $221,901,642 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | 5,807 | | | | | | |
| 19 | LOCAL CASH FUNDS | 58,807,416 | 168,573,084 | | 211,901,642 | 221,901,642 | | |
| 20 | FEDERAL CASH FUNDS | 2,086,766 | 2,086,766 | | | | | |
| 21 | OTHER CASH FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $60,899,989 | $170,659,850 | | $211,901,642 | $221,901,642 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 842 | 867 | 1,110 | 1,116 | 1,115 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 292 | 910 | 910 | 910 | 910 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

UNIVERSITY OF ARKANSAS - FORT SMITH
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 2,420,474 | 2,797,162 | | ($376,688) | 2,662,768 | 3,044,556 | | ($381,788) |
| 2 RESIDENCE HALL | 2,571,860 | 894,676 | 2,390,181 | (712,997) | 3,800,000 | 1,771,252 | 3,089,288 | (1,060,540) |
| 3 MARRIED STUDENT HOUSING | | | | 0 | | | | 0 |
| 4 FACULTY HOUSING | | | | 0 | | | | 0 |
| 5 FOOD SERVICES | 68,528 | 39,713 | | 28,815 | 1,000,000 | 1,000,000 | | 0 |
| 6 COLLEGE UNION | | 40,176 | | (40,176) | | 101,675 | | (101,675) |
| 7 BOOKSTORE | 401,005 | 2,771 | | 398,234 | 400,000 | 5,000 | | 395,000 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | 2,536,152 | 1,402,314 | | 1,133,838 | 2,770,115 | 1,368,951 | | 1,401,164 |
| 9 STUDENT HEALTH SERVICES | | | | 0 | | | | 0 |
| 10 OTHER | 27,101 | 85,240 | | (58,139) | 87,913 | 30,000 | | 57,913 |
| 11 SUBTOTAL | $8,025,120 | $5,262,052 | $2,390,181 | $372,887 | $10,720,796 | $7,321,434 | $3,089,288 | $310,074 |
| 12 ATHLETIC TRANSFER ** | (57,138) | | | (57,138) | | | | |
| 13 OTHER TRANSFERS *** | (4,842) | | | (4,842) | (310,074) | | | (310,074) |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | $7,963,140 | $5,262,052 | $2,390,181 | $310,907 | $10,410,722 | $7,321,434 | $3,089,288 | $0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

Line 10 Other

| | | | | | |
|---|---|---|---|---|---|
| ATM Fees | 12,849 | | | | |
| Recovery of Bad Debt | 488 | | | | |
| Interest Earnings | 13,764 | | | | |
| | 27,101 | | | | |
| | | 85,240 | Bad Debt Expense | | |
| | | | | 6,913 | ATM Fees |
| | | | | 81,000 | Interest |
| | | | | 87,913 | |
| | | | | | 30,000 Bad Debt Expense Estimate - No Budget |

Line 13 Other Transfers

| | | | |
|---|---|---|---|
| Auxiliary Funds Transferred to Cover Capital Obligations | 4,842 | 310,074 | |

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

UNIVERSITY OF ARKANSAS - FORT SMITH
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: 555
(As of November 1, 2009 )

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 19 | Black Male: | 1 | Other Male: | 0 | Total | Male: | 20 |
| White Female: | 11 | Black Female: | 2 | Other Female: | 0 | Total | Female: | 13 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | --- | Black Male: | --- | Other Male: | --- | Total | Male: | 0 |
| White Female: | --- | Black Female: | --- | Other Female: | --- | Total | Female: | 0 |
| Classified Employees: | | | | | | | | |
| White Male: | 83 | Black Male: | 5 | Other Male: | 12 | Total | Male: | 100 |
| White Female: | 171 | Black Female: | 7 | Other Female: | 21 | Total | Female: | 199 |
| Faculty: | | | | | | | | |
| White Male: | 104 | Black Male: | 5 | Other Male: | 9 | Total | Male: | 118 |
| White Female: | 92 | Black Female: | 3 | Other Female: | 10 | Total | Female: | 105 |
| Total White Male: | 206 | Total Black Male: | 11 | Total Other Male: | 21 | Total | Male: | 238 |
| Total White Female: | 274 | Total Black Female: | 12 | Total Other Female: | 31 | Total | Female: | 317 |
| Total White: | 480 | Total Black: | 23 | Total Other: | 52 | Total | Employees: | 555 |
| | | | | **Total Minority:** | 75 | | | |

FORM 11-8

**June 30, 2009**

| | |
|---|---|
| *Finding:* | No findings noted |

The following are the goals from the UALR strategic plan. Specific goals related to this request are noted in the narrative.

**Goal 1 - UALR will make student success its top priority.**

Objective 1: UALR will increase its retention and graduation rates.

Objective 2: UALR will create a campus culture of student success.

Objective 3: UALR will improve job, professional school, and graduate school placement.

Objective 4: UALR will equip students with life skills/job skills/citizen skills.

Objective 5: UALR will create a strong sense of campus community, emphasizing in particular, the richness of its diversity.

**Goal 2 - UALR will offer high quality, cutting-edge educational experiences for students prepared for rigorous study at the university level.**

Objective 1: UALR will create an organizational structure that is nimble enough to facilitate collaborative relationships designed to provide high quality, cutting-edge educational experiences.

Objective 2: UALR will offer a curriculum distinguished by the rich and diverse learning opportunities afforded its students.

Objective 3: UALR will employ and recognize faculty who consistently demonstrate a commitment to staying current in their fields and to adapting pedagogical approaches to ensure a high-quality, cutting-edge educational experience for students; UALR will provide professional development opportunities for faculty in support of this commitment.

Objective 4: UALR will maintain an instructional environment which is conducive to high-quality, cutting-edge educational experiences.

Objective 5: UALR will offer academic programs of high quality.

**Goal 3 - UALR will foster the maturation of its research mission in alignment with its Carnegie classification as a doctoral research university.**

Objective 1: UALR will identify priority programs for research investment.

Objective 2: UALR will dedicate and develop resources to foster the maturation of its research mission.

Objective 3: UALR will provide opportunities for undergraduate and graduate students to engage in research.

Objective 4: UALR will support the development of key, established research units.

**Goal 4 - UALR will respond to local, state, regional, and national priorities to generate economic development and ensure quality of life.**

Objective 1: UALR will sustain an ongoing dialogue among campus and external constituents to reinforce its fundamental commitment to serve the public and ensure institutional capacity to support this commitment.

Objective 2: UALR will graduate students who are committed to community engagement.

Objective 3: UALR will lead in improving the quality (success?) of the public schools in Pulaski County.

Objective 4: UALR will pursue selected public service initiatives of particular institutional priority.

Objective 5: UALR will expand its involvement in networks of universities which, like UALR, emphasize public service and community engagement.

**Goal 5 - UALR will demonstrate its commitment to diversity, equality, and global understanding.**

Objective 1: UALR will enhance diversity among its faculty, staff and leadership.

Objective 2: UALR will establish university-wide leadership to champion diversity.

Objective 3: UALR will enhance the diversity of student body.

Objective 4: UALR will reduce the disparities in student success achievement.

Objective 5: UALR will nurture curricular and co-curricular learning environments that promote diversity and global understanding.

**GOAL 6 - UALR will maintain and support the human resources and infrastructure necessary to support its mission and vision.**

Objective 1: UALR will recruit and support faculty and staff in support of its vision and mission.
Objective 2: UALR will maintain a physical plant which is conducive to fulfilling the mission and vision of the institution.
Objective 3: UALR will maintain an information technology infrastructure which is conducive to fulfilling the mission and vision of the institution.
Objective 4: UALR will support its mission and vision through a comprehensive communications program.
Objective 5: UALR will pursue a variety of funding strategies to ensure adequate support its mission and vision.
Objective 6: UALR will maintain a safe campus environment.

**General Revenue Request for 2012 ($2,249,904)**

UALR is a formula driven entity and did not make a request for general revenue. The increase in general revenue funding is a result of the recommendation made by the Arkansas Department of Higher Education Coordinating Board.

A portion of the new funds in the first year will be to hire faculty in high demands areas. Goal Two, Objective Three: **UALR will employ and recognize faculty who consistently demonstrate a commitment to staying current in their fields and to adapting pedagogical approaches to ensure a high-quality, cutting-edge educational experience for students**; **UALR will provide professional development opportunities for faculty in support of this commitment.**

Goal One commits UALR to the success of its students: **UALR will make student success its top priority.** In both years of the biennium UALR will commit part of the new funds to support efforts to improve student success. We will begin to provide intrusive advising for most students, supplemental instruction in courses that typically account for a large number of dropouts, and learning communities to increase a sense of community and to develop core support groups.

Some of the new funds in the first year will be devoted to Goal Six – **UALR will maintain and support the human resources and infrastructure necessary to support its mission and vision.** Our non-classified faculty and professional staff have had three years with little or no salary increase. They have lost purchasing power of at least 5%. We will request from our board of trustees to allow a salary increase to make up some of this loss.

| | |
|---|---|
| New faculty/staff in high demand areas | 200,000 |
| Student success initiatives | 200,000 |
| 1.5% Salary increase with fringe benefits | $1,849,904 |

**General Revenue Request in 2013 ($3,177,962)**

In the second year of the biennium we will continue the efforts to improve student success and to supporting our human resources. The third use for the funds will be for increased health insurance costs.

| | |
|---|---|
| 2% Salary increase with fringe benefits | $2,589,139 |
| Student success initiatives (advisors and graduate assistants for supplemental instruction and learning communities) | $200,000 |
| Increased health insurance costs | $388,823 |

**Cash**

There is no request for additional cash appropriation.

**Non-Formula Request**

**UALR RAPS/Nanotechnology**

UALR made several requests for additional dollars in UALR's non-formula appropriation. Goal Four drives our use of funds in this category: **UALR will respond to local, state, regional, and national priorities to generate economic development and ensure quality of life.**

**RSA-A proposed increase in 2012 is $233,612.**
These dollars will be used to provide raises to employees in the Institute for Economic Advancement, Institute of Government, and Small Business Technology and Development Center, which make up the RAPS unit. The remainder will be used to cover the increase in health benefits for those units.

**RSA-A proposed increase in 2013 is $167,898.**
These dollars will be used to provide raises to employees in the Institute for Economic Advancement, Institute of Government, and Small Business Technology and Development Center, which make up the RAPS unit. The remainder will be used to cover the increase in health benefits for those units.

**RSA-B proposed increase in 2012 is $1,774,055**

The largest and most important request is for permanent operating funding for the Nanotechnology Center, protecting the

original $5.9 million dollar investment in 2003. These dollars appear as a RSA "B" allocation in the ADHE recommendations.

This is for the permanent funding for the Nanotechnology Center and focuses on Goal Three – **UALR will foster the maturation of its research mission in alignment with its Carnegie classification as a doctoral research university.**

As a center of excellence, the UALR Nanotechnology Center was created by action of the Arkansas General Assembly in 2005 and began operation in early 2006. The center was established with the goals of enhancing the economic development of the state through creating new companies, growing the research capacity of the state's colleges and universities and improving the potential of existing industries. Those goals are steadily being met in its less than four years of operation. A first priority was the installation of the sophisticated, state-of-the art instrumentation that has made the Center a unique resource for companies, government and academic institutions. Of the original appropriation, $4 million was utilized to equip the center with the highest level of instrumentation available to perform the scientific standards used internationally in the nanotechnology field. The instrumentation lab of the center is now in operation, utilized by industry partners and academicians coming from around the state.

Parallel with the installation of the equipment infrastructure has been the development of a team of world-class researchers who are conducting research that is quickly becoming recognized in the scientific community. The Nanotechnology Center has become an integral part of the UALR research community, an effective collaborator with affiliate scientists from other Arkansas higher education institutions, and a generator of intellectual property available for commercialization by existing companies or new businesses. The Center's research is organized in three synergistic fields that have overlapping applications: 1) Nanomaterial fabrication, 2) Micro-nano thin film deposition, and 3) Nanomedicine. The research projects in these fields have applications such as solar energy, anti-icing capability, electronics, medical device coatings, tissue engineering, and cancer therapies, as well as others. The scientific team has already amassed a significant research portfolio that has shown the potential for commercialization.

Since the center's inception the research has produced eleven issued patents, forty-six patent applications (not including

provisionals and continuations in part), seven invention disclosures awaiting intellectual property protection decisions, and over 200 publications. In addition, seven start-up companies that employ 20 full-time and part-time employees are being "incubated" through our Office of Innovation and Commercialization.

Federal funding in excess of $4 million has been acquired to fund various research projects of the Center. Another $3.7 million is expected in 2010 from the U.S. Army to fund nanomedicine projects. That makes $7.7 million dollars brought into the state leveraging the $5.9 million invested by the state. AND we have only been in operation since 2006. The potential for the future is incredible.

Two local companies have licensed six of the research discoveries for which patents are being sought or have been issued. Discussions are ongoing with new and established companies who have expressed interest in the Center's cancer therapies, anti-counterfeiting technology, plant seed discoveries and surface-enhanced raman spectroscopy technology. Partnerships are at the core of the operation of the Nanotechnology Center. Fulfilling the commitments under which the center was created for the state, the center operates on the belief that one of the keys to accelerate world class research in Arkansas is to increase access to the resources for academia and industry.

A primary focus of the center is to expand access to the instrumentation, facilities, and scientific expertise throughout the state to those who can benefit economically. The Affiliate Scientist Program developed as one of the core functions of the center now involves over 30 scientists from other Arkansas' colleges and universities (ASU, ATU, Hendrix, HSU, UCA, UA Fayetteville, UAMS, and SAU), with dozens more from other states and counties. The potential for collaborative research is being realized as faculty from other institutions are conducting research at the Nanotechnology Center facilities, bringing their students with them. The Center has also invested in equipment that will provide remote microscope access to some researchers, offering the opportunity for more faculty to use the instrumentation in their own research projects.

The center has developed or participated in outreach programs to Arkansas elementary, middle school, high school and college students to enhance the opportunities for students to enter science, engineering and technology fields of study.

Students have interned with the Center in the summers. Seven high school students were mentored by Center researchers and students, all of whom qualified for regional and state science fair competitions. Six students from the Arkansas School for Mathematics, Sciences and the Arts took 16 first-place awards, 5 second places and 2 thirds at Science Fair/Junior Academy – including first in every category in which they competed. One student also qualified for international competition.

The Center is now operating at the level that requires an annual $2 million operating budget. ASTA funds in this biennium of $1.6 million have allowed us to stretch the original $5.9 million to fund operations beyond the original two-year period of appropriation – significant, considering that the bulk of the initial money was utilized for the instrumentation that creates the unique capacity of the center. For the Center to continue producing the impressive results realized since its creation, a stable funding base of $2.1 million annually in necessary. The requested budget would provide base operations for the Center including the core personnel (Director, Operations Director, Chief Scientist, Director of Instrumentation, research faculty members, post-docs, and support staff), graduate assistants, and general maintenance. In addition, it would provide for additional research equipment – bio-transmission electron microscopes, spectroscopy, and characterization instruments.

**Personal Services Request**

**Request for Additional Position**

Economic Forecaster – The Institute for Economic Advancement (IEA) in the College of Business at UALR is the only university-based public service in the State of Arkansas with a statewide mission in economic development. The State of Arkansas does not have, at this time, a recognized, credible, veteran economist that the business and governmental community as well as the general citizenry can call or rely upon to provide pertinent and timely information regarding trends analysis of the Arkansas' economy and how it relates to the region and nation.

To fulfill that need, IEA on behalf of UALR and the business and government community in the state requests the establishment of a formal position of Economic Forecaster. The establishment of this position will add a tremendous economic asset to our state and increase the credibility of IEA in its efforts to enhance economic development across Arkansas.

New positions: Though UALR did not request new titles beyond this one, mainly because we were discouraged from adding titles, we will need to seek during the session new positions to handle our growth in enrollment, the growth in reporting requirements, and the increased burden on our Financial Aid office brought on by the Lottery Scholarships.

**Request for Increase in Line Item Maximum**

Dean of Engineering – EIT – The Donaghey College of Engineering and Information Technology is a driving force in giving prominence and recognition to the University in the area of research. The Dean of the college is responsible for motivating the faculty and putting programs, procedures and policies in place to accomplish nationally and internationally recognized research. The founding Dean of the college will be retiring soon and UALR will need to recruit nationally for a top-notch replacement. This will require a much higher salary level.

Being Dean of a college of engineering requires an extraordinary skill set. He/she must be up to date in the latest areas of research that are being funded and must have the connections to the right people and funding sources to be competitive with other universities. UALR will need a high profile Dean with a history of connections to local, state, and federal agencies.

This request was not approved by ADHE.

## INSTITUTION APPROPRIATION SUMMARY
## 2011-13 BIENNIUM

**INSTITUTION** UNIVERSITY OF ARKANSAS AT LITTLE ROCK

| | | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| | APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 | STATE TREASURY | 63,551,117 | | 64,861,761 | | 73,334,102 | | 85,963,183 | | 68,877,334 | | 88,650,019 | | 72,223,194 | |
| 2 | LAW SCHOOL | 544,066 | | 800,000 | | 800,000 | | 800,000 | | 800,000 | | 800,000 | | 800,000 | |
| 3 | CASH | 96,840,206 | | 371,200,000 | | 371,200,000 | | 371,200,000 | | 371,200,000 | | 371,200,000 | | 371,200,000 | |
| 4 | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | | | |
| 11 | TOTAL | $160,935,389 | 1,900 | $436,861,761 | 1,939 | $445,334,102 | 2,203 | $457,963,183 | 2,203 | $440,877,334 | 2,203 | $460,650,019 | 2,203 | $444,223,194 | 2,203 |
| | **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 12 | PRIOR YEAR FUND BALANCE* | 984,200 | 1% | 1,052,486 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 13 | GENERAL REVENUE | 57,707,562 | 36% | 59,758,438 | 14% | | | 81,101,859 | 18% | 64,016,010 | 15% | 83,788,695 | 18% | 67,361,870 | 15% |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUN | 5,176,162 | 3% | 4,861,324 | 1% | | | 4,861,324 | 1% | 4,861,324 | 1% | 4,861,324 | 1% | 4,861,324 | 1% |
| 15 | WORKFORCE 2000 | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 16 | CASH FUNDS | 96,840,206 | 60% | 371,200,000 | 85% | | | 371,200,000 | 81% | 371,200,000 | 84% | 371,200,000 | 81% | 371,200,000 | 84% |
| 17 | SPECIAL REVENUES | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 18 | FEDERAL FUNDS | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 19 | TOBACCO SETTLEMENT FUNDS | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 20 | OTHER FUNDS | 1,279,746 | 1% | 756,696 | 0% | | | 800,000 | 0% | 800,000 | 0% | 800,000 | 0% | 800,000 | 0% |
| 21 | TOTAL INCOME | $161,987,876 | 100% | $437,628,944 | 100% | | | $457,963,183 | 100% | $440,877,334 | 100% | $460,650,019 | 100% | $444,223,194 | 100% |
| 22 | EXCESS (FUNDING)/APPROPRIATION | ($1,052,487) | | ($767,183) | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $10,112,578 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $6,847,236 |
| INVENTORIES | $169,000 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | |
| INSURANCE DEDUCTIBLES | $50,000 |
| MAJOR CRITICAL SYSTEMS FAILURES | |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $15,193,949 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | |
| OTHER (FOOTNOTE BELOW) | |
| UNRESERVED EDUCATIONAL & GENEREAL FUND BALANCE | ($12,147,607) |

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS AT LITTLE ROCK

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 50,085,372 | 52,779,339 | 53,069,025 | 54,392,280 |
| 2 | RESEARCH | 3,633,321 | 2,928,013 | 2,944,084 | 3,017,493 |
| 3 | PUBLIC SERVICE | 1,113,944 | 311,081 | 312,788 | 320,588 |
| 4 | ACADEMIC SUPPORT | 15,194,812 | 15,882,697 | 15,969,871 | 16,368,073 |
| 5 | STUDENT SERVICES | 6,331,413 | 7,026,882 | 7,065,450 | 7,241,624 |
| 6 | INSTITUTIONAL SUPPORT | 12,627,323 | 11,402,100 | 11,464,682 | 11,750,549 |
| 7 | PHYSICAL PLANT M&O | 10,877,145 | 10,931,925 | 10,991,926 | 11,266,005 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 10,951,909 | 9,054,061 | 9,103,755 | 9,330,754 |
| 9 | OTHER ENTITY - LAW | 10,009,909 | 9,937,972 | 9,992,518 | 10,241,677 |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | MANDATORY TRANSFERS | 3,347,136 | 4,897,197 | 4,924,076 | 5,046,856 |
| 14 | AUXILIARY TRANSFERS | 2,409,974 | 1,735,693 | 1,745,220 | 1,788,736 |
| 15 | NON-MANDATORY TRANSFERS | 6,783,040 | 3,459,042 | 3,478,027 | 3,564,751 |
| 16 | TOTAL UNREST. E&G EXP. | $133,365,298 | $130,346,002 | $131,061,422 | $134,329,386 |
| 17 | NET LOCAL INCOME | 72,860,578 | 67,838,413 | 67,838,413 | 67,838,413 |
| 18 | PRIOR YEAR BALANCE*** | | | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 54,241,815 | 56,169,522 | 58,419,427 | 61,597,389 |
| 20 | EDUCATIONAL EXCELLENCE | 5,176,162 | 4,861,324 | 4,861,324 | 4,861,324 |
| 21 | WORKFORCE 2000 | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | |
| 23 | OTHER STATE FUNDS ** | 1,089,561 | 1,534,484 | | |
| 24 | TOTAL SOURCES OF INCOME | $133,368,116 | $130,403,743 | $131,119,164 | $134,297,126 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

** Other State Funds Actual include:
UALR - Law School Legal Education (CEA0100)
$514,443 GIF Funding released 5/4/10

** Other State Funds Budgeted include:
UALR - Law School Legal Education (CEA0100)

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

UNIVERSITY OF ARKANSAS AT LITTLE ROCK - RAPS/NANOTECHNOLOGY

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | INSTRUCTION | 11,086 | | | | | |
| 2 | RESEARCH | 1,031,917 | 975,961 | 1,611,646 | 1,038,483 | 1,658,152 | 1,045,939 |
| 3 | PUBLIC SERVICE | 2,424,876 | 2,670,696 | 3,305,865 | 2,841,786 | 3,405,151 | 2,862,191 |
| 4 | ACADEMIC SUPPORT | 195,712 | | | | | |
| 5 | NANOTECHNOLOGY/RESEARCH | 2,311,446 | 1,894,246 | 2,100,000 | 1,774,055 | 2,163,000 | 1,914,091 |
| 6 | NANOTECHNOLOGY/SCHOLARSH | 24,667 | | | | | |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| 10 | | | | | | | |
| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | 97,976 | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | (413,856) | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $5,683,824 | $5,540,903 | $7,017,511 | $5,654,324 | $7,226,303 | $5,822,221 |
| 17 | NET LOCAL INCOME | 2,291,816 | 57,741 | 57,741 | 57,741 | 57,740 | 57,740 |
| 18 | PRIOR YEAR BALANCE*** | | | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 3,498,617 | 3,588,916 | 6,959,770 | 5,596,583 | 7,168,563 | 5,764,481 |
| 20 | EDUCATIONAL EXCELLENCE | | | | | | |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS ** | 1,013,750 | 1,894,246 | | | | |
| 24 | TOTAL SOURCES OF INCOME | $6,804,183 | $5,540,903 | $7,017,511 | $5,654,324 | $7,226,303 | $5,822,221 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

Other State Funds: $32,870 General Improvement Funds released to restore RSA funding that was cut on May 4, 2010, and special appropriation (GIF) for the Nanotechnology Center.

Other State Funds Budgeted : GIF (2005 appropriation for Nano center) and $800,000 from ASTA.

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS AT LITTLE ROCK
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 49,101,808 | 47,166,852 | 47,166,852 | 47,166,852 |
| 2 | ALL OTHER FEES | 1,586,806 | 2,601,153 | 2,601,153 | 2,601,153 |
| 3 | OFF-CAMPUS CREDIT | 14,549,505 | 15,302,480 | 15,302,480 | 15,302,480 |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | 933,648 | 688,578 | 688,578 | 688,578 |
| 6 | INVESTMENT INCOME | 962,004 | 400,000 | 400,000 | 400,000 |
| 7 | OTHER CASH INCOME:** | 5,726,807 | 1,679,350 | 1,679,350 | 1,679,350 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 72,860,578 | 67,838,413 | 67,838,413 | 67,838,413 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $72,860,578 | $67,838,413 | $67,838,413 | $67,838,413 |

FORM 11-3

**Sources of Other Cash Income: Indirect Cost Recovery, Gifts, Parking Income & Violations, Contract Income, Facility Rental, Service Charges, Internal Income, and Educational Activity Income

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CEA0000 INSTITUTION UNIVERSITY OF ARKANSAS AT LITTLE ROCK APPROPRIATION 297

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 52,595,743 | 60,711,091 | 61,478,275 | 57,742,027 | 60,546,967 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 10,955,374 | 4,150,670 | 11,855,827 | 11,135,307 | 11,676,227 | | |
| 5 | OPERATING EXPENSES | | | | | | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $63,551,117 | $64,861,761 | $73,334,102 | $68,877,334 | $72,223,194 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 939,078 | 1,009,182 | | | | | |
| 16 | GENERAL REVENUE | 57,707,562 | 59,758,438 | | 64,016,010 | 67,361,870 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUN | 5,176,162 | 4,861,324 | | 4,861,324 | 4,861,324 | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 737,498 | | | | | | |
| 22 | TOTAL INCOME | $64,560,300 | $65,628,944 | | $68,877,334 | $72,223,194 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($1,009,183) | ($767,183) | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

Other State Funds: $547,313 GIF released to restore RSA funding that was cut on May 4, 2010, $200,000 legal education, and ($9815) transfers out

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CEA0100 INSTITUTION UNIVERSITY OF ARKANSAS AT LITTLE ROCK LAW SCHOOL APPROPRIATION 297

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | WILLIAM H. BOWEN SCHOOL OF LAW | 544,066 | 800,000 | 800,000 | 800,000 | 800,000 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | | | | | | | |
| 5 | OPERATING EXPENSES | | | | | | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $544,066 | $800,000 | $800,000 | $800,000 | $800,000 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 45,122 | 43,304 | | | | | |
| 16 | GENERAL REVENUE | | | | | | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 542,248 | 756,696 | | 800,000 | 800,000 | | |
| 22 | TOTAL INCOME | $587,370 | $800,000 | | $800,000 | $800,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($43,304) | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

Other State Treasury Funds include Legal Education.

# APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2010000 INSTITUTION UNIVERSITY OF ARKANSAS AT LITTLE ROCK APPROPRIATION A68

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 29,455,071 | 72,828,000 | 72,828,000 | 72,828,000 | 72,828,000 | | |
| 2 | EXTRA HELP WAGES | 2,551,186 | 12,000,000 | 12,000,000 | 12,000,000 | 12,000,000 | | |
| 3 | OVERTIME | | 1,000,000 | 1,000,000 | 1,000,000 | 1,000,000 | | |
| 4 | PERSONAL SERVICES MATCHING | 8,749,928 | 20,808,000 | 20,808,000 | 20,808,000 | 20,808,000 | | |
| 5 | OPERATING EXPENSES | 22,683,385 | 39,900,000 | 39,900,000 | 40,900,000 | 40,900,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 2,967,071 | 5,000,000 | 5,000,000 | 5,000,000 | 5,000,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 4,476,826 | 10,000,000 | 10,000,000 | 10,000,000 | 10,000,000 | | |
| 8 | DATA PROCESSING | | 1,000,000 | 1,000,000 | | | | |
| 9 | CAPITAL OUTLAY | 18,628,738 | 35,000,000 | 35,000,000 | 35,000,000 | 35,000,000 | | |
| 10 | CAPITAL IMPROVEMENTS | | 123,264,000 | 123,264,000 | 123,264,000 | 123,264,000 | | |
| 11 | DEBT SERVICE | 7,204,777 | 10,000,000 | 10,000,000 | 10,000,000 | 10,000,000 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENT | 123,224 | 40,000,000 | 40,000,000 | 40,000,000 | 40,000,000 | | |
| 13 | PROMOTIONAL ITEMS | | 400,000 | 400,000 | 400,000 | 400,000 | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | CONTINGENCY | | | | | | | |
| 17 | TOTAL APPROPRIATION | $96,840,206 | $371,200,000 | $371,200,000 | $371,200,000 | $371,200,000 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 96,840,206 | 371,200,000 | | 371,200,000 | 371,200,000 | | |
| 20 | FEDERAL CASH FUNDS | | | | | | | |
| 21 | OTHER CASH FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $96,840,206 | $371,200,000 | | $371,200,000 | $371,200,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 1,900 | 1,939 | 2,203 | 2,203 | 2,203 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 670 | 1,300 | 1,300 | 1,300 | 1,300 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

UNIVERSITY OF ARKANSAS AT LITTLE ROCK
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 5,076,738 | 6,218,668 | | ($1,141,930) | 5,343,665 | 6,292,771 | | (949,106) |
| 2 RESIDENCE HALL | 2,770,315 | 1,166,920 | 1,520,278 | 83,117 | 2,687,458 | 1,148,010 | 1,558,282 | (18,834) |
| 3 MARRIED STUDENT HOUSING | | | | 0 | | | | 0 |
| 4 FACULTY HOUSING | | | | 0 | | | | 0 |
| 5 FOOD SERVICES | | 9,650 | | (9,650) | | | | 0 |
| 6 COLLEGE UNION | 931,695 | 1,689,049 | 235,969 | (993,323) | 978,935 | 1,651,213 | 235,969 | (908,247) |
| 7 BOOKSTORE | | | | 0 | | | | 0 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | 658,029 | 556,430 | | 101,599 | 703,142 | 703,142 | | 0 |
| 9 STUDENT HEALTH SERVICES | | | | 0 | | | | 0 |
| 10 OTHER | 1,320,939 | 1,035,681 | 172,191 | 113,067 | 1,948,638 | 1,608,169 | | 340,469 |
| 11 SUBTOTAL | $10,757,716 | $10,676,398 | $1,928,438 | ($1,847,120) | $11,661,838 | $11,403,305 | $1,794,251 | (1,535,718) |
| 12 ATHLETIC TRANSFER ** | 1,124,720 | | | 1,124,720 | 949,106 | | | 949,106 |
| 13 OTHER TRANSFERS *** | 836,987 | | | 836,987 | 586,612 | | | 586,612 |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | $12,719,423 | $10,676,398 | $1,928,438 | $114,587 | $13,197,556 | $11,403,305 | $1,794,251 | 0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

Sources of Other Auxiliary Income: Rental, Print shop, Vending, Law bookstore, bookstore, and food service

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

UNIVERSITY OF ARKANSAS AT LITTLE ROCK
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: 1504
(As of November 1, 2009 )

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 206 | Black Male: | 32 | Other Male: | 17 | Total | Male: | 255 |
| White Female: | 256 | Black Female: | 76 | Other Female: | 19 | Total | Female: | 351 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | | Black Male: | | Other Male: | | Total | Male: | 0 |
| White Female: | | Black Female: | | Other Female: | | Total | Female: | 0 |
| Classified Employees: | | | | | | | | |
| White Male: | 107 | Black Male: | 65 | Other Male: | 5 | Total | Male: | 177 |
| White Female: | 117 | Black Female: | 104 | Other Female: | 7 | Total | Female: | 228 |
| Faculty: | | | | | | | | |
| White Male: | 221 | Black Male: | 14 | Other Male: | 43 | Total | Male: | 278 |
| White Female: | 180 | Black Female: | 17 | Other Female: | 18 | Total | Female: | 215 |
| Total White Male: | 534 | Total Black Male: | 111 | Total Other Male: | 65 | Total | Male: | 710 |
| Total White Female: | 553 | Total Black Female: | 197 | Total Other Female: | 44 | Total | Female: | 794 |
| Total White: | 1,087 | Total Black: | 308 | Total Other: | 109 | Total | Employees: | 1,504 |
| | | | | **Total Minority:** | 417 | | | |

FORM 11-8

**June 30, 2009**

| | |
|---|---|
| *Finding:* | No findings noted |

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## I. Introduction

As one of the few remaining open admissions universities in the region, the University of Arkansas at Monticello is proud of its heritage of offering educational opportunities to the people of Arkansas. Founded in 1909 as the Fourth District Agricultural School, UAM completes its 99th year with a renewed commitment to meeting the challenges of higher education in the 21st century. The University of Arkansas at Monticello (UAM) is a comprehensive institution offering undergraduate and graduate programs. UAM provides degree opportunities for both traditional and non-traditional students and provides an environment which nurtures individual achievement and personal development. UAM offers associate and bachelor's degrees in the liberal arts and sciences and it also offers pre-professional and professional, and applied programs to prepare graduates for careers and advanced study. Master's degrees are offered in Elementary and Secondary Education and in Forest Resources. UAM also offers and receives courses via video conferencing and the Internet. The UAM College of Technology at Crossett, the UAM College of Technology at McGehee, and the Arkansas Heavy Equipment Operator Training Academy in Warren incorporate technical and workforce education into the offerings of the University. These campuses offer programs leading to technical certificates, certificates of proficiency and the associate of applied science awarded by UAM in various technical fields. UAM also cooperates with other institutions to bring services and programs to the southeast region of the state.

The University of Arkansas at Monticello is committed to providing a campus environment conductive to inspired teaching and learning. Therefore, the primary focus for faculty members at UAM is excellence in teaching. To enrich teaching and learning, UAM faculty are also expected to be involved in research, scholarship and/or creative activities. A stronger emphasis is placed on applied research in the Division of Agriculture and the School of Forest Resources as UAM partners with the University of Arkansas at Fayetteville (UAF) and the Arkansas Agriculture Experiment Station and Cooperative Extension service and their related missions.

The University of Arkansas at Monticello, as the only state university in southeastern Arkansas, has a special role in providing cultural opportunities for students and citizens within its service area. In this regard, the campus

serves as an advocate and sponsor for many activities and events in seeking to promote the growth and development of the region. UAM also seeks to collaborate with and serve the needs of public schools, business and industry, transportation, agriculture, economic development agencies and the wood products industry. UAM, in particular, assumes a leadership role in the delivery of services and resources in the areas of community, leadership, economic and industrial development, and cooperative educational programs with emphases on basic education literacy, disadvantaged youth, and workforce training and retraining. UAM is also committed to K-12 enrichment programs and educational reform and actively collaborates with area schools and the regional educational cooperative.

The History of the University and the Mission Statement of the University are enduring and used by the campus community as the foundation for the daily operations of the University and strategic plan work. The Mission Statement of the University is used as a benchmark to measure UAM's success.

## II. Institutional Mission Statement

The University of Arkansas at Monticello shares with all universities the commitment to search for truth and understanding through scholastic endeavor. The University seeks to enhance and share knowledge, to preserve and promote the intellectual content of society, and to educate people for critical thought. The University provides learning experiences which enable students to synthesize knowledge, communicate effectively, use knowledge and technology with intelligence and responsibility, and act creatively within their own and other cultures.

The University strives for excellence in all its endeavors. Educational opportunities encompass the liberal arts, basic and applied sciences, selected professions, and vocational and technical preparation. These opportunities are founded in a strong program of general education and are fulfilled through contemporary disciplinary curricula, certification programs, and vocational/technical education or workforce training. The University assures opportunities in higher education for both traditional and non-traditional students and strives to provide an environment which fosters individual achievement and personal development.

The University of Arkansas at Monticello seeks to fulfill its mission by:

1. Offering quality educational opportunities in the form of master's, baccalaureate, and associate degree preparation, as well as certification in a variety of vocational/technical programs, or workforce training;
2. Offering a well-rounded program of general education designed to broaden and enrich students' awareness of the world around them;
3. Providing contemporary curricula which prepare students for careers in selected fields, for personal development, and for meeting societal needs;
4. Strengthening students' capabilities as thoughtful contributors to society by encouraging them to take personal responsibility and seek the benefits of life-long learning;
5. Providing support programs which increase the probability of success for those students needing additional academic preparation to meet college standards;
6. Assisting students in developing interpersonal skills needed by responsible and productive members of society;
7. Providing viable programs of public service, continuing education in selected areas, and cooperative programs with other educational institutions;
8. Promoting research programs which strengthen the institution and contribute new information to the existing body of knowledge and the extension of knowledge to serve the public;
9. Providing cultural and aesthetic experiences that will serve to enhance appreciation of the arts;
10. Maintaining regional and national recognition of the institution and its academic and technical programs by continuing to meet the standards of accrediting bodies, and seeking similar recognition of appropriate programs for which accreditation is available but to be achieved;
11. Preparing students to live and work in a technological and global society.

## III. Institutional Goal(s)

Knowing that its reputation stands on the quality of its programs, the University of Arkansas at Monticello will establish and maintain instructional, service and research programs supportive of UAM's academic mission focused on career oriented, professional, and liberal arts and sciences programs which creatively meet the needs of the constituents we serve.

## IV. Programs and Program Definitions

### Program 1: Instruction

University instruction is the creative and inspired sharing of information and knowledge, the preservation and promotion of the intellectual content of society, and the education of people for critical thought.

Goal 1: The University of Arkansas at Monticello will offer quality educational opportunities.

Objective 1: To prepare students for jobs, careers, life-long learning, citizenship, and personal life satisfaction.

Objective 1 Strategies:

- Develop innovative and relevant curricula
- Design well-rounded general education program
- Enrich courses through technology
- Maintain quality and accessibility to library and other learning resources

Objective 2: To improve instruction

Objective 2 Strategies:

- Attract and retain highly qualified and diverse faculty
- Recognize and reward excellence in teaching
- Provide staff development that encourages a wide range of pedagogical approaches
- Encourage collaborative teaching

**Program 2: Non-Credit Instruction, Business and Industry Training, and Community Service**

This program includes all activities associated with the instructional delivery of courses and services to business and industry. All community education courses are included in this program.

Goal 1: The UAM College of Technology at Crossett, the UAM College of Technology at McGehee, and the Arkansas Heavy Equipment Operator Training Academy will provide quality, relevant training to area business and industry through diverse and innovative educational programs.

Objective 1: To provide business and industry that serves the needs of the local workforce.

Objective 1 Strategies:

- Identify and address new training opportunities needed by students and local business and industry.
- Assess quality of program offerings in workforce training.
- Enrich courses through technology and other institutional support.

Goal 2: The University of Arkansas at Monticello Colleges of Technology in Crossett and McGehee will provide a broad range of life-long learning opportunities and community service within the service area.

Objective 2 Strategies:

- Offer wide selection of non-credit courses and workshops.
- Offer cultural enrichment opportunities.
- Enrich courses through technology and other institutional support.

**Program 3: Public Service**

University public service is providing for the continuing education needs, the cultural and intellectual needs, and the special service needs of the community. It is also the university's cooperation with other educational institutions and agencies to help meet the education and service needs of the community.

Goal 1: The University of Arkansas at Monticello will provide viable programs of public service.

Objective 1: To provide continuing education in selected areas

Objective 1 Strategies:

- Offer opportunities for lifelong learning
- Create educational partnerships with public schools, community colleges, and regional economic development agencies
- Provide outreach and educational activities and opportunities for young people, older adults, and special populations.

Objective 2: To provide cultural and aesthetic experiences

Objective 2 Strategies:

- Hosts special guest speakers and lecturers

- Promote performing arts
- Promote visual arts through exhibits, and artistic shows
- Provide a wide variety of musical performances

**Program 4: Research/Scholarship/creative activities**

University research is the search for new knowledge and the contribution of new information to the existing body of knowledge. Research is also the sharing of information, knowledge, and creative activities in order to serve the public.

Goal 1: The University of Arkansas at Monticello will promote research programs with strengthen the institution and contribute new knowledge

Objective 1: To encourage faculty to participate in basic and applied research

Objective 1 Strategies:

- Recognize and reward faculty research efforts
- Encourage collaboration in research between departments, with other universities, and with community and regional partners

Objective 2: To encourage pedagogical research to improve instruction

Objective 2 Strategies:

- Encourage departmental and college faculty collaboration
- Encourage pedagogical research
- Encourage faculty/undergraduate student research projects

## General Revenue Request

The University of Arkansas at Monticello is a formula driven entity and did not make a request for general revenue. The increase in general revenue funding is a result of the recommendation made by the Arkansas Higher Education Coordinating Board. Listed below are the planned uses for new funds:

**Monticello Campus** - $80,591 FY2012, $180,638 FY2013
All general revenue increases are planned to go toward salary and fringe benefits increases for faculty in FY2012 and for salary and fringe benefits for all employees in FY2013.

**Crossett Campus** - $51,741 FY2012, $72,689 FY2013
General revenue increases in FY2012 and FY2013 will be divided between salary and fringe benefits increases and the need for additional faculty as dictated by enrollment growth.

**McGehee Campus** - $0 FY2012, $0 FY2013
There was no recommended increase for this campus in either year of the biennium.

## Cash Appropriation Request

The University requested no cash appropriation increases for the 2011-2013 biennium.

## Personal Services Request

**Monticello campus**
The university requested 10 additional graduate assistant positions for the coming biennium. The request is due to increased enrollment and these positions would assist by providing support in the areas of instruction and student academic services. The university's student retention strategy utilizes graduate assistants to support activities and programs directed at this effort.

There were no additional positions requested for the Crossett and McGehee campuses.

## INSTITUTION APPROPRIATION SUMMARY
## 2011-13 BIENNIUM

**INSTITUTION** UNIVERSITY OF ARKANSAS AT MONTICELLO

| | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 STATE TREASURY | 17,553,708 | | 18,123,772 | | 19,594,618 | | 19,556,175 | | 18,551,241 | | 20,162,158 | | 18,812,372 | |
| 2 CASH | 28,364,628 | | 59,050,000 | | 59,050,000 | | 59,050,000 | | 59,050,000 | | 59,050,000 | | 59,050,000 | |
| 3 | | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | | |
| 11 TOTAL | $45,918,336 | 437 | $77,173,772 | 439 | $78,644,618 | 611 | $78,606,175 | 621 | $77,601,241 | 621 | $79,212,158 | 621 | $77,862,372 | 621 |
| **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 12 PRIOR YEAR FUND BALANCE* | 121,512 | 0% | 217,010 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 13 GENERAL REVENUE | 15,289,146 | 33% | 15,832,509 | 20% | | | 16,921,506 | 22% | 15,916,572 | 21% | 17,527,489 | 22% | 16,177,703 | 21% |
| 14 EDUCATIONAL EXCELLENCE TRUST FU | 1,040,006 | 2% | 976,748 | 1% | | | 976,748 | 1% | 976,748 | 1% | 976,748 | 1% | 976,748 | 1% |
| 15 WORKFORCE 2000 | 1,175,048 | 3% | 1,307,921 | 2% | | | 1,307,921 | 2% | 1,307,921 | 2% | 1,307,921 | 2% | 1,307,921 | 2% |
| 16 CASH FUNDS | 17,583,016 | 38% | 28,850,000 | 37% | | | 28,850,000 | 37% | 28,850,000 | 37% | 28,850,000 | 36% | 28,850,000 | 37% |
| 17 SPECIAL REVENUES | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 18 FEDERAL FUNDS | 10,781,612 | 23% | 30,200,000 | 39% | | | 30,200,000 | 38% | 30,200,000 | 39% | 30,200,000 | 38% | 30,200,000 | 39% |
| 19 TOBACCO SETTLEMENT FUNDS | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 20 OTHER FUNDS | 145,006 | 0% | 350,000 | 0% | | | 350,000 | 0% | 350,000 | 0% | 350,000 | 0% | 350,000 | 0% |
| 21 TOTAL INCOME | $46,135,346 | 100% | $77,734,188 | 100% | | | $78,606,175 | 100% | $77,601,241 | 100% | $79,212,158 | 100% | $77,862,372 | 100% |
| 22 EXCESS (FUNDING)/APPROPRIATION | ($217,010) | | ($560,416) | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $4,114,310 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $809,665 |
| INVENTORIES | $235,194 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | $196,833 |
| INSURANCE DEDUCTIBLES | |
| MAJOR CRITICAL SYSTEMS FAILURES | |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $3,425,370 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | |
| OTHER (FOOTNOTE BELOW) | |
| UNRESERVED EDUCATIONAL & GENEREAL FUND BALANCE | ($552,752) |

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS AT MONTICELLO

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 10,947,905 | 11,253,249 | 10,983,840 | 11,073,383 |
| 2 | RESEARCH | 16,936 | 14,700 | 14,700 | 14,700 |
| 3 | PUBLIC SERVICE | 149,861 | 155,726 | 155,726 | 156,996 |
| 4 | ACADEMIC SUPPORT | 1,645,443 | 1,672,737 | 1,672,737 | 1,686,374 |
| 5 | STUDENT SERVICES | 1,493,413 | 1,550,435 | 1,550,435 | 1,563,074 |
| 6 | INSTITUTIONAL SUPPORT | 3,686,553 | 4,584,139 | 4,584,139 | 4,621,510 |
| 7 | PHYSICAL PLANT M&O | 3,302,837 | 3,211,085 | 3,211,085 | 3,237,263 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 3,267,757 | 2,893,340 | 2,893,340 | 2,893,340 |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | MANDATORY TRANSFERS | 240,126 | 437,374 | 437,374 | 437,374 |
| 14 | AUXILIARY TRANSFERS | 620,000 | 436,500 | 436,500 | 436,500 |
| 15 | NON-MANDATORY TRANSFERS | 358,723 | | | |
| 16 | TOTAL UNREST. E&G EXP. | $25,729,554 | $26,209,285 | $25,939,876 | $26,120,514 |
| 17 | NET LOCAL INCOME | 12,518,446 | 11,928,246 | 11,928,246 | 11,928,246 |
| 18 | PRIOR YEAR BALANCE*** | 76,352 | 177,428 | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 12,509,707 | 12,954,291 | 13,034,883 | 13,215,520 |
| 20 | EDUCATIONAL EXCELLENCE | 1,040,006 | 976,748 | 976,748 | 976,748 |
| 21 | WORKFORCE 2000 | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | |
| 23 | OTHER STATE FUNDS ** | 118,645 | 350,000 | | |
| 24 | TOTAL SOURCES OF INCOME | $26,263,156 | $26,386,713 | $25,939,877 | $26,120,514 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

Other State Funds: General Improvement Funds released to restore RSA funding that was cut on May 4, 2010.

** The amount shown as Other State Funds for FY 11 includes Timber Severance Tax Funds in the amount of $350,000.

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

UAM-CROSSETT

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 1,147,007 | 1,179,375 | 1,231,116 | 1,271,391 |
| 2 | RESEARCH | | | | |
| 3 | PUBLIC SERVICE | | | | |
| 4 | ACADEMIC SUPPORT | 50,037 | 54,784 | 54,784 | 56,576 |
| 5 | STUDENT SERVICES | 171,047 | 169,398 | 169,398 | 174,940 |
| 6 | INSTITUTIONAL SUPPORT | 513,166 | 566,494 | 566,494 | 585,026 |
| 7 | PHYSICAL PLANT M&O | 182,566 | 200,150 | 200,150 | 206,698 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 32,959 | 41,099 | 41,099 | 41,099 |
| 9 | OTHER ENTITY | | | | |
| 10 | OTHER ENTITY | | | | |
| 11 | OTHER ENTITY | | | | |
| 12 | OTHER ENTITY | | | | |
| 13 | MANDATORY TRANSFERS | 41,318 | 47,771 | 47,771 | 47,771 |
| 14 | AUXILIARY TRANSFERS | 45,210 | 56,891 | 56,891 | 56,891 |
| 15 | NON-MANDATORY TRANSFERS | 401,566 | | | |
| 16 | TOTAL UNREST. E&G EXP. | $2,584,876 | $2,315,962 | $2,367,703 | $2,440,392 |
| 17 | NET LOCAL INCOME | 645,523 | 554,776 | 554,776 | 554,776 |
| 18 | PRIOR YEAR BALANCE*** | 247,971 | 15,714 | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 1,114,685 | 1,154,300 | 1,182,785 | 1,255,474 |
| 20 | EDUCATIONAL EXCELLENCE | | | | |
| 21 | WORKFORCE 2000 | 566,125 | 630,142 | 630,142 | 630,142 |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | |
| 23 | OTHER STATE FUNDS ** | 10,572 | | | |
| 24 | TOTAL SOURCES OF INCOME | $2,584,876 | $2,354,932 | $2,367,703 | $2,440,392 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

Other State Funds: General Improvement Funds released to restore RSA funding that was cut on May 4, 2010.

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

UAM-MCGEHEE

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 1,648,403 | 1,853,165 | 1,853,165 | 1,860,970 |
| 2 | RESEARCH | | | | |
| 3 | PUBLIC SERVICE | 67,793 | 64,654 | 64,654 | 64,654 |
| 4 | ACADEMIC SUPPORT | 12,344 | 17,991 | 17,991 | 17,991 |
| 5 | STUDENT SERVICES | 145,354 | 144,367 | 144,367 | 144,367 |
| 6 | INSTITUTIONAL SUPPORT | 644,341 | 716,171 | 716,171 | 716,171 |
| 7 | PHYSICAL PLANT M&O | 242,006 | 247,861 | 247,861 | 247,861 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 13,950 | 9,471 | 9,471 | 9,471 |
| 9 | OTHER ENTITY | | | | |
| 10 | OTHER ENTITY | | | | |
| 11 | OTHER ENTITY | | | | |
| 12 | OTHER ENTITY | | | | |
| 13 | MANDATORY TRANSFERS | 44,422 | 63,713 | 63,713 | 63,713 |
| 14 | AUXILIARY TRANSFERS | 5,772 | 18,987 | 18,987 | 18,987 |
| 15 | NON-MANDATORY TRANSFERS | 214,443 | | | |
| 16 | TOTAL UNREST. E&G EXP. | $3,038,828 | $3,136,380 | $3,136,380 | $3,144,185 |
| 17 | NET LOCAL INCOME | 834,213 | 759,697 | 759,697 | 759,697 |
| 18 | PRIOR YEAR BALANCE*** | 41,490 | 23,868 | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 1,664,754 | 1,723,918 | 1,698,904 | 1,706,709 |
| 20 | EDUCATIONAL EXCELLENCE | | | | |
| 21 | WORKFORCE 2000 | 608,923 | 677,779 | 677,779 | 677,779 |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | |
| 23 | OTHER STATE FUNDS ** | 15,789 | | | |
| 24 | TOTAL SOURCES OF INCOME | $3,165,169 | $3,185,262 | $3,136,380 | $3,144,185 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

Other State Funds: General Improvement Funds released to restore RSA funding that was cut on May 4, 2010.

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS AT MONTICELLO
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 11,590,983 | 11,206,532 | 11,206,532 | 11,206,532 |
| 2 | ALL OTHER FEES | 168,951 | 71,975 | 71,975 | 71,975 |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | 1,848 | 4,000 | 4,000 | 4,000 |
| 6 | INVESTMENT INCOME | 318,238 | 303,489 | 303,489 | 303,489 |
| 7 | OTHER CASH INCOME: | 438,426 | 342,250 | 342,250 | 342,250 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 12,518,446 | 11,928,246 | 11,928,246 | 11,928,246 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $12,518,446 | $11,928,246 | $11,928,246 | $11,928,246 |

FORM 11-3

| Detail of Cash Income Line 7 | Actual | Budgeted |
|---|---|---|
| Sales and Services | 81,990 | 76,000 |
| Traffic Fines | 59,160 | 45,000 |
| Band Camps | 72,006 | 75,000 |
| Key/Breakage | 25,581 | 15,000 |
| Testing Services | 18,978 | 10,000 |
| Administrative/Indirect Cost | 117,163 | 105,000 |
| University License Fee | 9,724 | 8,000 |
| Returned Check Charge | 525 | 500 |
| Library Book Replacement and Fines | 3,035 | 4,250 |
| Wellness Center Fees | 1,860 | 2,000 |
| Student ID Replacement | 2,990 | 1,500 |
| Royalties Custom Publishing | 5,690 | |
| Library Holdings Supplemental Funds | 15,000 | |
| Unrestricted Gift | 1,000 | |
| Other Sources Miscellaneous | 23,724 | |
| Total Other Cash Income | 438,426 | 342,250 |

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UAM-CROSSETT
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 620,649 | 532,826 | 532,826 | 532,826 |
| 2 | ALL OTHER FEES | 5,690 | 6,950 | 6,950 | 6,950 |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | | 1,000 | 1,000 | 1,000 |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | 9,379 | 8,000 | 8,000 | 8,000 |
| 7 | OTHER CASH INCOME: | 9,805 | 6,000 | 6,000 | 6,000 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 645,523 | 554,776 | 554,776 | 554,776 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $645,523 | $554,776 | $554,776 | $554,776 |

FORM 11-3

| | Actual | Budgeted |
|---|---|---|
| Detail of Cash Income Line 7: | | |
| Sales and Services | 5,966 | 5,000 |
| Traffic Fines | 595 | |
| Other Sources Miscellaneous | 3,244 | 1,000 |
| Total Other Cash Income | 9,805 | 6,000 |

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UAM-MCGEHEE
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 767,266 | 706,272 | 706,272 | 706,272 |
| 2 | ALL OTHER FEES | 10,895 | 10,675 | 10,675 | 10,675 |
| 3 | OFF-CAMPUS CREDIT | | | | |
| 4 | NON-CREDIT INSTRUCTION | 42,496 | 32,750 | 32,750 | 32,750 |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 6 | INVESTMENT INCOME | 5,475 | 4,000 | 4,000 | 4,000 |
| 7 | OTHER CASH INCOME: | 8,081 | 6,000 | 6,000 | 6,000 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 834,213 | 759,697 | 759,697 | 759,697 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $834,213 | $759,697 | $759,697 | $759,697 |

FORM 11-3

| Detail of Cash Income Line 7: | Actual | Budgeted |
|---|---|---|
| Sales and Services | 6,171 | 5,000 |
| Other Sources Miscellaneous | 1,910 | 1,000 |
| Total Other Cash Income | 8,081 | 6,000 |

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CIA0000 INSTITUTION UNIVERSITY OF ARKANSAS AT MONTICELLO APPROPRIATION 298

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 11,276,464 | 11,306,593 | 11,950,000 | 11,680,592 | 11,861,229 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 995,000 | 1,000,000 | 1,000,000 | 1,000,000 | 1,000,000 | | |
| 5 | OPERATING EXPENSES | 1,220,818 | 1,556,039 | 2,163,097 | 1,606,039 | 1,606,039 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | 75,000 | 75,000 | 75,000 | 75,000 | 75,000 | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $13,567,282 | $13,937,632 | $15,188,097 | $14,361,631 | $14,542,268 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 76,352 | 177,428 | | | | | |
| 16 | GENERAL REVENUE | 12,509,707 | 12,954,291 | | 13,034,883 | 13,215,520 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUN | 1,040,006 | 976,748 | | 976,748 | 976,748 | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 118,645 | 350,000 | | 350,000 | 350,000 | | |
| 22 | TOTAL INCOME | $13,744,710 | $14,458,467 | | $14,361,631 | $14,542,268 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($177,428) | ($520,835) | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

**Other State Funds: General Improvement Funds released to restore RSA funding that was cut on May 4, 2010.

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CIA0000 INSTITUTION UAM-CROSSETT APPROPRIATION 1MG

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 1,143,762 | 1,175,000 | 1,150,000 | 1,251,741 | 1,324,430 | | |
| 2 | EXTRA HELP WAGES | 100,000 | 100,000 | 100,000 | 100,000 | 100,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 225,000 | 215,000 | 245,000 | 225,000 | 225,000 | | |
| 5 | OPERATING EXPENSES | 210,576 | 294,456 | 341,585 | 236,186 | 236,186 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $1,679,338 | $1,784,456 | $1,836,585 | $1,812,927 | $1,885,616 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 3,670 | 15,714 | | | | | |
| 16 | GENERAL REVENUE | 1,114,685 | 1,154,300 | | 1,182,785 | 1,255,474 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | 566,125 | 630,142 | | 630,142 | 630,142 | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 10,572 | | | | | | |
| 22 | TOTAL INCOME | $1,695,052 | $1,800,156 | | $1,812,927 | $1,885,616 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($15,714) | ($15,700) | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

**Other State Funds: General Improvement Funds released to restore RSA funding that was cut on May 4, 2010.

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CIA0000 INSTITUTION UAM-MCGEHEE APPROPRIATION 1MF

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 1,611,264 | 1,620,000 | 1,640,000 | 1,700,000 | 1,700,000 | | |
| 2 | EXTRA HELP WAGES | 110,000 | 110,000 | 100,000 | 110,000 | 110,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 270,000 | 265,000 | 325,000 | 270,000 | 270,000 | | |
| 5 | OPERATING EXPENSES | 315,824 | 406,684 | 504,936 | 296,683 | 304,488 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $2,307,088 | $2,401,684 | $2,569,936 | $2,376,683 | $2,384,488 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 41,490 | 23,868 | | | | | |
| 16 | GENERAL REVENUE | 1,664,754 | 1,723,918 | | 1,698,904 | 1,706,709 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | 608,923 | 677,779 | | 677,779 | 677,779 | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 15,789 | | | | | | |
| 22 | TOTAL INCOME | $2,330,956 | $2,425,565 | | $2,376,683 | $2,384,488 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($23,868) | ($23,881) | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

**Other State Funds: General Improvement Funds released to restore RSA funding that was cut on May 4, 2010.

## APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2030000 INSTITUTION UNIVERSITY OF ARKANSAS AT MONTICELLO APPROPRIATION A69

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 4,085,967 | 10,698,960 | 10,698,960 | 10,698,960 | 10,698,960 | | |
| 2 | EXTRA HELP WAGES | 1,050,474 | 2,250,000 | 2,250,000 | 2,250,000 | 2,250,000 | | |
| 3 | OVERTIME | | 50,000 | 50,000 | 50,000 | 50,000 | | |
| 4 | PERSONAL SERVICES MATCHING | 1,167,122 | 3,080,800 | 3,080,800 | 3,080,800 | 3,080,800 | | |
| 5 | OPERATING EXPENSES | 7,239,300 | 12,000,000 | 12,000,000 | 12,000,000 | 12,000,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 73,035 | 650,000 | 650,000 | 650,000 | 650,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 436,242 | 1,650,000 | 1,650,000 | 1,650,000 | 1,650,000 | | |
| 8 | DATA PROCESSING | | 50,000 | 50,000 | | | | |
| 9 | CAPITAL OUTLAY | 2,111,962 | 6,000,000 | 6,000,000 | 6,000,000 | 6,000,000 | | |
| 10 | CAPITAL IMPROVEMENTS | | 7,082,620 | 7,082,620 | 7,082,620 | 7,082,620 | | |
| 11 | DEBT SERVICE | 113,580 | 1,150,000 | 1,150,000 | 1,000,000 | 1,000,000 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | 10,499,940 | 10,500,000 | 10,500,000 | 10,700,000 | 10,700,000 | | |
| 13 | PROMOTIONAL ITEMS | 38,805 | | | | | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | CONTINGENCY | | | | | | | |
| 17 | TOTAL APPROPRIATION | $26,816,427 | $55,162,380 | $55,162,380 | $55,162,380 | $55,162,380 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 12,518,446 | 11,928,246 | | 11,928,246 | 11,928,246 | | |
| 20 | FEDERAL CASH FUNDS | 10,713,147 | 28,500,000 | | 28,500,000 | 28,500,000 | | |
| 21 | OTHER CASH FUNDS | 3,584,834 | 14,734,134 | | 14,734,134 | 14,734,134 | | |
| 22 | TOTAL INCOME | $26,816,427 | $55,162,380 | | $55,162,380 | $55,162,380 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 365 | 365 | 489 | 499 | 499 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 33 | 33 | 790 | 790 | 790 | |

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** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

# APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2030000 INSTITUTION UAM-CROSSETT APPROPRIATION B83

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 4 | 774,240 | 774,240 | 774,240 | 774,240 | | |
| 2 | EXTRA HELP WAGES | | 75,000 | 75,000 | 75,000 | 75,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 166,271 | 258,080 | 258,080 | 258,080 | 258,080 | | |
| 5 | OPERATING EXPENSES | 521,863 | 725,000 | 725,000 | 725,000 | 725,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 1,033 | 25,000 | 25,000 | 25,000 | 25,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 7,984 | 50,000 | 50,000 | 50,000 | 50,000 | | |
| 8 | DATA PROCESSING | | | | | | | |
| 9 | CAPITAL OUTLAY | | 50,000 | 50,000 | 50,000 | 50,000 | | |
| 10 | CAPITAL IMPROVEMENTS | | | | | | | |
| 11 | DEBT SERVICE | | 50,000 | 50,000 | 50,000 | 50,000 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | | | | | | | |
| 13 | | | | | | | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | CONTINGENCY | | | | | | | |
| 17 | TOTAL APPROPRIATION | $697,155 | $2,007,320 | $2,007,320 | $2,007,320 | $2,007,320 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 645,523 | 554,776 | | 554,776 | 554,776 | | |
| 20 | FEDERAL CASH FUNDS | 51,632 | 900,000 | | 900,000 | 900,000 | | |
| 21 | OTHER CASH FUNDS | | 552,544 | | 552,544 | 552,544 | | |
| 22 | TOTAL INCOME | $697,155 | $2,007,320 | | $2,007,320 | $2,007,320 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 36 | 37 | 52 | 52 | 52 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 23 | 23 | 36 | 36 | 36 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2030000 INSTITUTION UAM-MCGEHEE APPROPRIATION B82

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | | 744,240 | 744,240 | 744,240 | 744,240 | | |
| 2 | EXTRA HELP WAGES | | 75,000 | 75,000 | 75,000 | 75,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 189,786 | 196,060 | 196,060 | 196,060 | 196,060 | | |
| 5 | OPERATING EXPENSES | 632,213 | 740,000 | 740,000 | 740,000 | 740,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | | 25,000 | 25,000 | 25,000 | 25,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 6,227 | 50,000 | 50,000 | 50,000 | 50,000 | | |
| 8 | DATA PROCESSING | | | | | | | |
| 9 | CAPITAL OUTLAY | 22,820 | 50,000 | 50,000 | 50,000 | 50,000 | | |
| 10 | CAPITAL IMPROVEMENTS | | | | | | | |
| 11 | DEBT SERVICE | | | | | | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | | | | | | | |
| 13 | | | | | | | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | CONTINGENCY | | | | | | | |
| 17 | TOTAL APPROPRIATION | $851,046 | $1,880,300 | $1,880,300 | $1,880,300 | $1,880,300 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 834,213 | 759,697 | | 759,697 | 759,697 | | |
| 20 | FEDERAL CASH FUNDS | 16,833 | 800,000 | | 800,000 | 800,000 | | |
| 21 | OTHER CASH FUNDS | | 320,603 | | 320,603 | 320,603 | | |
| 22 | TOTAL INCOME | $851,046 | $1,880,300 | | $1,880,300 | $1,880,300 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 36 | 37 | 70 | 70 | 70 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 6 | 6 | 36 | 36 | 36 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

UNIVERSITY OF ARKANSAS AT MONTICELLO
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 812,238 | 2,572,536 | 127,729 | (1,888,027) | 739,944 | 2,580,142 | 127,427 | (1,967,625) |
| 2 RESIDENCE HALL | 1,235,614 | 454,186 | 415,038 | 366,390 | 1,282,697 | 409,896 | 410,564 | 462,237 |
| 3 MARRIED STUDENT HOUSING | 39,877 | 2,695 | | 37,182 | 48,127 | 3,307 | | 44,820 |
| 4 FACULTY HOUSING | 13,093 | 8,759 | | 4,334 | 9,898 | 3,925 | | 5,973 |
| 5 FOOD SERVICES | 1,323,653 | 1,138,935 | | 184,718 | 1,221,613 | 970,795 | | 250,818 |
| 6 COLLEGE UNION | | | | 0 | | | | 0 |
| 7 BOOKSTORE | 1,630,647 | 1,389,024 | | 241,623 | 1,575,300 | 1,362,171 | | 213,129 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | | | | 0 | | | | 0 |
| 9 STUDENT HEALTH SERVICES | | | | 0 | | | | 0 |
| 10 OTHER | 692,817 | 178,944 | | 513,873 | 666,261 | 112,113 | | 554,148 |
| 11 SUBTOTAL | 5,747,939 | 5,745,079 | 542,767 | (539,907) | 5,543,840 | 5,442,349 | 537,991 | (436,500) |
| 12 ATHLETIC TRANSFER ** | 620,000 | | | 620,000 | 436,500 | | | 436,500 |
| 13 OTHER TRANSFERS *** | | | | 0 | | | | 0 |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | 6,367,939 | 5,745,079 | 542,767 | 80,093 | 5,980,340 | 5,442,349 | 537,991 | 0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

UAM-CROSSETT
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | | | | 0 | | | | 0 |
| 2 RESIDENCE HALL | | | | 0 | | | | 0 |
| 3 MARRIED STUDENT HOUSING | | | | 0 | | | | 0 |
| 4 FACULTY HOUSING | | | | 0 | | | | 0 |
| 5 FOOD SERVICES | | | | 0 | | | | 0 |
| 6 COLLEGE UNION | | | | 0 | | | | 0 |
| 7 BOOKSTORE | 268,204 | 294,385 | | (26,181) | 215,000 | 257,620 | | (42,620) |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | | | | 0 | | | | 0 |
| 9 STUDENT HEALTH SERVICES | | | | 0 | | | | 0 |
| 10 OTHER | 4,868 | 23,897 | | (19,029) | 7,200 | 21,471 | | (14,271) |
| 11 SUBTOTAL | 273,072 | 318,282 | 0 | (45,210) | 222,200 | 279,091 | 0 | (56,891) |
| 12 ATHLETIC TRANSFER ** | | | | 0 | | | | 0 |
| 13 OTHER TRANSFERS *** | 45,210 | | | 45,210 | 56,891 | | | 56,891 |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | 318,282 | 318,282 | 0 | 0 | 279,091 | 279,091 | 0 | 0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

UAM-MCGEHEE
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | | | | 0 | | | | 0 |
| 2 RESIDENCE HALL | | | | 0 | | | | 0 |
| 3 MARRIED STUDENT HOUSING | | | | 0 | | | | 0 |
| 4 FACULTY HOUSING | | | | 0 | | | | 0 |
| 5 FOOD SERVICES | | | | 0 | | | | 0 |
| 6 COLLEGE UNION | | | | 0 | | | | 0 |
| 7 BOOKSTORE | 247,271 | 238,101 | | 9,170 | 215,000 | 219,491 | | (4,491) |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | | | | 0 | | | | 0 |
| 9 STUDENT HEALTH SERVICES | | | | 0 | | | | 0 |
| 10 OTHER | 5,564 | 20,506 | | (14,942) | 7,200 | 21,696 | | (14,496) |
| 11 SUBTOTAL | 252,835 | 258,607 | 0 | (5,772) | 222,200 | 241,187 | 0 | (18,987) |
| 12 ATHLETIC TRANSFER ** | | | | 0 | | | | 0 |
| 13 OTHER TRANSFERS *** | 5,772 | | | 5,772 | 18,987 | | | 18,987 |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | 258,607 | 258,607 | 0 | 0 | 241,187 | 241,187 | 0 | 0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

UNIVERSITY OF ARKANSAS AT MONTICELLO
(NAME OF INSTITUTION)

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10 (As of November 1, 2009 ) | | | | | 383 | | | |
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 36 | Black Male: | 5 | Other Male: | | Total | Male: | 41 |
| White Female: | 37 | Black Female: | 10 | Other Female: | | Total | Female: | 47 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | | Black Male: | | Other Male: | | Total | Male: | 0 |
| White Female: | | Black Female: | | Other Female: | | Total | Female: | 0 |
| Classified Employees: | | | | | | | | |
| White Male: | 39 | Black Male: | 7 | Other Male: | | Total | Male: | 46 |
| White Female: | 76 | Black Female: | 25 | Other Female: | | Total | Female: | 101 |
| Faculty: | | | | | | | | |
| White Male: | 70 | Black Male: | 3 | Other Male: | 6 | Total | Male: | 79 |
| White Female: | 63 | Black Female: | 5 | Other Female: | 1 | Total | Female: | 69 |
| Total White Male: | 145 | Total Black Male: | 15 | Total Other Male: | 6 | Total | Male: | 166 |
| Total White Female: | 176 | Total Black Female: | 40 | Total Other Female: | 1 | Total | Female: | 217 |
| Total White: | 321 | Total Black: | 55 | Total Other: | 7 | Total | Employees: | 383 |
| | | | | **Total Minority:** | 62 | | | |

FORM 11-8

**June 30, 2009**

| | |
|---|---|
| *Finding:* | No findings noted |

I. Introduction

The University of Arkansas at Pine Bluff (UAPB) is an 1890 Land Grant institution and is the second oldest public university in Arkansas. UAPB maintains an 83-acre main campus that includes 77 buildings, one plaza, and a Minority Grant Office site, in addition to a research farms at Lonoke, Arkansas and Mariana, Arkansas. There are 15 academic departments from within which forty-three baccalaureate degrees and eleven master's degrees are offered in several areas. UAPB employs 173 full-time faculty, of which 105 hold a doctorate or terminal degree. Student involvement and leadership opportunities are provided through 100 registered student organizations, a school newspaper, a yearbook magazine, performing and visual arts opportunities, and radio and television laboratory facilities. Headcount enrollment at UAPB has increased consecutively each fall semester since 2007, by 10.2% fall 2008 and 7.6% fall 2009. From among first-time, full-time entering degree-seeking students, the graduation rate is 27%; the one-year retention rate is 69.1%. Although the expected length of time required to complete a bachelor's degree is 4 years, 36 per cent of the students with a bachelor's degree goal who started at a 4-year Title IV institution in 2002 actually finished their degree in that period of time, according to the National Center for Education Statistics (NCES). And so the graduation rate, which is mission reflective, does not mirror the commonly held perception of what a college student likely to graduate in four years looks like—if he or she receives good academic preparation in high school, enters college immediately after high school, enrolls in college full time, and is continuously enrolled. Importantly, however, UAPB through its array of programs and services makes a positive difference in the lives of students and in outreach to the Arkansas Delta.

Continuing with examples of student achievements, the graduation rate for student athletes at UAPB was 56% for the 2000-01 Cohort Class; 51% for the 2001-02 Cohort Class; and 53% for the 2002-03 Cohort Class. In fall 2009, the overall grade point average for all sports was 3.02. Men's tennis posts a cumulative GPA of 3.77; Women's tennis, 3.55; Soccer posts a 3.40 GPA. UAPB utilizes data-driven tracking and placement procedures for managing the learning and growth activities of students such as ACT, Mathematics Placement, Arkansas Assessment of General Education (Rising Junior), comprehensive examinations, PRAXIS I and II, and IPEDS.

UAPB is accredited by the Higher Learning Commission (North Central Association), the National Council for the Accreditation of Teacher Education, the Arkansas State Board of Nursing, National Association of Schools of Music, The National League of Nursing, The National Association of Schools of Art and Design, The American Association of Family and Consumer Sciences, National Association of Industrial Technology; and the National Schools of Social Work.

FORMULA DRIVEN

The University of Arkansas at Pine Bluff's request is for appropriations of $381,548 for 2010 and $605,592 for 2013. The requested amounts will be allocated to salary increases for faculty and staff and increases in operational costs. Utility expenses continue to increase despite energy saving strategies that have been implemented. Energy saving lights and automatic off/on switches has reduced power usage when spaces are not being used. Also, expansions in University properties have stressed the maintenance budget.

It is imperative that the University increase graduation rates through intensified tutorial programs and better suited faculty. As older faculties have retired, we have been successful in recruiting selectively a new cadre of more recently prepared faculty. However, we are challenged by our generally low faculty salaries as compared to peer institutions. Also, faculties have not had salary increases over the last three years and retention continues to be a challenge.

The distribution to salary increases will be contingent on amounts required to meet operational expenses and revenue from enrollment increases.

FORMULA

AHECB Recommended Increase for FY2011-2012

| | |
|---|---|
| $381,548 | Faculty Salary and Fringes (faculty have not had raises in 3yrs) |

AHECB Recommended Increase for FY2012-2013

| | | | |
|---|---|---|---|
| $605,592 | $300,000-Faculty and Classified raises | $160,092-Utilities | $145,500-Health Insurance |

NON FORMULA

UAPB is one of five institutions generating the highest dollar amounts in research grants among higher education institutions in Arkansas. Our land-grant mission is supported by the Federal Government which requires a state match. Failure of the state to provide the match will result in the funds being reallocated to institutions in other states. It is imperative that the match be realized to avoid a decrease in services to the Arkansas Farm Industry.

NON-FORMULA AHECB Recommended Increase for FY2011-2012

$936,213 $936,213-1890 Matching Funds (required by federal)

NON-FORMULA AHECB Recommended Increase for FY2012-2013

$152,175 $152,175-1890 Matching Funds (required by federal)

The University of Arkansas at Pine Bluff remains committed to the continuation and enhancement of its Center of Excellence (Aquaculture), and its areas of emphasis (science and mathematics, minority business development, teacher education, and student development and leadership). The University offers premier programs in aquaculture and Regulatory Science. Aquaculture and Fisheries, the UAPB Center of Excellence, is internationally recognized for its educational distinction and for its economic value. A highly qualified independent committee of Aquaculture experts concluded that UAPB's proposal for a Ph.D. in Aquaculture was justifiable.

It is easily verified that the continued vitality of the Aquaculture Program at UAPB is essential to the continuation of the fish farming industry in Arkansas. The support from the industry is second to none and this is evidenced by the tremendous advocacy of the industry for the Ph.D. in Aquaculture at UAPB. The federal government recognized the importance of UAPB's mission in aquaculture and has each year increased our appropriation for the programs. These appropriations require a state match.

Failure to receive the required match will result in UAPB's allocation being redirected to other institutions.

The production of the faculty in the program possesses an international reputation. A Title III Grant has been funded to support the Ph.D. program. Arkansas leads the nation in the production of baitfish and UAPB is attributed with much of Arkansas' successful performance in the catfish and baitfish industries. The UAPB Bachelor of Science degree in Regulatory Science is not only the exclusive choice for that study in the nation, but also the program is designated by the U. S. Department of Agriculture as a Center of Excellence, and anchors a vital partnership with other national governmental agencies such as the United States Department of Transportation, the United States Department of Commerce, and other agencies.

Failure to appropriate sufficient finds for the Jenkins program seriously impacts their program which serves some of the more challenged individuals in our society.

UAPB provides technical and outreach services, directly or through more than 100 corporate and educational alliances, related to minority business development, agriculture, human sciences, teacher education, and student leadership development in fulfillment of the university's role in society: to lead, to educate, and to serve. The downtown business incubator and office complex is nearly a full service operation. The Incubator is an extension of the University's past and present economic development activities. Already several small businesses have been assisted in becoming established. In addition the UAPB Plaza on University Drive has infused retail establishments into the area and helped them become viable. In particular the development of a grocery store in the plaza removed a more than thirty year hiatus of such an entity in the community. Programs such as FastTrac Entrepreneurial Training, Management and Technical Assistance (i.e., business planning, loan packaging, etc.) will be conveniently delivered by the staff of the Economic Research and Development Center and through partnership arrangements with other technical assistance providers. In addition, UAPB faculty, staff, and selected business and community leaders are solicited to serve as mentors providing business expertise to incubator tenants.

Internationally, prestige accrues to UAPB through the generous contributions of faculty to the richness of the learning experience and to the knowledge base of their disciplines. More than 16,000 alumni represent UAPB internationally and in many professions. The survey administered to applicants for graduation reveals a high level of satisfaction and that UAPB met and exceeded their expectations with regard to personal social skills, critical thinking, computer application and technology, teachers' knowledge of the subject matter, teacher availability for consultation, advisor's knowledge and availability, and clear communication and fair application of rules, policies, and practices.

As the fifth largest employer in Jefferson County generating more than $113 million in economic activity, directly and indirectly, and creating more than 1,500 jobs, UAPB has more than 136 years of experience in solving problems related to matters of education, health, welfare, economic development, and governmental affairs for the Pine Bluff community, Arkansas, and the nation. For an extended time, UAPB has been and continues to be the “Flagship of the Delta”. The “Flagship of the Delta” designation (copy write) is justified by its historical service to all citizens of the Arkansas Delta, especially African Americans. Over the years UAPB (formerly A.M.&N. College) carried a tremendous burden for the social inequities of Arkansas and became skilled in doing so.

Planning, Management and Evaluation

UAPB continues to enjoy an enviable history of producing African American professionals. The Ron McNair, STEM and others and the concomitant role models on the UAPB campus have contributed to offset a disproportionate production level. Also, the Industrial Technology program is producing highly sought after graduates who are spirited away to other states because of attractive starting salaries; PhD’s in Computer Science, Physics, Recreation and Chemistry at major institutions are recent graduates. UAPB successfully addresses culture and core values, student and faculty expectations, governing boards and agencies expectations, responsibility and work ethics among faculty, technology, levels of academic preparedness with students, and projected decline in enrollment.

What is likely to be different five years from now, the institution notes such changes as an increased number of non-traditional and foreign students, expanded language program, more multi-disciplinary programs, more competition, more flexible scheduling, more technology-based delivery of services, greater alignment of resources with learning environment, access to long-distance learning, additional courses on the WEB, increase in self-instruction texts, stabilized finances, stabilized enrollment, optimized resources (people most important), improved quality of service to customers. An improved environment for teaching, learning and mentoring the Living-Learning self contained dormitory complex is expected to improve graduation and retention rates. Given those strong opportunities, what new products and services then should UAPB expect to provide and strengthen? Some visionary commitments include English as a second language program, broader and global emphasis in curriculum development, stronger community outreach, stronger upper level programs, more support services for non-traditional students, efficient and effective cyber technologies, information access to all who have a right to know, the establishment of university wide Total Quality Management of policies and procedures, concern for retention, use of data-driven student tracking, alignment of academic programs and population links, reduced vulnerability to environment, and willingness to embrace business models of operation, e.g. market segmentation,

target marketing. In addition the Hispanic Institute funded by a Title III Grant is expected to draw students from the second sized minority population.

Equally important are insight and objectivity about products and services that the institution possibly should not be providing five years from now. Criteria, such as programs and services determined to low-productivity, based on agreed to prescribe measures of UAPB and governing boards and agencies are continuously used.

As the University of Arkansas at Pine Bluff continually and strategically engages in a cyclical study and planning process, careful attention is given to maintaining the values that have sustained this institution over the years. Salient points include providing a quality education, preparing graduates for specific occupations relevant to current and future needs for solving educational, economic, social, political, and environmental problems. Key elements used in the planning process consider such factors as the 1890 Land-Grant mission, historically black university status, large percentage of first-generation students, traditional and non traditional students, open admissions, issues peculiar to the Delta and life-long learning opportunities. After putting the institution's continuing challenges on a grid with its strengths, it is determined that the quality of the learning environment, the strong sense of identity and mission, the strong sense of community, the commitment to mind and character, the partnerships and other alliances, and the historic and programmatic ties to higher education will be the building blocks to the health and vitality of UAPB.

The University of Arkansas at Pine Bluff is committed to an institutionalized set of procedures which translate the institutional vision and mission into definitive goals and related objectives, developed policies and operational procedures to achieve stated goals and objectives, and monitored and assessed achievement against intended documented outcomes.

The enrollment management plan of the University of Arkansas at Pine Bluff serves as a blueprint for coordinating the enrollment and retention efforts of the entire university "community". The development of the plan involved an analysis of the factors that affect enrollment and an understanding of the university's priorities and mission.

A campus wide committee was commissioned to examine all aspects of UAPB for efficiency and effectiveness strategies toward the themes of sustaining quality, reducing cost, increasing revenue, and enhancing efficiency. The report has been and will continue to be directional to the decision makers at UAPB. Also, a faculty committee was appointed to develop strategies for the improvement of faculty salaries. A second faculty-staff committee developed and implemented the LION'S Program, a pilot boot camp program

designed to provide low ACT SCORE Achievers with a summer experience to enhance their academic performance. The results are positive and it will be expanded as resources become available.

## Major Fiscal Challenges for this Biennium

What challenges UAPB strongly now is the need for resources not based on enrollment for programs and services. This need is because of the conditions of some aging facilities and the requisite level of support to technology. UAPB knows that about $18 million is needed for major repairs and maintenance to several buildings along with about $25 million directed toward library expansion, diversity center construction, stem academy, and partial funding toward non-instructional facilities. UAPB also knows that continuing support to the national leading edge technology that it has managed to put in place over time requires approximately $1million annually, before cost recovery, but is necessary to the efficiency and effectiveness of the planning, management, and assessment functions of teaching, research, and service.

UAPB is committed to full compliance with the American Disability Act, and to continue the work, additional funding will be required to complete that initiative. Finally, the continuation of the 1890 Match will ensure that a major tenet of the UAPB mission, research and service, is not compromised. The recent appropriation reduction, coupled with the effort to keep tuition increases at a minimum, is a monumental challenge.

We must continue the shift in our thinking and that of our constituencies about graduate education and its role in the attainment of the level of excellence we desire. A substantially expanded graduate studies effort is critical to our academic aspirations and to our effectiveness as a continuing significant and contributing land-grant university. Broadening the academic programs to include master's programs in Human Resources Management, Business Management, Information Technology and Regulatory Sciences is a growth area. Also, the PhD in Aquaculture is an urgent need for the support of the Aquaculture Industry in Arkansas; UAPB is one of a few 1890 Land Grant Institutions which does not offer a PhD. A focus on the preparation of service professionals and the development of service industries is needed and can be accomplished through doctoral offerings especially in Aquaculture/Fisheries (currently designated as a Center of Excellence), Agriculture Industries, and in educational leadership. The UAPB role and scope needs to be expanded to offer masters degrees generically. The university is currently limited to master's degrees in four areas: education, aquaculture/fisheries, addiction studies and agricultural regulations. Also, by 2010, the role and scope must be expanded to include select doctoral degrees, especially in aquaculture/fisheries, agriculture, education and addiction studies. These programs will build on existing strengths, uniqueness and service to the Delta and to the state of Arkansas in the

areas of market development and healthy human capital development. In the following sections, the framework of the university's participation in higher education and this biennial request is delineated and includes the mission and vision statements and the corresponding institutional goals, objectives and strategies.

II. Institutional Mission and Vision Statements

A—Historical

The University of Arkansas at Pine Bluff was created in 1873 for the convenience and well being of the poorer "classes". A second statutory Act in 1890 designated the institution as Land Grant, and made the Morrill Act of 1862 applicable in every respect to Agricultural, Mechanical and Normal College.

The Act of 1862 charges the College, without its excluding other scientific and classical studies, and including military tactics, to teach such branches of learning as are related to agriculture and the mechanic arts.

B—Evolving

While the University of Arkansas at Pine Bluff will continue to maintain a special sensitivity to the needs, aspirations, problems, and opportunities of its historic constituents it shall expand its mission with a high degree of excellence and with a sense of constantly improving quality.

To fulfill its mission of service to this heterogeneous student clientele differing academically, socially, racially, ethnically and culturally, UAPB shall develop creative and innovative activities that produce new curricular models in the fields of aesthetics, social and political institutions, and scientific technical development.

The thrusts of this new and expanded mission could and should result in the re-examination and improvement of value systems and moral behavior of political institutions and of the economic system. Such a mission does not merely support
the advancements of science and technology; it uses science and technology to help solve economic, physical, social, political, racial and cultural problems.

The UAPB two fold mission is a result of the merger agreement which resulted in the formerly A.M.&N. College being merged into the University of Arkansas System. The agreement specified that UAPB would continue to be especially sensitive to its traditional clientele. Further it was specified that UAPB would expand its service to a more diverse population and demonstrate how these groups could work in harmony. The evolving mission cannot be realized until UAPB becomes a true university.

Vision Statement

We believe it is important to the future of the University of Arkansas at Pine Bluff (UAPB) that;

UAPB be known as a comprehensive, 1890 Land-Grant institution that provides open door liberal and professional education for its traditional clientele as well as lifelong learning experience for other population groups with concern for the success of all students; that UAPB be known for its Center of Excellence—Aquaculture/fisheries biology, and its Centers of Emphasis teacher education, mathematics and science, minority business development, and student leadership development; that UAPB offer comprehensive research and services and be an active partner and neighbor in the educational, business and industrial communities of Arkansas and the nation; that UAPB provide accessible and affordable offerings that are innovative and relevant, and where course offerings and student performance ascribe the highest principles and standards of academic excellence; that curricular plans be designed to prepare students for functioning in a global environment where human and economic interdependencies are ever increasing; that UAPB maintain a climate that fosters the intellectual and social development of a diversified student body; that is caring friendly, and respectful of the dignity of all individuals; that UAPB be a model of resource and environmental stewardship; that UAPB take pride in itself as a dynamic, creative, future-oriented place of learning and growth and that UAPB accept the responsibility to develop excellence within us and produce students and graduates that reflect some consciousness, intellectual prowess and the highest levels of professionalism and integrity in their lives and work.

III. Institutional Programs and Goals

Program 1. Meet the historical and evolving specifics of our 1890 Land-Grant Mission related to curricular offerings.
Program 2. Satisfy the requirements of our 1890 Land-Grant University with regard to research.
Program 3. Satisfy the requirements of our 1890 Land-Grant University with regard to public service.
Program 4. Meet the historical and evolving mission of our 1890 land grant heritage related to institution wide units necessary to the support of teaching and learning.

Program 5. Meet the historical and evolving mission of our 1890 land grant heritage along with the expectations of governing bodies related to planning, management, and evaluation.

Program I. Teaching - Meet the historical and evolving mission of our 1890 land grant heritage related to curricular offerings.

Goal 1: Strengthen institutional quality through graduate and undergraduate programs of excellence in in-class and out-of-

class teaching and learning activities. (Academic Affairs, Student Affairs)

Objectives:

- Promote program excellence and access, epitomized by high expectations and effective, a global perspective, technology literacy, and responsive teaching and learning.
- Create a network of support mechanisms that will facilitate excellence in teaching and learning.
- Promote and support faculty/staff excellence through effective recruitment, engagement, appropriate recognition and rewards, development, and opportunities for career advancement.
- Promote and support student excellence through appropriate recognition, ongoing assessment, advisement, appropriate curricular offerings and research engagement experiences, counseling and testing, health and wellness, leadership training and experiences, as well as opportunities for academic, social, and career advancement.
- Develop and implement effective strategies to increase recruitment, retention, and graduation rates.

Program 4. Meet the historical and evolving mission of our 1890 land grant heritage related to institution wide units necessary to the support of teaching and learning.

- Develop an effective and efficient infrastructure for distance learning that facilitates increased course offerings at a distance.
- Develop new programs that meet the continuously evolving needs of constituencies.

Program 2: Research- Meet the historical and evolving mission of our 1890 land grant heritage related to research and creative works.

Goal 2: Engage faculty/staff and students in mission-oriented research and creative activities to solve stakeholder problems and enhance the quality of life.

Objectives:

- •Establish institutional mechanisms (i.e., release time, support staff, facilities, and grants management) to promote research, scholarly, and creative activities.
- •Provide financial incentives and rewards to recognize to recognize faculty productivity in research and scholarly activities.
- •Establish partnerships and collaborations with other institutions and agencies to broaden the scope and productivity of research and creative activities.
- •Increase the university's investment in research and scholarly activities through seed grants and indirect cost recovery.

Program 3: Public Service - Meet the historical and evolving mission of our 1890 land grant heritage related to public service

Goal 3: Strengthen the institution's quality in scholarship through engaging the entire university in fulfilling its public service mission.

Objectives:

- •Identify and provide resources to support public service and engagement.
- •Provide opportunities for service initiatives in every curriculum
- •Establish collaborative partnership efforts across units, programs, and communities to facilitate the University's public service mission.
- •Provide incentives and recognition for engagement and public service initiatives.

Program 4: Institutional Support - Meet the historical and evolving mission of our 1890 land grant heritage related to institution wide units necessary to the support of teaching and learning.

Goal 4: Enhance services offered by support units in executive management, finance and administration, and student affairs.

Objectives:

- Enhance services offered by the office of human resources, financial aid and student accounts.
- Enhance services offered by office of research and sponsored programs in seeking and administering funds for research and sponsored programs.
- Provide alternative methods of storing files and records
- Maintain and develop physical facilities that will allow a safe and effective teaching, learning, research, and service environment.
- Strengthen information technology resources to enhance all of the university's activities.
- Maintain sufficient reserves in the university's fund balance.
- Promote awareness among clientele, potential clientele, potential funders, and other constituencies about UAPB activities and their impact.

Objectives:

Program 5: Assessment and Planning- Meet the historical and evolving mission of our 1890 land grant heritage along with the expectations of governing bodies related to planning, management, and evaluation.

Goal 5: Ensure accountability and continuous improvement of programs and services by implementing a comprehensive institutional assessment system with a planning and budgeting model.

Objectives

- Establish an office of academic assessment and accountability.
- Integrate assessment plan and activities into an effective assessment system

•Apply results generated from assessment data to ensure academic quality improvements at the departmental level.
•Develop and implement a mechanism for timely response to changing state and federal academic policies.
•Use resources effectively to meet constituent needs.
• Implement student evaluations to enhance student achievement
•Institutionalize a mechanized, institution-wide data base that empowers managers to make data driven decisions.
• Implement a cyclical planning, managing, and evaluating system.

**INSTITUTION APPROPRIATION SUMMARY**
**2011-13 BIENNIUM**

**INSTITUTION** UNIVERSITY OF ARKANSAS AT PINE BLUFF

| | | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| | APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 | STATE TREASURY | 26,103,452 | | 26,925,350 | | 28,518,349 | | 31,140,603 | | 28,243,112 | | 32,131,169 | | 29,000,878 | |
| 2 | CASH | 49,877,032 | | 110,000,000 | | 110,000,000 | | 111,760,000 | | 111,760,000 | | 114,665,760 | | 114,665,760 | |
| 3 | | | | | | | | | | | | | | | |
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| 10 | | | | | | | | | | | | | | | |
| 11 | TOTAL | $75,980,484 | 656 | $136,925,350 | 659 | $138,518,349 | 928 | $142,900,603 | 930 | $140,003,112 | 930 | $146,796,929 | 930 | $143,666,638 | 930 |
| | **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 12 | PRIOR YEAR FUND BALANCE* | 10,196 | 0% | 417,010 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 13 | GENERAL REVENUE | 24,363,867 | 32% | 25,229,737 | 18% | | | 29,444,990 | 21% | 26,547,499 | 19% | 30,435,556 | 21% | 27,305,265 | 19% |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUND | 1,805,428 | 2% | 1,695,613 | 1% | | | 1,695,613 | 1% | 1,695,613 | 1% | 1,695,613 | 1% | 1,695,613 | 1% |
| 15 | WORKFORCE 2000 | | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 16 | CASH FUNDS | 20,368,931 | 27% | 56,000,000 | 41% | | | 58,000,000 | 41% | 58,000,000 | 41% | 60,000,000 | 41% | 60,000,000 | 42% |
| 17 | SPECIAL REVENUES | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 18 | FEDERAL FUNDS | 29,508,101 | 39% | 54,000,000 | 39% | | | 53,760,000 | 38% | 53,760,000 | 38% | 54,665,760 | 37% | 54,665,760 | 38% |
| 19 | TOBACCO SETTLEMENT FUNDS | | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 20 | OTHER FUNDS | 340,972 | 0% | 0 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 21 | TOTAL INCOME | $76,397,495 | 100% | $137,342,360 | 100% | | | $142,900,603 | 100% | $140,003,112 | 100% | $146,796,929 | 100% | $143,666,638 | 100% |
| 22 | EXCESS (FUNDING)/APPROPRIATION | ($417,011) | | ($417,010) | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $7,808,346 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $1,994,088 |
| INVENTORIES | $24,994 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | |
| INSURANCE DEDUCTIBLES | $50,000 |
| MAJOR CRITICAL SYSTEMS FAILURES | $200,000 |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $4,385,045 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | |
| OTHER (FOOTNOTE BELOW) | |
| UNRESERVED EDUCATIONAL & GENEREAL FUND BALANCE | $1,154,219 |

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS AT PINE BLUFF

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 11,556,788 | 11,670,998 | 12,006,134 | 12,268,293 |
| 2 | RESEARCH | 216,913 | 176,998 | 179,830 | 184,506 |
| 3 | PUBLIC SERVICE | 282,035 | 181,227 | 184,127 | 188,914 |
| 4 | ACADEMIC SUPPORT | 4,231,570 | 3,838,400 | 4,054,094 | 4,154,500 |
| 5 | STUDENT SERVICES | 3,064,136 | 3,297,592 | 3,509,247 | 3,600,487 |
| 6 | INSTITUTIONAL SUPPORT | 5,799,471 | 5,940,299 | 6,068,343 | 6,126,120 |
| 7 | PHYSICAL PLANT M&O | 5,575,951 | 6,730,288 | 6,937,973 | 7,022,519 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 4,270,369 | 4,564,692 | 4,637,727 | 4,637,727 |
| 9 | OTHER ENTITY- CONTINGENCY | | 980,891 | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | MANDATORY TRANSFERS | 1,291,532 | | | |
| 14 | AUXILIARY TRANSFERS | 1,262,446 | 1,552,820 | 1,552,820 | 1,552,820 |
| 15 | NON-MANDATORY TRANSFERS | 3,000,000 | 1,262,446 | 1,262,446 | 1,262,446 |
| 16 | TOTAL UNREST. E&G EXP. | $40,551,211 | $40,196,651 | $40,392,741 | $40,998,332 |
| 17 | NET LOCAL INCOME | 20,368,931 | 16,733,434 | 16,733,434 | 16,733,434 |
| 18 | PRIOR YEAR BALANCE*** | 10,196 | 417,010 | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 20,841,458 | 21,582,145 | 21,963,694 | 22,569,285 |
| 20 | EDUCATIONAL EXCELLENCE | 1,805,428 | 1,695,613 | 1,695,613 | 1,695,613 |
| 21 | WORKFORCE 2000 | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | |
| 23 | OTHER STATE FUNDS ** | 307,564 | | | |
| 24 | TOTAL SOURCES OF INCOME | $43,333,577 | $40,428,202 | $40,392,741 | $40,998,332 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Line 23 Other State Funds

| | |
|---|---|
| General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 | 197,666 |
| Arkansas Geographical Critical Needs | 148,862 |
| Transfer out | (38,964) |
| | 307,564 |

## SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)

UNIVERSITY OF ARKANSAS AT PINE BLUFF NON-FORMULA

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | RESEARCH | 1,803,992 | 1,833,569 | 2,333,083 | 2,331,298 | 2,410,236 | 2,410,236 |
| 2 | PUBLIC SERVICE | 1,751,824 | 1,814,023 | 2,250,722 | 2,252,507 | 2,325,744 | 2,325,744 |
| 3 | | | | | | | |
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| 11 | | | | | | | |
| 12 | | | | | | | |
| 13 | MANDATORY TRANSFERS | | | | | | |
| 14 | AUXILIARY TRANSFERS | | | | | | |
| 15 | NON-MANDATORY TRANSFERS | | | | | | |
| 16 | TOTAL UNREST. E&G EXP. | $3,555,816 | $3,647,592 | $4,583,805 | $4,583,805 | $4,735,980 | $4,735,980 |
| 17 | NET LOCAL INCOME | | | | | | |
| 18 | PRIOR YEAR BALANCE*** | | | | | | |
| | STATE FUNDS: | | | | | | |
| 19 | GENERAL REVENUE | 3,522,409 | 3,647,592 | 4,583,805 | 4,583,805 | 4,735,980 | 4,735,980 |
| 20 | EDUCATIONAL EXCELLENCE | | | | | | |
| 21 | WORKFORCE 2000 | | | | | | |
| 22 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 23 | OTHER STATE FUNDS ** | 33,407 | | | | | |
| 24 | TOTAL SOURCES OF INCOME | $3,555,816 | $3,647,592 | $4,583,805 | $4,583,805 | $4,735,980 | $4,735,980 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Line 23 Other State Funds

General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 33,407

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS AT PINE BLUFF
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 18,418,346 | 15,986,684 | 15,986,684 | 15,986,684 |
| 2 | ALL OTHER FEES | 13,710 | 138,750 | 138,750 | 138,750 |
| 3 | OFF-CAMPUS CREDIT | 995,431 | 88,000 | 88,000 | 88,000 |
| 4 | NON-CREDIT INSTRUCTION | 96,434 | | | |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | 87,584 | 145,000 | 145,000 | 145,000 |
| 6 | INVESTMENT INCOME | 26,382 | 10,000 | 10,000 | 10,000 |
| 7 | OTHER CASH INCOME: | 731,043 | 365,000 | 365,000 | 365,000 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 20,368,931 | 16,733,434 | 16,733,434 | 16,733,434 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $20,368,931 | $16,733,434 | $16,733,434 | $16,733,434 |

FORM 11-3

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CGA0000 INSTITUTION UNIVERSITY OF ARKANSAS AT PINE BLUFF APPROPRIATION 616

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 15,872,218 | 16,534,075 | 17,608,474 | 17,343,274 | 17,808,597 | | |
| 2 | EXTRA HELP WAGES | 823,864 | 837,993 | 837,993 | 879,005 | 902,589 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 4,512,314 | 4,468,613 | 4,737,213 | 4,687,313 | 4,813,074 | | |
| 5 | OPERATING EXPENSES | 3,646,377 | 3,831,774 | 4,081,774 | 4,019,306 | 4,127,145 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | 248,787 | 253,054 | 253,054 | 265,440 | 272,561 | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | 999,892 | 999,841 | 999,841 | 1,048,774 | 1,076,913 | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $26,103,452 | $26,925,350 | $28,518,349 | $28,243,112 | $29,000,878 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | 10,196 | 417,010 | | | | | |
| 16 | GENERAL REVENUE | 24,363,867 | 25,229,737 | | 26,547,499 | 27,305,265 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | 1,805,428 | 1,695,613 | | 1,695,613 | 1,695,613 | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 340,972 | | | | | | |
| 22 | TOTAL INCOME | $26,520,463 | $27,342,360 | | $28,243,112 | $29,000,878 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($417,011) | ($417,010) | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

Line 21 Other State Treasury Funds

| | |
|---|---|
| General Improvement Funds released to restore RSA funding that was cut on May 4, 2010 | 231,073 |
| Arkansas Geographical Critical Needs | 148,862 |
| Transfer out | (38,964) |
| | 340,971 |

# APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2020000 INSTITUTION UNIVERSITY OF ARKANSAS AT PINE BLUFF APPROPRIATION B13

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 11,682,920 | 26,701,216 | 26,701,216 | 27,128,435 | 27,833,774 | | |
| 2 | EXTRA HELP WAGES | 1,793,724 | 4,000,000 | 4,000,000 | 4,064,000 | 4,169,664 | | |
| 3 | OVERTIME | 151,583 | 4,200,000 | 4,200,000 | 4,267,200 | 4,378,147 | | |
| 4 | PERSONAL SERVICES MATCHING | 3,083,797 | 8,498,784 | 8,498,784 | 8,634,765 | 8,859,269 | | |
| 5 | OPERATING EXPENSES | 12,689,773 | 13,200,000 | 13,200,000 | 16,357,600 | 16,782,898 | | |
| 6 | CONFERENCE FEES & TRAVEL | 515,117 | 2,150,000 | 2,150,000 | 2,184,400 | 2,241,194 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 2,149,772 | 2,150,000 | 2,150,000 | 2,184,400 | 2,241,194 | | |
| 8 | DATA PROCESSING | | 2,900,000 | 2,900,000 | | | | |
| 9 | CAPITAL OUTLAY | 8,034,067 | 13,150,000 | 13,150,000 | 13,360,400 | 13,707,770 | | |
| 10 | CAPITAL IMPROVEMENTS | 325,266 | 20,600,000 | 20,600,000 | 20,929,600 | 21,473,770 | | |
| 11 | DEBT SERVICE | 451,016 | 3,350,000 | 3,350,000 | 3,403,600 | 3,492,094 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENT | 8,999,996 | 9,000,000 | 9,000,000 | 9,144,000 | 9,381,744 | | |
| 13 | PROMOTIONAL ITEMS | | 100,000 | 100,000 | 101,600 | 104,242 | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | | | | | | | | |
| 17 | TOTAL APPROPRIATION | $49,877,032 | $110,000,000 | $110,000,000 | $111,760,000 | $114,665,760 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 20,368,931 | 56,000,000 | | 58,000,000 | 60,000,000 | | |
| 20 | FEDERAL CASH FUNDS | 29,508,101 | 54,000,000 | | 53,760,000 | 54,665,760 | | |
| 21 | OTHER CASH FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $49,877,032 | $110,000,000 | | $111,760,000 | $114,665,760 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 656 | 659 | 928 | 930 | 930 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 348 | 348 | 924 | 924 | 924 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

UNIVERSITY OF ARKANSAS AT PINE BLUFF
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 3,363,422 | 5,395,426 | 2,148,291 | ($4,180,295) | 4,707,651 | 5,401,002 | 760,000 | ($1,453,351) |
| 2 RESIDENCE HALL | 5,184,040 | 2,827,184 | 830,350 | 1,526,506 | 4,178,956 | 2,954,010 | 930,589 | 294,357 |
| 3 MARRIED STUDENT HOUSING | | | | 0 | | | | 0 |
| 4 FACULTY HOUSING | | | | 0 | | | | 0 |
| 5 FOOD SERVICES | 4,331,759 | 2,677,803 | | 1,653,956 | 2,784,047 | 2,512,677 | | 271,370 |
| 6 COLLEGE UNION | 390 | 293,214 | | (292,824) | | 300,835 | | (300,835) |
| 7 BOOKSTORE | 184,361 | 2,085 | | 182,276 | 130,000 | | | 130,000 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | | | | 0 | | | | 0 |
| 9 STUDENT HEALTH SERVICES | | | | 0 | | | | 0 |
| 10 OTHER | 348,762 | 681,287 | | (332,525) | 256,500 | 460,487 | | (203,987) |
| 11 SUBTOTAL | $13,412,734 | $11,876,999 | $2,978,641 | ($1,442,906) | $12,057,154 | $11,629,011 | $1,690,589 | ($1,262,446) |
| 12 ATHLETIC TRANSFER ** | 1,078,234 | | | 1,078,234 | 1,078,234 | | | 1,078,234 |
| 13 OTHER TRANSFERS *** | 184,212 | | | 184,212 | 184,212 | | | 184,212 |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | $14,675,180 | $11,876,999 | $2,978,641 | -$180,460 | $13,319,600 | $11,629,011 | $1,690,589 | $0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

Line 10 Other

Traffic Fines, Decals, Transit Fees and Special Events

Line 13 Other Transfers

Student Union

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

UNIVERSITY OF ARKANSAS AT PINE BLUFF
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: 683
(As of November 1, 2009 )

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 3 | Black Male: | 20 | Other Male: | | Total | Male: | 23 |
| White Female: | 1 | Black Female: | 38 | Other Female: | | Total | Female: | 39 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | | Black Male: | | Other Male: | | Total | Male: | 0 |
| White Female: | | Black Female: | | Other Female: | | Total | Female: | 0 |
| Classified Employees: | | | | | | | | |
| White Male: | 9 | Black Male: | 95 | Other Male: | 4 | Total | Male: | 108 |
| White Female: | 7 | Black Female: | 178 | Other Female: | | Total | Female: | 185 |
| Faculty: | | | | | | | | |
| White Male: | 35 | Black Male: | 152 | Other Male: | 10 | Total | Male: | 197 |
| White Female: | 19 | Black Female: | 90 | Other Female: | 22 | Total | Female: | 131 |
| Total White Male: | 47 | Total Black Male: | 267 | Total Other Male: | 14 | Total | Male: | 328 |
| Total White Female: | 27 | Total Black Female: | 306 | Total Other Female: | 22 | Total | Female: | 355 |
| Total White: | 74 | Total Black: | 573 | Total Other: | 36 | Total | Employees: | 683 |
| | | | | **Total Minority:** | 609 | | | |

FORM 11-8

| | |
|---|---|
| *Finding:* | **UNIVERSITY OF ARKANSAS AT PINE BLUFF**<br><br>University personnel discovered, and the audit verified, 37 unallowable disbursements for travel reimbursements, totaling $7,852, were paid to an employee during the period March 12, 2008 through September 11, 2008. The recipient of these improper travel reimbursements was terminated from employment on September 30, 2008. The University has obtained full reimbursement of $7,852 from the responsible individual. |

| | |
|---|---|
| *Institution's Response:* | On March 23, 2009 management transferred the questioned costs from the grant accounts to a campus account. Management requested reimbursement from the former employee and obtained full reimbursement in the amount of $7,851.53. On November 4, 2008, management revised the Purchasing Policies and issued a campus wide email notification stating that budget officer designees are not allowed to approve expenses for themselves. A follow-up notice was sent on April 1, 2009. On April 6, 2009, the Chancellor issued a campus-wide memo stating that budget officers are required to initial and review monthly budget reports to ensure questionable costs are identified and resolved in a timely manner. |

| | |
|---|---|
| *Finding:* | **Disaster Recovery or Business Continuity Plans**<br><br>There is no formal documented and approved Disaster Recovery Plan. This situation could cause the University to be without computer processing for an extended period of time in the event of a disaster or major interruption. No disaster recovery testing has been done. Without adequate testing of the plan, there is no way to insure the plan will work as designed. Application users have no manual procedures to activate in disaster situation. Without manual procedures, operations could not continue in a disaster. |

| | |
|---|---|
| *Recommendation:* | The following corrective action for the above-mentioned points: Develop an approved formal Disaster Recovery Plan and maintain a copy off-site. Conduct periodic testing of the Disaster Recovery Plan. Each application's user department should develop, test and document manual procedures to be used in lieu of their respective computerized application in the event the application can no longer be utilized. |

| | |
|---|---|
| *Institution's Response:* | In order to comply with the recommendation of the audit finding on the University's Disaster Recovery or Business Continuity Plan the following will be implemented:<br>Approved Formal Disaster Recovery Plan:<br><br>Technical Services has developed a Disaster Recovery and Business Continuity Plan. A copy of this plan has been placed off-site in a safety deposit box at Simmons National Bank and also placed on the University's website. We have attached a copy of the Disaster Recovery and Business Continuity Plan for review.<br><br>Date of Implementation:<br>Initial reviewing of the plan with the Disaster Recovery Team: January 2010 |

| | |
|---|---|
| | Test and Document Manual Procedures:<br>A combination of a Structured Walk-Through and Checklist Testing will be done annually to commence on or before June 15. The purpose of these testing procedures is to confirm the effectiveness of the plan and to identify gaps, bottlenecks or weakness in the plan. This initial testing will determine modifications to the plan before attempting more extensive testing.<br><br>Upon completion of the testing all results and findings will be documented.<br><br>Some application users within the Division of Finance and Administration do have written manual procedures already in place. For those who don't we currently are in the process of exploring manual procedures and optional software and plan on having procedures in place by March 31, 2010. |

## FINDINGS COVERING PROGRAMS AUDITED BY OTHER EXTERNAL AUDITORS
## FINDINGS COVERING MORE THAN ONE FEDERAL AGENCY

| | |
|---|---|
| **Finding Number:** | **09-160-01** |
| **State/Educational Agency:** | **University of Arkansas at Pine Bluff** |
| **CFDA Number(s) and Program Title(s):** | **84.038 - Federal Perkins Loan Program Federal Capital Contributions (Student Financial Assistance Cluster)** |
| **Federal Award Number(s):** | **N/A** |
| **Federal Award Year(s):** | **2009** |
| **Compliance Requirement(s) Affected:** | **Reporting** |
| **Type of Finding:** | **Noncompliance and Significant Deficiency** |

**Criteria:**
In accordance with 34 CFR § 668.16(m)(1)(ii) of the Student Assistance General Provisions and 34 CFR § 674.5 of the Federal Perkins Loan Program, an institution that begins and continues to participate in any Title IV, HEA program, must demonstrate that it is capable of adequately administering that program under the standards established. The Secretary considers an institution to have that administrative capability if the institution's Federal Perkins Loan program cohort default rate does not exceed 15 percent. In addition, as stated in 34 CFR, § 674.5(a)(1), if an institution's cohort default rate equals or exceeds 25 percent, the institution's Federal Capital Contribution (FCC) is reduced to zero.

**Condition:**
The University's current year cohort default rate was 31%. A similar finding has been reported in previous audits.

**Questioned Costs:**
None

**Cause:**
The Federal Perkins Loan program cohort default rate was significant because of the small population of borrowers. The University reported that five of sixteen borrowers who had entered repayment during the prescribed period were in default.

**Effect:**
The University exceeded the allowable Federal Perkins Loan program cohort default rate.

**Recommendation:**
Establish procedures to lower the University's cohort default rate to an acceptable level.

**Agency Response:**
The University does not offer new loans to students through the Perkins Loan Program, is liquidating the program and did not request nor receive new contributions from the Federal Capital Contribution (FCC) in FY2009. Efforts to liquidate the program, including the assignment of the loans to the U. S. Department of Education are ongoing and the program should be liquidated by June 30, 2010.
Until the liquidation is complete collection efforts will continue including:
- Utilization of an outside agency, Campus Partners, to service the loan portfolio and insure timely billing and due diligence,
- Referral of delinquent accounts to collection agencies,
- Submission of delinquent accounts to the Department of Revenue and Administration through participation in the Arkansas tax offset program, and
- Collection efforts by university staff and greater management oversight

The University recognizes the default rate is high but is pleased that the rate declined from 57% June 30, 2008 to 31% June 30, 2009; therefore all current collection efforts will be continued until the program is liquidated.

| | |
|---|---|
| **Finding Number:** | **09-160-02** |
| **State/Educational Agency:** | **University of Arkansas at Pine Bluff** |
| **CFDA Number(s) and Program Title(s):** | **84.007 - Federal Supplemental Educational Opportunity Grants**<br>**84.032 - Federal Family Education Loans**<br>**84.038 - Federal Perkins Loan Program Federal Capital Contributions**<br>**84.063 - Federal Pell Grant Program**<br>**84.375 - Academic Competitiveness Grants**<br>**84.376 - National Science and Mathematics Access to Retain Talent (SMART) Grants (Student Financial Assistance Cluster)** |
| **Federal Award Number(s):** | **Various** |
| **Federal Award Year(s):** | **2009** |
| **Compliance Requirement(s) Affected:** | **Special Tests and Provisions** |
| **Type of Finding:** | **Noncompliance and Significant Deficiency** |

**Criteria:**
According to 34 CFR § 668.22 of the Student Assistance General Provisions, an institution is required to document a student's withdrawal date and maintain the documentation as of the date of the institution's determination that the student withdrew. The institution is also required to perform a calculation of earned Title IV funds for the period of enrollment when a student officially or unofficially withdraws.

**Condition:**
As part of the University's internal control established to determine whether a student unofficially withdrew, instructors are required by University policy to award a grade of —UF‖ to a student who did not officially withdraw from the course and failed to participate in course activities through the end of the period. A student who received all —UFs‖ was considered to have unofficially withdrawn, which would prompt a calculation of earned Title IV funds for the applicable period of enrollment. During our audit we noted four students who unofficially withdrew from the University but received a grade of —F‖ instead of a —UF‖ from at least one instructor. As a result of the instructors' failure to comply with the University's policy, a calculation of earned Title IV funds was not prepared. While gaining an understanding of internal control over compliance pertaining to the return of Title IV funds, we noted instructors were not following the grading policy established by the University. We selected four Title IV recipients from a list of 113 students who did not receive a passing grade in the spring 2009 semester.

**Questioned Costs:**
$3,237

**Cause:**
Certain instructors did not comply with the University's policy regarding the awarding of grades for lack of attendance. The lack of a proper monitoring system also contributed to these questioned costs.

**Effect:**
Known questioned costs of $3,237 were incurred because the relevant calculations of earned Title IV funds were not performed.

**Recommendation:**
The University should continue to disseminate information regarding the University's grading policy, with emphasis on the correct usage of the grades —UF and —F. Additionally, an effective monitoring system should be implemented to insure all instructors are complying with the University's policy.

**Agency Response:**
The University will continue to use our policy for awarding final grades to determine unofficial withdrawals; however, several strategies will be employed to insure instructors issue grades correctly. These efforts will be a collaborative effort by Student Financial Services, the Office of Academic Affairs, and the Faculty Senate.
- First, emphasis will be placed on reeducating instructors regarding the correct use of the grades —F and —UF. Written instructions will be prepared and disseminated again to all teaching faculty. Additional instructions will be provided through various meetings and workshops.
- Second, reminders will be sent prior to the submission of final grades reminding all faculty of the correct use of the grades —F and —UF
- Increased oversight by Department Deans will be required to ensure understanding and compliance by all instructors.
- Finally, the University will conduct periodic self-evaluation to verify compliance. Evaluation of the policy and adherence to the policy will be ongoing.

| DIVISION | CATEGORY / PROGRAM | 2011-12 TOTAL | 2012-13 TOTAL |
|---|---|---|---|
| | **EDUCATION** | | |
| INSTITUTIONAL SUPPORT | EXPANSION OF THE BRANCH CAMPUS IN NORTHWEST ARKANSAS | 2,885,800 | 2,895,637 |
| ACADEMIIC AFFAIRS | CURRICULUM INTEGRATING ELECTRONIC HEALTH RECORD, EVIDENCE-BASED MEDICINE, MEDICAL INFORMATICS TRAINING ACROSS THE UAMS COLLEGES | 877,688 | 927,369 |
| COLL OF HEALTH-REL PROFESSIONS | HEALTH INFORMATION ADMINISTRATION BACHELOR'S DEGREE PROGRAM | 157,390 | 151,665 |
| COLL OF HEALTH-REL PROFESSIONS | AUDITORY/SPOKEN LANGUAGE CERTIFICATION | 220,409 | 220,842 |
| COLLEGE OF MEDICINE | SIMULATION CENTER | 405,556 | 418,945 |
| COLLEGE OF PUBLIC HEALTH | EXPANSION OF DOCTORAL PROGRAMS IN PUBLIC HEALTH | 378,750 | 390,213 |
| COLLEGE OF PUBLIC HEALTH | ENHANCEMENT OF MASTERS IN HEALTH SERVICES ADMINISTRATION | 401,250 | 413,388 |
| COLLEGE OF NURSING | ENHANCEMENT OF BSN PROGRAM IN HOPE | 306,258 | 329,312 |
| COLLEGE OF NURSING | ENHANCEMENT OF PRIMARY CARE NURSE PRACTITIONER PROGRAM | 618,650 | 628,300 |
| COLLEGE OF NURSING | NURSING EDUCATIONAL SUPPORT LAB | 424,850 | 427,450 |
| JONES EYE INSTITUTE | EXPAND OPHTHALMIC MEDICAL TECHNOLOGY PROGRAM : OPTICIANRY | 172,475 | 134,870 |
| JONES EYE INSTITUTE | EXPAND OPHTHALMIC MEDICAL TECHNOLOGY PROGRAM : ORTHOPTICS | 216,525 | 210,401 |
| JONES EYE INSTITUTE | EXPAND OPHTHALMIC MEDICAL TECHNOLOGY PROGRAM : CLINICAL RESEARCH | 188,075 | 176,282 |
| JONES EYE INSTITUTE | EXPAND OPHTHALMIC MEDICAL TECHNOLOGY PROGRAM : LOW VISION | 221,925 | 164,909 |
| | **TOTAL EDUCATION** | **7,475,601** | **7,489,583** |
| | **RESEARCH/EDUCATION** | | |
| COLLEGE OF MEDICINE | DIABETES AND OBESITY CENTER | 597,500 | 597,500 |
| COLLEGE OF MEDICINE | CENTER FOR CLINICAL & TRANSLATIONAL RESEARCH - ENTERPRISE DATA WAREHOUSE | 717,890 | 683,390 |
| COLLEGE OF MEDICINE | BASIC AND TRANSLATIONAL CARDIOVASCULAR RESEARCH | 503,800 | 460,000 |
| | **TOTAL RESEARCH/EDUCATION** | **1,819,190** | **1,740,890** |
| | **CANCER RESEARCH** | | |
| ROCKEFELLER CANCER INSTITUTE | ALLOGENEIC BONE MARROW CANCER INSTITUTE | 1,211,981 | 1,776,056 |
| | **TOTAL CANCER RESEARCH** | **1,211,981** | **1,776,056** |
| | **REGIONAL PROGRAMS** | | |
| REGIONAL PROGRAMS | EXPANSION AND ENHANCEMENT of FAMILY MEDICINE RESIDENCY PROGRAMS THROUGHOUT ARKANSAS | 2,964,340 | 3,053,270 |
| INSTITUTE ON AGING | REDUCING CARDIOVASCULAR DISEASE IN ELDERLY RURAL ARKANSANS | 256,308 | 256,938 |
| | **TOTAL REGIONAL PROGRAMS** | **3,220,648** | **3,310,208** |
| | **SERVICE** | | |
| COLLEGE OF PHARMACY | ENHANCEMENT OF THE POISON & DRUG INFORMATION CENTER | 380,348 | 435,370 |
| PSYCHIATRIC RESEARCH INSTITUTE | PROGRAM FOR PROFESSIONALS | 753,623 | 816,574 |
| HOSPITALS AND CLINICS | CREATE AN INPATIENT REHABILITATION UNIT | 825,000 | 525,000 |
| HOSPITALS AND CLINICS | PRIMARY CARE EXPANSION | 552,928 | 1,095,855 |
| HOSPITALS AND CLINICS | PALLIATIVE CARE DEPARTMENT | 543,852 | 648,658 |
| HOSPITALS AND CLINICS | PROVISION OF MEDICAL CARE TO THE INDIGENT AND NEEDY OF ARKANSAS | 3,000,000 | 3,000,000 |
| | **TOTAL SERVICE** | **6,055,751** | **6,521,457** |
| | **TOTAL CAMPUS** | **19,783,171** | **20,838,194** |

## INTRODUCTION

The University of Arkansas for Medical Sciences (UAMS), Arkansas's only academic health sciences center, is the primary source of health care professionals for the state. UAMS provides high-level tertiary and quaternary care at University Hospital; serves the state, nation, and world through research discovery; and provides numerous related services to Arkansas and its citizens.

Talented and dedicated faculty and staff is the core for carrying out the institution's four-part mission: To Teach, To Heal, To Search, To Serve. The institution is comprised of five (6) colleges: College of Medicine, College of Pharmacy, College of Nursing, College of Allied Health, College of Public Health and the Graduate School. In addition, it is strengthened by six outstanding centers of excellence: the Winthrop P. Rockefeller Cancer Institute, the Harvey and Bernice Jones Eye Institute, the Donald W. Reynolds Institute on Aging, the Jackson T. Stephens Spine and Neurosciences Institute, the Myeloma Institute of Research and Therapy, and the Psychiatric Research Institute. The eight regional Area Health Education Centers (AHECs) of UAMS combine with central resources to form an Area Health Education Program that is annually ranked as one of the top two in the nation. With these and other world class clinical services, such as ANGELS, the Arkansas Aging Initiative and Kids First, UAMS and its programs are in great demand. This growing demand is an important opportunity for growth and expansion.

As the only academic health sciences center in the state, UAMS has many opportunities to create "magnet" areas of excellence in education, clinical care, and research and outreach. Interdisciplinary practice and programs provide for partnership in our education, clinical and research and outreach missions.

The primary challenge for UAMS will always be to deliver excellent services throughout the state. In an effort to continue to improve, UAMS will expand our internet technology resources through grants and other non-state funds. UAMS, with the limited state-funded base that it has, continues to be one of the very lowest state funded teaching hospitals in the nation. The current level of state financial support makes it difficult for the University to absorb the significant educational costs tuition fails to cover and the substantial indigent care costs that are not reimbursed. UAMS consistently ranks

among the lowest in the nation in overall tuition costs among other academic teaching universities.
The major institutional threat is the considerable dependence on clinical revenue to support other UAMS missions. This is occurring at the same time that the number of uninsured/jobless patients continues to increase and UAMS, as the state's "safety net" hospital facility, incurs the added expense of their care. Even for insured patients, there is concern. It is anticipated that third party payors, including Medicare and Medicaid, will be providing less support throughout the years to come.

The completion of the new patient bed tower has provided some relief from the issues and challenges presented in the old hospital. As projected, the number of patients has risen by double-digits, but we have also dealt with increases in expenses for all areas, especially indigent cost and the number of uninsured patients. UAMS has entered the implementation phase of an aggressive effort to lower costs while maintaining established high standards in patient care and all other areas. The initial results are very encouraging and on-target to aline costs and expenses as well as provide an operational margin.

UAMS continues this aggressive effort to identify financial resources at the federal level for clinical and grant support. There have been significant increases in federal resources at the clinical level but this is jeopardized due to an overall reduction in NIH and other federal budgets. The Institution is working to identify and successfully pursue these sources. UAMS was successful in competitive applications for Stimulus funds; although that is a source that will not continue, we are pleased with the results to date and continue to pursue any available and appropriate opportunities for stimulus funded awards. Efforts to be awarded grants from private and public entities are also being made. There continues to be an increase in philanthropic support as UAMS continues to grow as a dynamic and respected institution despite its challenges and threats. There continues to be a sense of optimism among faculty and staff and efforts to work together to achieve excellence in all areas.

The University of Arkansas for Medical Sciences has the four-part mission to Teach, Heal, Search and Serve. Our goals, objectives and strategies relating to this responsibility during the 2011-13 biennium include:

## Goal 1. Education

**To educate graduates who are compassionate, provide quality care and meet the needs of the state, and who embrace life-long learning**

**Objective 1. Strengthen the impact of our graduates on the state**

**Strategies:**

1. Increase the number of graduates staying in the state
2. Assure that rural and underserved areas have practitioners
3. Work to assure improved patient outcomes through use of evidence-based medicine and protocols

**Objective 2. Identify and respond to Arkansas' health workforce needs especially as it relates to an aging population**

**Strategies:**

1. Each college will determine the demand for its graduates from their programs and its new educational programs.
2. Adjust enrollment levels in existing programs and create new programs as indicated by healthcare workforce needs.

**Objective 3. To recruit and retain productive faculty and staff for educational programs**

**Strategies:**

1. Select educational areas for development
2. Ensure that salaries of productive faculty and university leaders are competitive for the purpose of recruitment and retention
3. Identify and prioritize infrastructure needs to support the educational mission

**Objective 4. To attract outstanding students, including those from under-represented minorities, to careers in healthcare**

**Strategies:**

1. Strengthen supportive pre-college and pre-admission programs that will serve as a source of underrepresented students
2. Consolidate pre-college student development programs to achieve greater synergy among the existing programs sponsored by various units.
3. Improve promotion of creative programs both on campus and throughout the state that will foster interest in health care careers
4. Evaluate the present support system available to UAMS students to identify needed areas of improvement
5. Expose gifted and talented students to experiences that will encourage them to choose a career in academic health sciences.
6. Market the educational programs at UAMS

**Objective 5. Provide suitable education sites and facilities to educate increasing numbers of students**

**Strategies:**

1. Build additional lecture and small group teaching space on the UAMS campus
2. Expand a satellite campus in Northwest Arkansas for the clinical education of additional students in Medicine, Pharmacy, Health Related Professions, Nursing and Public Health

**Objective 6. To increase financial support for education [In cooperation with Governmental Affairs]**

**Strategies:**

1. Create a strategic plan to increase the financial support for the educational mission of each college, including strategies for the Development Office, Legislative Affairs Office, etc.
2. Continue a capital funding initiative for construction, maintenance and operation of facilities to support education throughout the state
3. Increase endowments to support UAMS scholarship programs
4. Upon approval, participate in the Campus Comprehensive Campaign, including all phases of study, planning and operations of such a campaign designed to raise funds for educational facilities, endowments and programs

## Goal 2. Clinical Programs

**To provide outstanding, patient-centered health care**

**Objective 1. Improve access to clinical care**

**Strategies:**
1. Re-engineer inpatient and outpatient processes to increase the efficient access to patient care facilities.
2. Implement mechanisms to ensure accountabilities related to an efficient and cost-effective performance
3. Measure performance using standard metrics of utilization of clinics, operating suites, etc.

**Objective 2. Develop and optimize clinical services**

**Strategies**:
1. Expand selected clinical programs
2. Define development processes in an action plan which features personal and unit-level accountability

**Objective 3**. **Continuously improve the quality and safety of patient care**

**Strategies:**

1. Integrate and improve existing hospital/departmental quality-monitoring programs
2. Participate in appropriate external quality-monitoring programs
3. Maintain a Patient Safety Program that exceeds acceptable national standards
4. Implement information systems that enhance the provision of high quality, safe patient care; including an integrated computer-based medical record
5. Make regular visits to the offices of physicians and other health professionals who refer patients in order to gather information to improve services

**Objective 4. To improve the satisfaction of patients/families, staff and referring health care providers**

**Strategies:**
1. Develop a patient satisfaction plan that involves all caregivers of UAMS Medical Center
2. Complete a staff survey every two years and utilize findings to develop specific goals to address concerns/issues
3. Utilize feedback (surveys and office visits), from referring health providers to improve their relationship with UAMS Medical Center

**Objective 5. Expand the capital capacities of UAMS Medical Center pursuant to the Strategic Financial Plan**

**Strategies:**
1. Establish performance goals and benchmarks
2. Target and execute key initiatives for cost improvement
3. Redefine UAMS Medical Center budgeting and ensure adequate capital planning and funding
4. Continue fund raising efforts to support capital need

**Objective 6. Complete the replacement/expansion plan of clinical facilities**

**Strategies:**
1. Complete construction
2 Remain within budget

**Objective 7. To recruit and retain the workforce necessary to accomplish the clinical goal and objectives in this plan**

**Strategies:**

1. Maintain salaries at a competitive level
2. Develop a formal comprehensive compensation plan that provides financial incentives for performance
3. Develop and implement a rewards/incentive program for employees that focus on the clinical objectives
4. Develop a more routine review of specific vacancy and turnover rates. Implement actions to improve areas that are higher than the goals of the organization
5. Complete an employee survey every two years and use the findings to develop specific goals to address concerns/issues raised by the employees to improve their work environment

## Goal 3. Research

### To conduct high impact collaboration research relevant to human health

**Objective 1. Increase federal funding for research at a rate substantially higher than that for NIH**

**Strategies:**

1. Increase aggregate funding of the present faculty
2. Recruit new funded and fundable faculty
3. Utilize research space to maximize productivity
4. Provide pilot study and bridging support that lead to extramural funding
5. Retain highly productive faculty by ensuring that their salaries match national benchmarks
6. Develop a business plan to evaluate the impact of increased research funding
7. Enhance the institutional research infrastructure (e.g. biometry, grants management, animal facilities, and the grant writing group) to support the planned expansion of research, including implementation of an information system that would allow accurate identification, tracking and analysis of issues related to research faculty
8. Plan coordinated improvements in research core facilities necessary to support research expansion
9. Collaborate with other Arkansas institutions on efforts to strengthen and promote research activities, e.g., National Center for Toxicological Research, other institutions of higher education, and appropriate state agencies such as ASTA

**Objective 2. Continue and expand space designated for research at UAMS, at the Central Arkansas Veterans Healthcare System (CAVHS), and Arkansas Children's Hospital Research Institute (ACHRI)**

**Strategies:**

1. Complete shelled space remaining for research operations
2. Expand the Winthrop P. Rockefeller Cancer Institute research space
3. Obtain non-NIH federal support for programmatic expansion
4. Obtain philanthropic support for research programs
5. Begin plans for an additional Biomedical Research Building

**Objective 3. Achieve research objectives of selected colleges, centers and institutes within five years**

**Strategies:**

1. Obtain designation as a National Cancer Institute Clinical Cancer Center
2. Continue development of the four areas of research emphasis identified by the College of Nursing
3. Encourage the preparation of large collaborative research grants among colleges
4. Increase funded clinical trials by at least 50 percent
5. Develop nationally or internationally recognized collaborative research areas in several of the departments of the College of Medicine

**Objective 4. Use appropriated tobacco settlement funds as one of the sources to increase external funding for tobacco-related research**

**Strategies:**

1. Emphasize tobacco-related research (e.g. cancer, public health, cardiovascular and pediatric disease research)
2. Support successful current investigators with transitional funding to develop new areas of research that will lead to new grant support in tobacco related research
3. Recruit new faculty to augment tobacco-related research

**Objective 5.** **Increase the number of patents having commercial value and form additional UAMS BioVentures companies**

**Strategies:**

1. Complete the Arkansas BioVentures building and raise operational funds for subsidizing the early development of these companies
2. Strengthen the efforts of the Biomedical Biotechnology Center to facilitate disclosure of inventions, patent applications and retention, licensing, and company development

**Objective 6.** **Maintain research compliance at levels that meet federal requirements regarding financial grants accounting, human volunteer safety, informed consent and privacy**

**Strategies:**

1. Assure that UAMS meets or exceeds all applicable federal regulations and accrediting body standards, especially those related to the welfare of human volunteers

## Goal 4. Outreach

**To improve the health of Arkansans by delivering UAMS programs off-campus**

**Objective 1.** **To educate clinically-based practitioners who work effectively as a part of a unified health care team in a rural setting**

**Strategies:**

1. Enhance our system which includes the AHEC System and expertise in distance learning
2. Work effectively with governmental agencies
3. Continue to focus on effective programs

**Objective 2. To increase community partnerships**

**Strategies:**

1. Increase collaborative role of UAMS programs with other healthcare providers
2. Increase collaborative role of UAMS programs with non-healthcare partners

**Objective 3. To offer more educational programs to students and health care professionals**

**Strategies:**

1. Increase the number of courses for academic credit delivered off-campus
2. Increase the number of continuing education programs to meet the needs of health care professionals

**Objective 4. To increase emphasis on prevention of disease and modification of unhealthy behaviors**

**Strategies:**

1. To continue to work with the state to develop excellent state policies

**Objective 5. To increase the number of graduates who choose to practice in underserved areas of the state. (All colleges will address this issue.)**

**Strategies:**

1. Assist all UAMS colleges to improve the effectiveness of existing loan and scholarship programs designed for students committed to practice in underserved areas
2. Increase off-campus educational opportunities for UAMS students
3. Increase access to educational programs for practitioners and students living in underserved areas of the state
4. Increase number of outreach programs in partnership with K-12 programs, colleges and universities, which encourage students to choose health careers
5. Increase the number of programs that assist students from underserved areas in preparation for admission to UAMS colleges
6. To increase the number of UAMS educational programs, selected by demand and/or need, which will provide access to students who cannot participate in traditional on-campus programs, thereby increasing the health professional workforce and upgrading health care professional credentials throughout the state

**Objective 6. Develop communication strategies that promote partnerships among health care and non-health care providers**

**Strategies:**

1. Develop and implement a cohesive and consistent way of offering UAMS programs to all appropriate audiences
2. Maintain a web presence that summarizes the various outreach activities and can be accessed through the primary UAMS internet site
3. Using information on outreach programs, promote these programs through ongoing media placements such as the Arkansas Broadcasters' Association, the Arkansas Municipal League Magazine, and the Electric Cooperatives Magazine
4. Request that each AHEC director appoint a communications liaison for each AHEC area, so that information can flow accurately between the Office of Communications and Marketing
5. For marketing and public relations purposes, develop periodic reports which highlight outreach activities

## General Revenue Request

2012 UAMS General Revenue increase of $2,557,781 for 2012 and $3,763,912 for 2013. If approved, 60% will be applied toward salary increases and faculty recruitment; 15% toward employee benefit (FICA and retirement) increases needed to support those salaries and 25% toward maintenance and operations (maintenance contracts, utilities, Library, and information technology system support).

Child Safety Center General Revenue increase of $2,515 for 2012 and $6,865 for 2013. If approved, the increase would be applied toward Multi-Disciplinary Teams within the state.

Indigent Care General Revenue increase of $18,648 for 2012 and $50,895 for 2012. If approved, one third of the amount would be passed on to Arkansas Children's Hospital under the state's directive. The rest of the increase would go toward relieving the expenses of uninsured or underinsured patients.

## Cash Appropriation Request

**Form 10-4 State Appropriation – Tobacco Tax Initiative**
The CCA0000 (59P) cash appropriation for Northwest Arkansas is requested to be increased from $3,000,000 to $4,000,000. This increase of $1,000,000 is requested in order to follow the Northwest Arkansas progression plan for increasing the number of medical, pharmacy, nursing and allied health students at the Northwest Arkansas regional campus.

**Personal Services Request**

UAMS has requested no change in our total authorized positions for the biennial years 2011-2013.

## INSTITUTION APPROPRIATION SUMMARY
## 2011-13 BIENNIUM

**INSTITUTION** UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

| | | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| APPROPRIATION | | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 STATE TREASURY | UAMS State Appropriation | 103,317,666 | | 105,069,809 | | 115,356,674 | | 121,368,875 | | 101,803,381 | | 124,831,271 | | 105,658,188 | |
| 2 STATE TREASURY | UAMS State Appropriation-Healthcare Initiative | 7,100,000 | | 7,100,000 | | 7,100,000 | | 8,100,000 | | 8,100,000 | | 8,100,000 | | 8,100,000 | |
| 3 STATE TREASURY | UAMS State Appropriation-Colorectal Cancer | 0 | | 0 | | 5,000,000 | | 5,000,000 | | 5,000,000 | | 5,000,000 | | 5,000,000 | |
| 4 STATE TREASURY | Child Abuse & Neglect Programs | 2,555,632 | | 1,190,586 | | 5,000,000 | | 5,000,000 | | 5,000,000 | | 5,000,000 | | 5,000,000 | |
| 5 STATE TREASURY | Psychiatric Research Institute & Pediatrics-Trauma | 0 | | 1,500,000 | | 1,500,000 | | 1,500,000 | | 1,500,000 | | 1,500,000 | | 1,500,000 | |
| 7 STATE TREASURY | Rural Medical Practice: Community Match | 325,076 | | 325,076 | | 450,000 | | 450,000 | | 450,000 | | 450,000 | | 450,000 | |
| 8 STATE TREASURY | Rural Advanced Nursing | 200,000 | | 200,000 | | 300,000 | | 300,000 | | 300,000 | | 300,000 | | 300,000 | |
| 9 STATE TREASURY | Poison & Drug Info: Disease State Mgmt | 299,959 | | 299,959 | | 299,959 | | 299,959 | | 299,959 | | 299,959 | | 299,959 | |
| 10 STATE TREASURY | Poison & Drug Information Center | 0 | | 0 | | 400,000 | | 400,000 | | 400,000 | | 400,000 | | 400,000 | |
| 11 STATE TREASURY | Breast Cancer Research | 956,774 | | 1,194,216 | | 1,194,216 | | 1,194,216 | | 1,194,216 | | 1,194,216 | | 1,194,216 | |
| 12 STATE TREASURY | Breast Cancer Research-Komen | 148,639 | | 500,000 | | 500,000 | | 500,000 | | 500,000 | | 500,000 | | 500,000 | |
| 13 STATE TREASURY | Newborn Umbilical Cord Blood Initiative | 0 | | 546,000 | | 546,000 | | 546,000 | | 546,000 | | 546,000 | | 546,000 | |
| 14 STATE TREASURY | Domestic Violence Shelter Programs | 920,936 | | 7,100,000 | | 7,100,000 | | 7,100,000 | | 7,100,000 | | 7,100,000 | | 7,100,000 | |
| 15 STATE TREASURY | Tobacco Funding: Institute on Aging | 1,991,144 | | 1,564,200 | | 2,320,796 | | 2,320,796 | | 2,320,796 | | 2,320,796 | | 2,320,796 | |
| 16 STATE TREASURY | Tobacco Funding: College of Public Health | 3,077,381 | | 2,346,300 | | 3,195,946 | | 3,195,946 | | 3,195,946 | | 3,195,946 | | 3,195,946 | |
| 17 STATE TREASURY | Tobacco Funding: Delta AHEC | 1,867,970 | | 1,564,200 | | 2,320,796 | | 2,320,796 | | 2,320,796 | | 2,320,796 | | 2,320,796 | |
| 18 STATE TREASURY | Tobacco Funding: Arkansas Biosciences | 5,436,384 | | 4,142,988 | | 6,180,957 | | 6,180,957 | | 6,180,957 | | 6,180,957 | | 6,180,957 | |
| 19 CASH | Operations | 948,928,562 | | 1,905,405,000 | | 1,905,405,000 | | 1,905,405,000 | | 1,905,405,000 | | 1,905,405,000 | | 1,905,405,000 | |
| 20 CASH | Pharmacy Student Loans | 0 | | 550,000 | | 550,000 | | 550,000 | | 550,000 | | 550,000 | | 550,000 | |
| 21 TOTAL | | $1,077,126,123 | 9,230 | $2,040,598,334 | 9,676 | $2,064,720,344 | 12,017 | $2,071,732,545 | 12,017 | $2,052,167,051 | 12,017 | $2,075,194,941 | 12,017 | $2,056,021,858 | 12,017 |
| **FUNDING SOURCES** | | | % | | % | | | | % | | % | | % | | % |
| 22 PRIOR YEAR FUND BALANCE* | | 1,393,053 | 0% | 1,445,279 | 0% | | | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 23 GENERAL REVENUE-INCLUDES CHILD SAFETY | | 94,900,765 | 9% | 98,286,825 | 5% | | | 120,290,101 | 6% | 100,847,122 | 5% | 123,569,689 | 6% | 104,617,899 | 5% |
| 24 INDIGENT CARE APPROPRIATION | | 5,158,840 | 0% | 5,342,181 | 0% | | | 5,502,446 | 0% | 5,360,829 | 0% | 5,667,520 | 0% | 5,411,724 | 0% |
| 25 EDUCATIONAL EXCELLENCE TRUST FUND | | 8,912,336 | 1% | 8,370,248 | 0% | | | 8,370,248 | 0% | 8,370,248 | 0% | 8,370,248 | 0% | 8,370,248 | 0% |
| 26 EDUC EXCEL TRUST - INDIGENT CARE | | 221,773 | 0% | 208,284 | 0% | | | 208,284 | 0% | 208,284 | 0% | 208,284 | 0% | 208,284 | 0% |
| 27 CIGARETTE TAX | | 430,348 | 0% | 470,000 | 0% | | | 4,257,796 | 0% | 4,276,898 | 0% | 4,235,530 | 0% | 4,270,033 | 0% |
| 29 CASH FUNDS | | 856,893,906 | 79% | 1,605,955,000 | 79% | | | 1,605,955,000 | 78% | 1,605,955,000 | 78% | 1,605,955,000 | 77% | 1,605,955,000 | 78% |
| 30 MIXED DRINK REVENUE | | 2,284,468 | 0% | 2,300,000 | 0% | | | 2,340,000 | 0% | 2,340,000 | 0% | 2,380,000 | 0% | 2,380,000 | 0% |
| 31 FEDERAL FUNDS | | 92,034,656 | 9% | 300,000,000 | 15% | | | 300,000,000 | 14% | 300,000,000 | 15% | 300,000,000 | 14% | 300,000,000 | 15% |
| 32 TOBACCO SETTLEMENT FUNDS | | 12,623,844 | 1% | 9,617,688 | 0% | | | 14,018,495 | 1% | 14,018,495 | 1% | 14,018,495 | 1% | 14,018,495 | 1% |
| 33 OTHER STATE FUNDS (BAIL BONDS) | | 575,041 | 0% | 600,000 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 34 OTHER STATE FUNDS | | 3,142,372 | 0% | 9,565,251 | 0% | | | 10,790,175 | 1% | 10,790,175 | 1% | 10,790,175 | 1% | 10,790,175 | 1% |
| 35 TOTAL INCOME | | $1,078,571,402 | 100% | $2,042,160,756 | 100% | | | $2,071,732,545 | 100% | $2,052,167,051 | 100% | $2,075,194,941 | 100% | $2,056,021,858 | 100% |
| 36 EXCESS (FUNDING)/APPROPRIATION | | ($1,445,279) | | ($1,562,422) | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $142,538,265 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $120,265,945 |
| INVENTORIES | $16,893,084 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | |
| INSURANCE DEDUCTIBLES | |
| MAJOR CRITICAL SYSTEMS FAILURES | |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $111,093,649 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | |
| OTHER (FOOTNOTE BELOW) | |
| UNRESERVED EDUCATIONAL & GENEREAL FUND BALANCE | ($105,714,413) |

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM (Non-Formula Entities)**

UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES
NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | | | |
|---|---|---|---|---|---|---|---|
| | | | | 2011-12 | | 2012-13 | |
| | | | | REQUEST | RECOMMENDATION | REQUEST | RECOMMENDATION |
| 1 | COM-College of Medicine | 40,292,043 | 38,376,475 | 41,752,515 | 39,499,608 | 42,873,437 | 40,569,535 |
| 2 | CON-College of Nursing | 7,238,515 | 7,195,682 | 8,761,310 | 8,288,562 | 9,018,961 | 8,534,307 |
| 3 | COP-College of Pharmacy | 8,871,273 | 9,299,524 | 9,958,858 | 9,421,492 | 10,301,235 | 9,747,675 |
| 4 | CHP-College of Health Related Professions | 5,731,800 | 5,897,514 | 6,452,238 | 6,104,085 | 6,629,180 | 6,272,946 |
| 5 | CPH-College of Public Health | 2,264,821 | 2,530,705 | 3,386,626 | 3,203,889 | 3,488,426 | 3,300,967 |
| 6 | GRS-Graduate School | 746,936 | 716,481 | 737,975 | 698,155 | 760,115 | 719,268 |
| 7 | INA-Institutional Administration(includes Chan. Cont., Utilities) | 25,197,881 | 35,528,237 | 35,375,626 | 33,466,807 | 36,436,895 | 34,478,875 |
| 8 | CHA-Chancellor | 2,205,056 | 1,983,428 | 2,042,931 | 1,932,697 | 2,104,219 | 1,991,144 |
| 9 | VCA-Vice Chancellor, Academic Affairs | 7,117,950 | 7,328,109 | 8,632,520 | 8,166,721 | 8,914,846 | 8,435,786 |
| 10 | VCF-Vice Chancellor, Finance | 7,162,481 | 7,423,051 | 7,438,863 | 7,037,472 | 7,662,029 | 7,250,292 |
| 11 | VAD-Vice Chancellor, Administration | 3,508,528 | 4,194,350 | 4,320,181 | 4,087,070 | 4,449,786 | 4,210,667 |
| 12 | OPS-Campus Operations | 14,117,605 | 14,288,966 | 14,717,635 | 13,923,492 | 15,159,164 | 14,344,552 |
| 13 | VCC-Vice Chancellor, Communications | 2,449,634 | 2,485,294 | 2,559,853 | 2,421,727 | 2,636,648 | 2,494,962 |
| 14 | DAA-Vice Chancellor, Development and Alumni Affairs | 1,741,044 | 1,762,610 | 1,815,488 | 1,717,527 | 1,869,953 | 1,769,467 |
| 15 | VCI-Vice Chancellor, Institutional Compliance | 734,589 | 1,494,718 | 1,539,560 | 1,456,487 | 1,585,747 | 1,500,533 |
| 16 | CIS-Information Technology | 20,329,628 | 20,488,389 | 21,172,566 | 20,030,124 | 21,807,743 | 20,635,854 |
| 17 | CLP-Clinical Programs | 434,132,471 | 465,275,181 | 480,557,499 | 473,909,370 | 494,166,645 | 488,240,848 |
| 18 | REP-Regional Programs | 16,266,003 | 16,487,774 | 19,946,747 | 18,870,449 | 20,545,149 | 19,441,109 |
| 19 | ACC-Winthrop P. Rockefeller Cancer Center | 6,633,257 | 6,985,561 | 8,407,109 | 7,953,473 | 9,187,040 | 8,693,353 |
| 20 | MYE-Myeloma Institute | 250,699 | 252,657 | 260,237 | 246,195 | 268,044 | 253,640 |
| 21 | JEI-Jones Eye Institute | 528,982 | 533,113 | 1,348,106 | 1,275,364 | 1,252,042 | 1,184,760 |
| 22 | IOA-Reynolds Institute on Aging | 719,428 | 821,764 | 1,102,725 | 1,043,223 | 1,128,747 | 1,068,092 |
| 23 | SPI-Stephens Spine/Neurosciences Institute | 363,416 | 366,254 | 377,242 | 356,886 | 388,559 | 367,679 |
| 24 | VCR-Vice Chancellor, Research | 2,923,307 | 2,962,729 | 3,051,611 | 2,886,950 | 3,143,159 | 2,974,254 |
| 25 | PRI-Psychiatric Research Institute | 8,733,584 | 9,235,258 | 9,512,316 | 8,999,044 | 9,797,685 | 9,271,184 |
| 26 | NWA-Northwest Arkansas | 2,962,498 | 2,939,865 | 5,913,861 | 5,594,757 | 6,014,540 | 5,691,335 |
| 27 | Funded Depreciation (included in INA) | | | | 0 | | 0 |
| 28 | MANDATORY TRANSFERS (debt service in 111 & 113) | 16,722,842 | 16,754,968 | 17,257,617 | 16,326,420 | 17,775,346 | 16,820,147 |
| 29 | AUXILIARY TRANSFERS | | | | 0 | | 0 |
| 30 | NON-MANDATORY TRANSFERS | (23,944,065) | | | 0 | | 0 |
| 31 | AR Children's Hospital Indigent Care (B) | | 1,850,155 | 1,905,660 | 1,802,833 | 1,962,829 | 1,857,352 |
| 32 | TOTAL UNREST. E&G EXP. | $616,002,206 | $685,458,812 | $720,305,475 | $700,720,878 | $741,328,168 | $722,120,582 |
| 33 | NET LOCAL INCOME (A) | 540,278,657 | 606,368,345 | 624,559,395 | 624,559,395 | 643,296,177 | 643,296,177 |
| 34 | PRIOR YEAR BALANCE*** | | 1,182,969 | | | | |
| | STATE FUNDS: | | | | | | |
| 35 | GENERAL REVENUE (includes Child Safety Center funding) | 94,913,674 | 98,286,826 | 120,290,101 | 100,847,122 | 123,569,689 | 104,617,899 |
| 36 | EDUCATIONAL EXCELLENCE | 8,912,336 | 8,370,248 | 8,370,248 | 8,370,248 | 8,370,248 | 8,370,248 |
| 37 | WORKFORCE 2000 | | | | | | |
| 38 | INDIGENT CARE (B) | 5,158,840 | 5,342,181 | 5,502,446 | 5,360,829 | 5,667,520 | 5,411,724 |
| 39 | EDUCATIONAL EXCELLENCE INDIGENT CARE | 221,773 | 208,284 | 208,284 | 208,284 | 208,284 | 208,284 |
| 40 | MEDICAID MATCH | (37,598,885) | (37,500,000) | (38,625,000) | (38,625,000) | (39,783,750) | (39,783,750) |
| 41 | TOBACCO SETTLEMENT FUNDS | | | | | | |
| 42 | OTHER STATE FUNDS ** (C) | 4,115,811 | 3,199,959 | | | | |
| 43 | TOTAL SOURCES OF INCOME | $616,002,206 | $685,458,812 | $720,305,475 | $700,720,878 | $741,328,168 | $722,120,582 |

FORM 11-2A

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

(A) Includes revenue from Tuition and Fees, Hospital and Clinics, Indirect Cost Recovery, Investments and Miscellaneous

(B) 33.3% of UAMS Indigent Care appropriation goes to ACH, including EETF for IC.

(C) Poison Control and Disease Management, Collection Agency Fees, GIF Funds, Mixed Drink Revenue (Act 1274 of 2005).

893,586
6,600
48,928
949,114

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 21,126,308 | 27,909,288 | 28,746,567 | 29,608,964 |
| 2 | ALL OTHER FEES (TECHNOLOGY FEES) | 252,231 | 238,000 | 245,140 | 252,494 |
| 3 | HOSPITAL AND CLINIC REVENUE | 486,398,025 | 560,835,373 | 577,660,434 | 594,990,247 |
| 4 | INDIRECT COST RECOVERY | 17,326,735 | 16,263,422 | 16,751,325 | 17,253,864 |
| 5 | OFF-CAMPUS CREDIT | | | | |
| 6 | NON-CREDIT INSTRUCTION | | | | |
| 7 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | | | | |
| 8 | INVESTMENT INCOME | 13,168,914 | 323,470 | 333,174 | 343,169 |
| 9 | OTHER CASH INCOME: (A) | 2,006,444 | 798,792 | 822,756 | 847,438 |
| 10 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 540,278,657 | 606,368,345 | 624,559,395 | 643,296,177 |
| 11 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 12 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $540,278,657 | $606,368,345 | $624,559,395 | $643,296,177 |

FORM 11-3

(A) Includes traffic violations, vending machines, Dental Hygiene Clinic, CARTI lease and miscellaneous revenue

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CCA0000 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 429

UAMS State Appropriation

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMEN 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 84,605,893 | 84,191,125.00 | 91,134,624 | 82,990,422 | 86,183,536 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 8,939,591 | 10,884,088 | 14,222,233 | 8,813,142 | 9,152,234 | | |
| 5 | OPERATING EXPENSES | | | | | | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | M&R EXPENSES | 47,346 | 19,314 | | | | | |
| 10 | DATA PROCESSING | | | | | | | |
| 11 | FUNDED DEPRECIATION | 1,130,663 | 1,130,663 | 1,155,198 | 1,155,198 | 1,192,465 | | |
| 12 | TEXARKANA AHEC | 247,920 | 253,300 | 253,300 | 253,300 | 261,472 | | |
| 13 | POISON & DRUG INFO CENTER | 785,080 | 802,116 | 802,116 | 802,116 | 827,993 | | |
| 14 | ADDITIONAL AHEC SUPPORT | 2,282,173 | 2,331,696 | 2,331,696 | 2,331,696 | 2,406,918 | | |
| 15 | GRANTS/AID (ACH & Indigent Care) | 5,279,000 | 5,457,507 | 5,457,507 | 5,457,507 | 5,633,570 | | |
| 16 | TOTAL APPROPRIATION | $103,317,666 | $105,069,809 | $115,356,674 | $101,803,381 | $105,658,188 | $0 | $0 |
| 17 | PRIOR YEAR FUND BALANCE**, (A) | | 1,200,699 | | | | | |
| 18 | GENERAL REVENUE | 87,043,634 | 88,966,239 | | 85,524,020 | 89,287,932 | | |
| 19 | INDIGENT CARE APPROPRIATION | 5,158,840 | 5,342,181 | | 5,360,829 | 5,411,724 | | |
| 20 | EDUCATIONAL EXCEL TRUST FUND | 8,912,336 | 8,370,248 | | 8,370,248 | 8,370,248 | | |
| 21 | EDUC EXCEL TRUST - INDIGENT CARE | 221,773 | 208,284 | | 208,284 | 208,284 | | |
| 22 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 23 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 24 | MIXED DRINK REVENUE | 2,284,468 | 2,300,000 | | 2,340,000 | 2,380,000 | | |
| 25 | OTHER STATE TREASURY FUNDS**** | 897,314 | | | | | | |
| 26 | TOTAL INCOME | $104,518,365 | $106,387,651 | | $101,803,381 | $105,658,188 | $0 | $0 |
| 27 | EXCESS (FUNDING)/APPROPRIATION (A) | ($1,200,699) | ($1,317,842) | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

Line 15 includes $1,785,442 transfer to DHS

(A) Includes FY10 carryover of $1,182,969 for State Appropriation + $17,730 for Mixed Drink Tax Revenue

**** Other State Funds includes:

| | |
|---|---|
| General Improvement Funds (May 4, 2010 cuts) | 942,514 |
| M&R | 47,346 |
| Tuition Adjustment | 18,407 |
| Other Transfers Out | (110,953) |
| | 897,314 |

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: Operations-General Revenue

Act #: 287 Section(s) #: 6 & 32

Estimated Carry Forward $ 50,000.00 Funding Source: General

**Accounting Information:**

Business Area: 0150 Funds Center: 429 Fund: CCA Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

While most funds are expected to be spent by year end, some miscellaneous funds may remain. Carry forward is requested so that these funds may be available to support on going operations.

**Actual Funding Carry Forward Amount** $ 1,200,699.16

**Current status of carry forward funding:**

Carry forward is requested so that these funds may be available to support ongoing operations.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn
Chancellor

08-16-2010
Date

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CCA0000 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 59P

UAMS State Appropriation-Healthcare Initiative

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | AREA HEALTH EDUCATION CENTERS | 3,400,000 | 3,400,000 | 3,400,000 | 3,400,000 | 3,400,000 | | |
| 2 | ARKANSAS HEALTH DATA INITIATIVE | 700,000 | 700,000 | 700,000 | 700,000 | 700,000 | | |
| 3 | NORTHWEST ARKANSAS INITIATIVE | 3,000,000 | 3,000,000 | 3,000,000 | 4,000,000 | 4,000,000 | | |
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| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $7,100,000 | $7,100,000 | $7,100,000 | $8,100,000 | $8,100,000 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | 7,100,000 | 7,100,000 | | 8,100,000 | 8,100,000 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $7,100,000 | $7,100,000 | | $8,100,000 | $8,100,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: UAMS Healthcare Initiative

Act #: 287 Section(s) #: 18 & 32

Estimated Carry Forward $ 50,000.00 Funding Source: General

**Accounting Information:**

Business Area: 0150 Funds Center: 59P Fund: CCA Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

While most funds are expected to be spent by year end, some funds may remain. Carry forward is requested to provide flexibility and consistency in program operations.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn
Chancellor

08-26-2010
Date

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CCA0000 Colorectal Cancer | INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES | APPROPRIATION 59Q

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | COLORECTAL CANCER SCREEN & RSCH | | | 5,000,000 | 5,000,000 | 5,000,000 | | |
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| 11 | | | | | | | | |
| 12 | TOTAL APPROPRIATION | $0 | $0 | $5,000,000 | $5,000,000 | $5,000,000 | $0 | $0 |
| 13 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 14 | GENERAL REVENUE | | | | 5,000,000 | 5,000,000 | | |
| 15 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 16 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 17 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 18 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 19 | OTHER STATE TREASURY FUNDS | | | | 0 | 0 | | |
| 20 | TOTAL INCOME | $0 | $0 | | $5,000,000 | $5,000,000 | $0 | $0 |
| 21 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: UAMS-Colorectal Cancer

Act #: 287 Section(s) #: 20 & 32

Estimated Carry Forward $ 0.00 Funding Source: General

**Accounting Information:**

Business Area: 0150 Funds Center: 59Q Fund: CCA Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

All funds are expected to be spent by year end. No carry forward is anticipated.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn
Chancellor

08-26-2010
Date

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CCA0100 — Child Abuse and Neglect Programs
INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES
APPROPRIATION 38E — Medical Center Fund

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | CHILD ABUSE AND NEGLECT PROGRAMS | 2,555,632 | 1,190,586 | 5,000,000 | 5,000,000 | 5,000,000 | | |
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| 12 | TOTAL APPROPRIATION | $2,555,632 | $1,190,586 | $5,000,000 | $5,000,000 | $5,000,000 | $0 | $0 |
| 13 | PRIOR YEAR FUND BALANCE** | 1,393,053 | | | | | | |
| 14 | GENERAL REVENUE | 757,131 | 720,586 | | 723,102 | 729,967 | | |
| 15 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 16 | SPECIAL REVENUES * [Cigarette Tax] | 430,348 | 470,000 | | 4,276,898 | 4,270,033 | | |
| 17 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 18 | CIGARETTE TAX | | | | | | | |
| 19 | OTHER STATE TREASURY FUNDS**** | (24,900) | | | | | | |
| 20 | TOTAL INCOME | $2,555,632 | $1,190,586 | | $5,000,000 | $5,000,000 | $0 | $0 |
| 21 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

*** Other State Funds includes $31,500 transfer to Arkansas State Police and GIF of $6,600 released due to May 4, 2010 RSA cut

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: UAMS-CA/R/DV Commission-Child Abuse

Act #: 287 Section(s) #: 14 & 32

Estimated Carry Forward $ 200,000.00 Funding Source: General

**Accounting Information:**

Business Area: 0150 Funds Center: 38E Fund: CCA Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

Some funds may remain at year end. Carry forward is requested to provide flexibility and consistency in program operation.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn
Chancellor

08-26-2010
Date

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CCA0100 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 83C

Psychiatric Research Institute & Pediatrics - Trauma Programs

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | PSYCHIATRIC RESEARCH INSTITUTE EXPENSES FOR TRAINING, TREATMENT, & COMMUNITY PROVIDERS | | 800,000 | 800,000 | 800,000 | 800,000 | | |
| 2 | DEPARTMENT OF PEDIATRICS EXPENSES FOR TRAINING, TREATMENT & ADVOCATE EDUCATION | | 500,000 | 500,000 | 500,000 | 500,000 | | |
| 3 | DEPARTMENT OF PEDIATRICS EXPENSES FOR MED EXAMINATIONS, CONSULTATION, EDUCATION & TRAINING | | 200,000 | 200,000 | 200,000 | 200,000 | | |
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| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $0 | $1,500,000 | $1,500,000 | $1,500,000 | $1,500,000 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | | 1,500,000 | | 1,500,000 | 1,500,000 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $0 | $1,500,000 | | $1,500,000 | $1,500,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND HUA1501 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 464

Medical Loans & Scholarships

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | RURAL MEDICAL PRACTICE LOANS/SCHOLARSHIPS | 200,000 | 200,000 | 300,000 | 300,000 | 300,000 | | |
| 2 | COMMUNITY MATCH STUDENT LOANS/SCHOLARSHIPS | 125,076 | 125,076 | 150,000 | 150,000 | 150,000 | | |
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| 12 | | | | | | | | |
| 13 | TOTAL APPROPRIATION | $325,076 | $325,076 | $450,000 | $450,000 | $450,000 | $0 | $0 |
| 14 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 15 | GENERAL REVENUE | | | | | | | |
| 16 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 17 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 18 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 19 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 20 | OTHER STATE TREASURY FUNDS | 325,076 | 325,076 | | 450,000 | 450,000 | | |
| 21 | TOTAL INCOME | $325,076 | $325,076 | | $450,000 | $450,000 | $0 | $0 |
| 22 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: Rural Medical Practice

Act #: 287 Section(s) #: 9 & 32

Estimated Carry Forward $ 0.00 Funding Source: Miscellaneous Agencies

**Accounting Information:**

Business Area: 0150 Funds Center: 464 Fund: HUA Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

All funds provided are expected to be spent by year end. No carry forward is anticipated.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn
Chancellor

08-26-2010
Date

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND HUA1502 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 461

Nursing Loans and Scholarships

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | ADVANCED NURSING PRACTICE COMMUNITY MATCH STUDENT LOANS/SCHOLARSHIPS | 100,000 | 100,000 | 150,000 | 150,000 | 150,000 | | |
| 2 | RURAL ADVANCED NURSING PRACTICE STUDENT LOAN/SCHOLARSHIPS | 100,000 | 100,000 | 150,000 | 150,000 | 150,000 | | |
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| 12 | | | | | | | | |
| 13 | TOTAL APPROPRIATION | $200,000 | $200,000 | $300,000 | $300,000 | $300,000 | $0 | $0 |
| 14 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 15 | GENERAL REVENUE | | | | | | | |
| 16 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 17 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 18 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 19 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 20 | OTHER STATE TREASURY FUNDS | 200,000 | 200,000 | | 300,000 | 300,000 | | |
| 21 | TOTAL INCOME | $200,000 | $200,000 | | $300,000 | $300,000 | $0 | $0 |
| 22 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: Rural Advanced Nursing

Act #: 287 Section(s) #: 8 & 32

Estimated Carry Forward $ 0.00 Funding Source: Miscellaneous Agencies

**Accounting Information:**

Business Area: 0150 Funds Center: 461 Fund: HUA Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

All funds provided are expected to be spent by year end. No carry forward is anticipated.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn
Chancellor

08-26-2010
Date

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND HUA1503 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 1UV

Poison and Drug Information Center and Disease Management

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | ADDITIONAL SUPPORT FOR THE ARKANSAS POISON & DRUG INFORMATION CENTER | 139,959 | 139,959 | 139,959 | 139,959 | 139,959 | | |
| 2 | SUPPORT FOR DISEASE STATE MANAGEMENT | 160,000 | 160,000 | 160,000 | 160,000 | 160,000 | | |
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| 12 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $299,959 | $299,959 | $299,959 | $299,959 | $299,959 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 16 | GENERAL REVENUE | | | | | | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 299,959 | 299,959 | | 299,959 | 299,959 | | |
| 22 | TOTAL INCOME | $299,959 | $299,959 | | $299,959 | $299,959 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: Poison & Drug Information Center & Disease Management

Act #: 287 Section(s) #: 11, 17 & 32

Estimated Carry Forward $ 0.00 Funding Source: Miscellaneous Agencies

**Accounting Information:**

Business Area: 0150 Funds Center: 1UV Fund: HUA Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

All funds provided have been spent. No carry forward is necessary.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn
Chancellor

08-26-2010
Date

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND HUA1503 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 1UV

Poison and Drug Information Center

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | POISON & DRUG INFO CNTR OPERATION | | | 400,000 | 400,000 | 400,000 | | |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
| 5 | | | | | | | | |
| 6 | | | | | | | | |
| 7 | | | | | | | | |
| 8 | | | | | | | | |
| 9 | | | | | | | | |
| 10 | | | | | | | | |
| 11 | | | | | | | | |
| 12 | TOTAL APPROPRIATION | $0 | $0 | $400,000 | $400,000 | $400,000 | $0 | $0 |
| 13 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 14 | GENERAL REVENUE | | | | | | | |
| 15 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 16 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 17 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 18 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 19 | OTHER STATE TREASURY FUNDS | | | | 400,000 | 400,000 | | |
| 20 | TOTAL INCOME | $0 | $0 | | $400,000 | $400,000 | $0 | $0 |
| 21 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND MBR0100 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 231

Breast Cancer Research

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | BREAST CANCER RESEARCH PRG EXP | 956,774 | 1,194,216 | 1,194,216 | 1,194,216 | 1,194,216 | | |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
| 5 | | | | | | | | |
| 6 | | | | | | | | |
| 7 | | | | | | | | |
| 8 | | | | | | | | |
| 9 | | | | | | | | |
| 10 | | | | | | | | |
| 11 | | | | | | | | |
| 12 | TOTAL APPROPRIATION | $956,774 | $1,194,216 | $1,194,216 | $1,194,216 | $1,194,216 | $0 | $0 |
| 13 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 14 | GENERAL REVENUE | | | | | | | |
| 15 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 16 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 17 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 18 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 19 | OTHER STATE TREASURY FUNDS*** | 956,774 | 1,194,216 | | 1,194,216 | 1,194,216 | | |
| 20 | TOTAL INCOME | $956,774 | $1,194,216 | | $1,194,216 | $1,194,216 | $0 | $0 |
| 21 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

***Breast Cancer Research Fund

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND MBR0200 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 231

Breast Cancer Research - Komen

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | BREAST CANCER RESEARCH - KOMEN | 148,639 | 500,000 | 500,000 | 500,000 | 500,000 | | |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
| 5 | | | | | | | | |
| 6 | | | | | | | | |
| 7 | | | | | | | | |
| 8 | | | | | | | | |
| 9 | | | | | | | | |
| 10 | | | | | | | | |
| 11 | | | | | | | | |
| 12 | TOTAL APPROPRIATION | $148,639 | $500,000 | $500,000 | $500,000 | $500,000 | $0 | $0 |
| 13 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 14 | GENERAL REVENUE | | | | | | | |
| 15 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 16 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 17 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 18 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 19 | OTHER STATE TREASURY FUNDS*** | 148,639 | 500,000 | | 500,000 | 500,000 | | |
| 20 | TOTAL INCOME | $148,639 | $500,000 | | $500,000 | $500,000 | $0 | $0 |
| 21 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

***Breast Cancer Research Fund

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND MNU0000 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 58U

Newborn Umbilical Cord Blood Initiative

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | NEWBORN UMBILICAL CORD BLOOD | | 546,000 | 546,000 | 546,000 | 546,000 | | |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
| 5 | | | | | | | | |
| 6 | | | | | | | | |
| 7 | | | | | | | | |
| 8 | | | | | | | | |
| 9 | | | | | | | | |
| 10 | | | | | | | | |
| 11 | | | | | | | | |
| 12 | TOTAL APPROPRIATION | $0 | $546,000 | $546,000 | $546,000 | $546,000 | $0 | $0 |
| 13 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 14 | GENERAL REVENUE | | | | | | | |
| 15 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 16 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 17 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 18 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 19 | OTHER STATE TREASURY FUNDS*** | | 546,000 | | 546,000 | 546,000 | | |
| 20 | TOTAL INCOME | $0 | $546,000 | | $546,000 | $546,000 | $0 | $0 |
| 21 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

***Breast Cancer Research Fund

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND SML0000 — Domestic Violence Shelter Programs

INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

APPROPRIATION 1PQ — Domestic Peace Fund

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | | | | | | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | | | | | | | |
| 5 | OPERATING EXPENSES | | | | | | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | DOMESTIC VIOLENCE SHELTER PROGRA | 920,936 | 7,100,000 | 7,100,000 | 7,100,000 | 7,100,000 | | |
| 12 | TOTAL APPROPRIATION | $920,936 | $7,100,000 | $7,100,000 | $7,100,000 | $7,100,000 | $0 | $0 |
| 13 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 14 | GENERAL REVENUE | | | | | | | |
| 15 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 16 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 17 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 18 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 19 | BAIL BONDS FUNDS | 575,041 | 600,000 | | | | | |
| 20 | OTHER STATE TREASURY FUNDS*** | 345,895 | 6,500,000 | | 7,100,000 | 7,100,000 | | |
| 21 | TOTAL INCOME | $920,936 | $7,100,000 | | $7,100,000 | $7,100,000 | $0 | $0 |
| 22 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

*** Marriage License Revenue - Domestic Peace Fund

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND TSE0201 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 322

Tobacco Funding - Institute on Aging

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 1,129,036 | 960,000 | 1,292,959 | 1,292,959 | 1,292,959 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 276,765 | 200,000 | 316,765 | 316,765 | 316,765 | | |
| 5 | OPERATING EXPENSES | 565,343 | 396,200 | 603,713 | 603,713 | 603,713 | | |
| 6 | CONFERENCE FEES & TRAVEL | 20,000 | 8,000 | 52,128 | 52,128 | 52,128 | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | 55,231 | 55,231 | 55,231 | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | TOTAL APPROPRIATION | $1,991,144 | $1,564,200 | $2,320,796 | $2,320,796 | $2,320,796 | $0 | $0 |
| 12 | PRIOR YEAR FUND BALANCE** | | 60,744 | | | | | |
| 13 | GENERAL REVENUE | | | | | | | |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 15 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 16 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 17 | TOBACCO SETTLEMENT FUNDS | 2,053,135 | 1,564,200 | | 2,320,796 | 2,320,796 | | |
| 18 | OTHER STATE TREASURY FUNDS*** | (1,247) | | | | | | |
| 19 | TOTAL INCOME | $2,051,888 | $1,624,944 | | $2,320,796 | $2,320,796 | $0 | $0 |
| 20 | EXCESS (FUNDING)/APPROPRIATION | ($60,744) | ($60,744) | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

***Other Transfers Out

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: UAMS-Donald W Reynolds Center

Act #: 254 Section(s) #: 2 & 6

Estimated Carry Forward $ 75,000.00 Funding Source: Tobacco Settlement

**Accounting Information:**

Business Area: 0150 Funds Center: 322 Fund: TSE Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

Some funds may remain at year end. Carry forward is requested to provide flexibility and consistency in program operation.

**Actual Funding Carry Forward Amount** $ 60,744.38

**Current status of carry forward funding:**

Carry forward is requested to provide flexibility and consistency in program operation.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn — Chancellor

08-10-2010 — Date

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND TSE0202 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 347

Tobacco Funding - College of Public Health

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 2,454,779 | 1,880,000 | 2,561,276 | 2,561,276 | 2,561,276 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 519,620 | 396,300 | 564,670 | 564,670 | 564,670 | | |
| 5 | OPERATING EXPENSES | 95,782 | 50,000 | 50,000 | 50,000 | 50,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 7,200 | 20,000 | 20,000 | 20,000 | 20,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | TOTAL APPROPRIATION | $3,077,381 | $2,346,300 | $3,195,946 | $3,195,946 | $3,195,946 | $0 | $0 |
| 12 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 13 | GENERAL REVENUE | | | | | | | |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 15 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 16 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 17 | TOBACCO SETTLEMENT FUNDS | 3,079,703 | 2,346,300 | | 3,195,946 | 3,195,946 | | |
| 18 | OTHER STATE TREASURY FUNDS | (2,322) | | | | | | |
| 19 | TOTAL INCOME | $3,077,381 | $2,346,300 | | $3,195,946 | $3,195,946 | $0 | $0 |
| 20 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

***Other Transfers Out

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: UAMS-School of Public Health

Act #: 254 Section(s) #: 3 & 6

Estimated Carry Forward $ 50,000.00 Funding Source: Tobacco Settlement

**Accounting Information:**

Business Area: 0150 Funds Center: 347 Fund: TSE Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

Some funds may remain at year end. Carry forward is requested to provide flexibility and consistency in program operation.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn — Chancellor

08-26-2010 — Date

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND TSE0203 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 368

Tobacco Funding - Delta AHEC

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | LEGISLATIVE RECOMMENDATION 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 1,097,890 | 960,000 | 1,292,959 | 1,292,959 | 1,292,959 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 276,765 | 200,000 | 316,765 | 316,765 | 316,765 | | |
| 5 | OPERATING EXPENSES | 493,315 | 396,200 | 603,713 | 603,713 | 603,713 | | |
| 6 | CONFERENCE FEES & TRAVEL | | 8,000 | 52,128 | 52,128 | 52,128 | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | 55,231 | 55,231 | 55,231 | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | TOTAL APPROPRIATION | $1,867,970 | $1,564,200 | $2,320,796 | $2,320,796 | $2,320,796 | $0 | $0 |
| 12 | PRIOR YEAR FUND BALANCE** | | 183,836 | | | | | |
| 13 | GENERAL REVENUE | | | | | | | |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 15 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 16 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 17 | TOBACCO SETTLEMENT FUNDS | 2,053,135 | 1,564,200 | | 2,320,796 | 2,320,796 | | |
| 18 | OTHER STATE TREASURY FUNDS | (1,329) | | | | | | |
| 19 | TOTAL INCOME | $2,051,806 | $1,748,036 | | $2,320,796 | $2,320,796 | $0 | $0 |
| 20 | EXCESS (FUNDING)/APPROPRIATION | ($183,836) | ($183,836) | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

***Other Transfers Out

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: UAMS-Area Health Education Center

Act #: 254 Section(s) #: 5 & 6

Estimated Carry Forward $ 100,000.00 Funding Source: Tobacco Settlement

**Accounting Information:**

Business Area: 0150 Funds Center: 368 Fund: TSE Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

Some funds may remain at year end. Carry forward is requested to provide flexibility and consistency in program operation.

**Actual Funding Carry Forward Amount** $ 183,836.19

**Current status of carry forward funding:**

Carry forward is requested to provide flexibility and consistency in program operation.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn
Chancellor

08-10-2010
Date

# APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND TSF0300 INSTITUTION UNVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 365

Tobacco Funding - Arkansas Biosciences

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 1,406,726 | 1,200,000 | 1,407,267 | 1,407,267 | 1,407,267 | | |
| 2 | EXTRA HELP WAGES | | | | | | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 320,000 | 264,000 | 337,875 | 337,875 | 337,875 | | |
| 5 | OPERATING EXPENSES | 811,109 | 467,992 | 1,042,499 | 1,042,499 | 1,042,499 | | |
| 6 | CONFERENCE FEES & TRAVEL | 23,960 | 20,000 | 23,960 | 23,960 | 23,960 | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | 10,200 | 10,000 | 37,940 | 37,940 | 37,940 | | |
| 8 | CAPITAL OUTLAY | 1,051,765 | 800,000 | 1,434,680 | 1,434,680 | 1,434,680 | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | | | | | | | |
| 11 | ARKANSAS CHILDREN'S HOSPITAL | 1,812,624 | 1,380,996 | 1,896,736 | 1,896,736 | 1,896,736 | | |
| 12 | TOTAL APPROPRIATION | $5,436,384 | $4,142,988 | $6,180,957 | $6,180,957 | $6,180,957 | $0 | $0 |
| 13 | PRIOR YEAR FUND BALANCE** | | | | | | | |
| 14 | GENERAL REVENUE | | | | | | | |
| 15 | EDUCATIONAL EXCELLENCE TRUST FUND | | | | | | | |
| 16 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 17 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 18 | TOBACCO SETTLEMENT FUNDS | 5,437,871 | 4,142,988 | | 6,180,957 | 6,180,957 | | |
| 19 | OTHER STATE TREASURY FUNDS*** | (1,487) | | | | | | |
| 20 | TOTAL INCOME | $5,436,384 | $4,142,988 | | $6,180,957 | $6,180,957 | $0 | $0 |
| 21 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues".

FORM 11-4

**Line 15 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Line 11 is a transfer of funds to Arkansas Children's Hospital - appropriation was not used.

***Other Transfers Out

# CARRY FORWARD OF ANY REMAINING FUND BALANCES FROM FISCAL YEAR 2010 TO FISCAL YEAR 2011

Agency: University of Arkansas at Medical Sciences Campus

Program: UAMS-AR Biosciences Institute

Act #: 254 Section(s) #: 4 & 6

Estimated Carry Forward $ 350,000.00 Funding Source: Tobacco Settlement

**Accounting Information:**

Business Area: 0150 Funds Center: 365 Fund: TSF Functional Area: UNIV

Current law requires a written statement be submitted to the DFA Office of Budget stating the reason(s) to carry forward funding for a program or a specific line item within a program remaining on June 30th of a fiscal year.

**Justification for carry forward of fund balance:**

Some funds may remain at year end. Carry forward is requested to provide flexibility and consistency in program operation.

**Actual Funding Carry Forward Amount** $ 0.00

**Current status of carry forward funding:**

All funds were expended by year end.

**Note from DFA – Office of Budget: Funds remaining at the end of any fiscal year from this fund must, by law, remain in the fund regardless of the future status of any project, contract or purpose. The Special Language that requires this report is no longer necessary.**

Dr. Daniel W. Rahn — Chancellor

08-26-2010 — Date

# APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2040000 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION A85

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 490,236,949 | 805,200,000 | 805,200,000 | 805,200,000 | 805,200,000 | | |
| 2 | EXTRA HELP WAGES | 550,716 | 25,000,000 | 25,000,000 | 25,000,000 | 25,000,000 | | |
| 3 | OVERTIME | 6,270,063 | 20,000,000 | 20,000,000 | 20,000,000 | 20,000,000 | | |
| 4 | PERSONAL SERVICES MATCHING | 114,158,181 | 201,262,000 | 201,262,000 | 201,262,000 | 201,262,000 | | |
| 5 | OPERATING EXPENSES | 279,575,764 | 513,643,000 | 513,643,000 | 513,643,000 | 513,643,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 3,053,664 | 20,000,000 | 20,000,000 | 20,000,000 | 20,000,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 8,679,074 | 45,000,000 | 45,000,000 | 45,000,000 | 45,000,000 | | |
| 8 | DATA PROCESSING | | | | | | | |
| 9 | CAPITAL OUTLAY | 46,099,226 | 85,000,000 | 85,000,000 | 85,000,000 | 85,000,000 | | |
| 10 | CAPITAL IMPROVEMENTS | | 110,000,000 | 110,000,000 | 110,000,000 | 110,000,000 | | |
| 11 | DEBT SERVICE | 4,925 | 30,000,000 | 30,000,000 | 30,000,000 | 30,000,000 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | | 40,000,000 | 40,000,000 | 40,000,000 | 40,000,000 | | |
| 13 | CHILDREN'T JUSTICE ACT | 250,000 | 250,000 | 250,000 | 250,000 | 250,000 | | |
| 14 | WAR MEMORIAL PARKING FEES | 50,000 | 50,000 | 50,000 | 50,000 | 50,000 | | |
| 15 | GRANTS/AID | | 10,000,000 | 10,000,000 | 10,000,000 | 10,000,000 | | |
| 16 | | | | | | | | |
| 17 | TOTAL APPROPRIATION | $948,928,562 | $1,905,405,000 | $1,905,405,000 | $1,905,405,000 | $1,905,405,000 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 856,893,906 | 1,605,405,000 | | 1,605,405,000 | 1,605,405,000 | | |
| 20 | FEDERAL CASH FUNDS | 92,034,656 | 300,000,000 | | 300,000,000 | 300,000,000 | | |
| 21 | OTHER CASH FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $948,928,562 | $1,905,405,000 | | $1,905,405,000 | $1,905,405,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 9,230 | 9,631 | 11,904 | 11,904 | 11,904 | |
| TOBACCO POSITIONS | 51 | 45 | 113 | 113 | 113 | |
| EXTRA HELP ** | 1,565 | 1,565 | 1,621 | 1,565 | 1,565 | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

# APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2040000 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION A85

Pharmacy Student Loans

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | PHARMACY STUDENT LOANS | 0 | 550,000 | 550,000 | 550,000 | 550,000 | | |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
| 5 | | | | | | | | |
| 6 | | | | | | | | |
| 7 | | | | | | | | |
| 8 | | | | | | | | |
| 9 | | | | | | | | |
| 10 | | | | | | | | |
| 11 | | | | | | | | |
| 12 | | | | | | | | |
| 13 | | | | | | | | |
| 14 | | | | | | | | |
| 15 | TOTAL APPROPRIATION | $0 | $550,000 | $550,000 | $550,000 | $550,000 | $0 | $0 |
| 16 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 17 | LOCAL CASH FUNDS | 0 | 550,000 | | 550,000 | 550,000 | | |
| 18 | FEDERAL CASH FUNDS | | | | | | | |
| 19 | OTHER CASH FUNDS | | | | | | | |
| 20 | TOTAL INCOME | $0 | $550,000 | | $550,000 | $550,000 | $0 | $0 |
| 21 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | | | | | | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | | | | | | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | | | | $0 | | | | $0 |
| 2 RESIDENCE HALL | 1,118,141 | 426,857 | 732,890 | (41,606) | 1,707,806 | 974,916 | 732,890 | 0 |
| 3 MARRIED STUDENT HOUSING | | | | 0 | | | | 0 |
| 4 FACULTY HOUSING | | | | 0 | | | | 0 |
| 5 FOOD SERVICES | | | | 0 | 11,000 | 11,000 | | 0 |
| 6 COLLEGE UNION | | | | 0 | | | | 0 |
| 7 BOOKSTORE | 945,521 | 939,778 | | 5,743 | 1,093,314 | 1,093,314 | | 0 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | 127,585 | 62,647 | | 64,938 | 126,000 | 75,000 | | 51,000 |
| 9 STUDENT HEALTH SERVICES | 27,750 | 26,807 | | 943 | 27,900 | 27,900 | | 0 |
| 10 OTHER (A) | 3,836,476 | 2,135,038 | 1,684,572 | 16,866 | 4,352,573 | 2,573,863 | 1,778,710 | 0 |
| 11 OTHER (B) | 336,847,755 | 315,817,702 | | 21,030,053 | 404,236,898 | 404,236,898 | | |
| 12 SUBTOTAL | $342,903,228 | $319,408,829 | $2,417,462 | $21,076,937 | $411,555,491 | $408,992,891 | $2,511,600 | $51,000 |
| 13 ATHLETIC TRANSFER ** | | | | 0 | | | | 0 |
| 14 OTHER TRANSFERS *** | | | | 0 | | | | 0 |
| 15 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | $342,903,228 | $319,408,829 | $2,417,462 | $21,076,937 | $411,555,491 | $408,992,891 | $2,511,600 | $51,000 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

(A) This amount includes Parking, Valet Parking and Rental Properties

(B) Includes Professional Services, Contractual Services, Budgeted Research and Continuing Education Funds

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: 9,502
(As of November 1, 2009 )

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 453 | Black Male: | 54 | Other Male: | 21 | Total | Male: | 528 |
| White Female: | 1037 | Black Female: | 255 | Other Female: | 58 | Total | Female: | 1,350 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | 435 | Black Male: | 155 | Other Male: | 17 | Total | Male: | 607 |
| White Female: | 2233 | Black Female: | 929 | Other Female: | 131 | Total | Female: | 3,293 |
| Classified Employees: | | | | | | | | |
| White Male: | 228 | Black Male: | 171 | Other Male: | 16 | Total | Male: | 415 |
| White Female: | 709 | Black Female: | 585 | Other Female: | 60 | Total | Female: | 1,354 |
| Faculty: | | | | | | | | |
| White Male: | 718 | Black Male: | 20 | Other Male: | 198 | Total | Male: | 936 |
| White Female: | 787 | Black Female: | 73 | Other Female: | 159 | Total | Female: | 1,019 |
| Total White Male: | 1,834 | Total Black Male: | 400 | Total Other Male: | 252 | Total | Male: | 2,486 |
| Total White Female: | 4,766 | Total Black Female: | 1,842 | Total Other Female: | 408 | Total | Female: | 7,016 |
| Total White: | 6,600 | Total Black: | 2,242 | Total Other: | 660 | Total | Employees: | 9,502 |
| | | | | **Total Minority:** | 2,902 | | | |

FORM 11-8

## FINDINGS COVERING PROGRAMS AUDITED BY OTHER EXTERNAL AUDITORS
## FINDINGS COVERING MORE THAN ONE FEDERAL AGENCY

| | |
|---|---|
| **Finding Number:** | **09-150-01** |
| **State/Educational Agency:** | **University of Arkansas for Medical Sciences** |
| **CFDA Number(s) and Program Title(s):** | **84.032 - Federal Family Education Loans**<br>**84.038 - Federal Perkins Loan Program Federal Capital Contributions**<br>**84.063 - Federal Pell Grant Program**<br>**93.342 - Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students**<br>**93.364 - Nursing Student Loans (Student Financial Assistance Cluster)** |
| **Federal Award Number(s):** | **N/A** |
| **Federal Award Year(s):** | **July 1, 2008 through June 30, 2009** |
| **Compliance Requirement(s) Affected:** | **Special Tests and Provisions - Disbursement To or On Behalf of Students** |
| **Type of Finding:** | **Noncompliance and Significant Deficiency** |

**Criteria:**

The earliest and institution may disburse SFA funds (other than FWS) (either by paying the student directly or crediting the student's account) is 10 days before the first day of classes of the payment period for which the disbursement is intended. There are two exceptions to this rule. First, institutions may not disburse or deliver the first installment of FFEL or Direct Loans to first year undergraduates who are first time borrowers until 30 days after the student's first day of classes, unless the institution has low default rates (less than 10%). The second exception applies to a student who is enrolled in a clock hour educational program or a credit hour program that is not offered in standard academic terms. The earliest the institution may disburse funds is the later of 10 days before the first day of classes for the payment period or, except for certain circumstances under the FFEL and Direct Loan programs, the day the student completed the previous payment period (34 CFR Section 668.164).

Loan funds provided by electronic fund transfer or master check may not be requested earlier than 13 days before the first day of classes for any subsequent payment period for a first-year, first-time Stafford Loan borrower or for any payment period for all other FFEL borrowers (34 CFR Section 668.167).

Loan funds must be disbursed within 3 business days of receipt if the lender provided the funds by EFT or master check or 30 days if the lender provided the funds by check payable to the borrower or copayable to the borrower and the institution (34 CFR Sections 668.162, 668.164, 668.167(b), 682.603, and 682.604(d)).

**Condition:**
Of the 40 students tested, we noted ten instances where financial aid funds were posted to students' accounts more than 10 days prior to the first day of class. The ten exceptions represent eight students. Of the exceptions, five were for Stafford loans and five were for PELL. Of the eight students, two were enrolled in the College of Medicine and six were enrolled in the College of Nursing.

**Questioned Costs:**
None

**Cause:**
The exceptions noted for the students in the College of Medicine, the term affected was Fall 2008. During the prior year audit, it was discovered that the Director Financial Aid for COM was using the date of registration instead of the first day of class to calculate the 10 day rule. After the audit, the Director of Financial Aid for COM revised her disbursement procedures to ensure funds were not applied to student accounts before 10 days prior to the first day of class. In our testing we noted that the Spring disbursements for COM students were all within 10 days.
For non-College of Medicine, we were unable to obtain an explanation for the CON students who received disbursements before 10 days prior to the first day of class.

**Effect:**
The Department of Education has the right to withdraw funding when there is reason to believe through periodic monitoring or review that the University is not in compliance with the requirements established.

**Recommendation:**
We recommend the Director of Student Financial Services implement procedures within the Financial Aid Office to ensure disbursements to students' accounts do not occur before 10 days prior to the first day of class for each semester.

**Agency Response:**
The Director of Financial Aid for the College of Medicine has revised the disbursement procedures as of December 2008 to ensure funds are not applied to the student's accounts before 10 days prior to the 1st day of class. Pell awards were posted to the College of Nursing students' accounts 10 days prior to the 1st day of class but funds were not received nor disbursed to the students 10 days prior to the 1st day of class. A calendar is on the H Drive for SFS Staff to view and verify disbursement dates. The Student Financial Services Director is also working with IT to run Pell awards in OASIS in batch format. The batch file would be checked and verified by SFS Staff prior to releasing to IT to ensure correct amounts and posting dates.

| | |
|---|---|
| **Finding Number:** | **09-150-02** |
| **State/Educational Agency:** | **University of Arkansas for Medical Sciences** |
| **CFDA Number(s) and Program Title(s):** | **84.007 - Federal Supplemental Educational Opportunity Grants**<br>**84.032 - Federal Family Education Loans**<br>**84.033 - Federal Work-Study Program**<br>**84.038 - Federal Perkins Loan Program Federal Capital Contributions**<br>**84.063 - Federal Pell Grant Program**<br>**93.342 - Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students**<br>**93.364 - Nursing Student Loans (Student Financial Assistance Cluster)** |
| **Federal Award Number(s):** | **N/A** |
| **Federal Award Year(s):** | **July 1, 2008 through June 30, 2009** |
| **Compliance Requirement(s) Affected:** | **Special Tests and Provisions - Return of Title IV Funds** |
| **Type of Finding:** | **Noncompliance and Significant Deficiency** |

**Criteria:**

For students who do not enroll: If (1) a student does not register for the period of enrollment for which the loan was made; (2) a registered student withdraws or is expelled prior to the first day of classes; or (3) if the institution does not disburse FFEL loan proceeds to a student or parent in accordance with the time frames required in 34 CFR Section 668.167(b), the institution must return the funds to the lender within 10 business days after the date the funds were required to be disbursed.

For students who withdraw during a semester: Returns of Title IV funds are required to be deposited or transferred into the SFA account or electronic fund transfers initiated to ED or the appropriate FFEL lender as soon as possible, but no later than 45 days after the date the institution determines that the student withdrew (34 CFR Section 668.22). Returns by check are late if the check is issued more than 45 days after the institution determined the student withdrew or the date on the canceled check shows the check was endorsed more than 60 days after the date the institution determined that the student withdrew (34 CFR Section 668.173(b)).

**Condition:**

During our testing of the 10 business day rule for return of Title IV funds we noted funds for one College of Nursing student who enrolled less than half time for the Fall semester; therefore, becoming ineligible to receive Title IV funds, were returned 20 business days after the receipt of the funds (10 days non-compliance).

During our testing of the 45 day rule for return of Title IV funds, we noted two instances where funds were not returned to the lender within the required 45 day time period. The two students were both enrolled in the College of Medicine. For one student, funds were returned 222 days after the student withdrew (180 days non-compliance) and for the other student funds were returned 73 days after the student was dismissed (28 days non-compliance).

**Questioned Costs:**
Known questioned cost is calculated as $72.55. The calculation was based on the average interest rate for each quarter. We applied the average interest rate to the total number of days in noncompliance for each student and the amount that was returned. We then annualized the amount over 365 days.

**Cause:**
Per discussions with the Director of Financial Aid for the College of Medicine, the two College of Medicine exceptions were overlooked during the Fall semester as the Director took on additional duties due to the uncertain lending market at that time. Since then, additional staff has been hired to assist the Director.
The exception noted for the College of Nursing student was processed under the prior Student Financial Aid Director before changes in controls were implemented to ensure funds were returned timely.

**Effect:**
The U.S. Department of Education has the right to withdraw funding when there is reason to believe through periodic monitoring or review that the University is not in compliance with the requirements established.

**Recommendation:**
We recommend the Director of Financial Services and the Director of Financial Aid for the College of Medicine develops written policies on processes to ensure Title IV funds are returned within the required time periods.

**Agency Response:**
Time frames were identified and reviewed by management to secure the proper award/disbursement dates. A calendar was placed on the common H drive for all staff to access the award/disbursement dates. All registrars were notified of current compliance regulations regarding student enrollment and withdrawal status. Emphasis was placed on the compliance timing issues and verified by establishing spreadsheets and reviewing sign off procedures. These controls were established when the University restructured the Student Financial Aid Office in November 2008. The Student Financial Services finding for the College of Nursing student occurred during the Fall Semester prior to the implementation of new controls and procedures. The College of Medicine Director of Financial Aid has reviewed and updated procedures and processes to more closely track enrollment changes. In addition these changes are recorded in a spreadsheet accessible by all staff within the Financial Aid office to ensure funds are returned within the required time frame.

| | |
|---|---|
| **Finding Number:** | **09-150-03** |
| **State/Educational Agency:** | **University of Arkansas for Medical Sciences** |
| **CFDA Number(s) and Program Title(s):** | **84.007 - Federal Supplemental Educational Opportunity Grants**<br>**84.032 - Federal Family Education Loans**<br>**84.038 - Federal Perkins Loan Program Federal Capital Contributions**<br>**84.063 - Federal Pell Grant Program**<br>**93.342 - Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (Student Financial Assistance Cluster)** |
| **Federal Award Number(s):** | **N/A** |
| **Federal Award Year(s):** | **July 1, 2008 through June 30, 2009** |
| **Compliance Requirement(s) Affected:** | **Verification** |
| **Type of Finding:** | **Noncompliance and Significant Deficiency** |

**Criteria:**
The 2008-09 Verification Worksheet requires a student selected for verification to complete and sign the worksheet and submit the completed worksheet and other required forms to the financial aid administrator.
Loan funds for students selected for verification may not be disbursed to the student until verification has been completed. (34 CFR 668.58)

**Condition:**
During our testing of Verification Compliance, we noted for one College of Nursing student, the student completed the verification worksheet; however, the back side of the worksheet, which includes the student's signature, was not scanned into the electronic student file and the paper file was destroyed. Because of this, we were unable to verify that the student had signed the verification worksheet.
Of the students selected for testing, three of the 30 were College of Medicine students. During our review of the COM students' files, we found that in all three cases loan funds were disbursed to the students' accounts before the verification process was complete.

**Questioned Costs:**
None

**Cause:**
For the non-COM Student Financial Aid Office, the backside of the form was overlooked and not scanned.
The verification completed date used for testing is the date the Financial Aid Officer signs or initials the completed verification worksheet. Because the director of Student Financial Aid for COM does not sign and date the verification worksheet, the date utilized for testing was the date per the notification letters to the students indicating their verification process was complete.

**Deficiency Effect:**
The U.S. Department of Education has the right to withdrawal of funding when there is reason to believe through periodic monitoring or review that the University is not in compliance with the requirements established.

**Recommendation:**
We recommend the Director of Student Financial Services implement a review process to ensure student files scanned in electronic format include all information that is maintained in the paper files. We recommend the Student Financial Aid office maintain paper files of the year under audit until the audit has been completed and issued.
We also recommend the Director of Student Financial Aid for COM students initial and date the completed verification worksheets for each student selected for verification and ensure aid funds are not disbursed to students before the verification process is complete.

**Agency Response:**
The Student Financial Services Office Director contacted the College of Nursing student and the student furnished a copy of the signed back page of the verification worksheet. A random sample of scanned files was checked prior to shredding. The sample size of scanned files checked will be increased in the future prior to shredding. The College of Medicine Director of Financial Aid will send a letter to the student confirming completion of verification prior to posting any loan disbursements in OASIS. This will ensure sufficient documentation prior to release of funds.

| | |
|---|---|
| **Finding Number:** | **09-150-04** |
| **State/Educational Agency:** | **University of Arkansas for Medical Sciences** |
| **CFDA Number(s) and Program Title(s):** | **12.XXX - Other Department of Defense Research**<br>**93.393 - Cancer Cause and Prevention Research**<br>**93.847 - Diabetes, Digestive, and Kidney Disease Extramural Research**<br>**93.848 - Digestive Diseases and Nutrition Research (Research and Development Cluster)** |
| **Federal Award Number(s):** | **5R37DK036823-25; 5R21DK071024-02; 5U01 ca114607-04; HU0001-07-1-0009** |
| **Federal Award Year(s):** | **Various** |
| **Compliance Requirement(s) Affected:** | **Allowable Costs/Cost Principles** |
| **Type of Finding:** | **Noncompliance and Significant Deficiency** |

**Criteria:**
Direct costs charged to a grant must be actual costs, incurred during the grant year and supported by appropriate documentation. F&A costs should not be charged on equipment purchases. Administrative costs should not be charged directly to a grand unless a grant is classified as —major.

**Condition:**
During our testing of the Research and Development (R&D) Cluster, we noted that various nonallowable costs were charged to R&D grants. Below are nonallowable costs that were noted:

☐ During our testing of adjustments, we noted a reclassification of molecular modeling and analysis fees to an R&D grant from a cost center totaling $24,700. No supporting documentation was provided.

☐ During our testing of adjustments, we noted a reclassification of cell phone charges to an R&D grant for three months of service. The related individuals identified as the users of the cell phones had varying percentages of effort charged to that grant. A portion of these costs were deemed nonallowable.

☐ During our testing of adjustments, we noted that an expense of $149 was posted for office supplies. The grant identified was not a major grant and therefore should not have administrative costs charged to it.

☐ During our testing of expenditures, we noted that a piece of equipment was purchased but classified as research supplies. This resulted in F&A costs being inappropriately charged to this grant.

**Questioned Costs:**
$54,303

☐ The amount of the direct costs deemed to be nonallowable related to the reclassification of molecular modeling and analysis fees was $24,700 and the related F&A costs at 44% was $10,868 resulting in a total of $35,568.

☐ The amount of the cell phone charges deemed to be nonallowable was $1,239 and the related F&A costs at 21% was $260 resulting in a total of $1,499.

☐ The amount of the toner cartridge charged to office supplies of $149 and the F&A costs associated with it at 45% of $67 for a total of $216.

☐ The amount of the F&A costs charged on an equipment purchase of $40,522. The total F&A costs were $17,020.

**Cause:**
Direct costs were inappropriately charged to these programs.

**Effect:**
The Department of Defense and the Department of Health and Human Services through any primary grantees, if applicable, have the right to wholly or partly suspend or terminate the current grant award, condition a future grant or elect not to provide future grant funds, and/or withhold further awards for the program when there is reason to believe through periodic monitoring or review that the University is not in compliance with the requirements established.

**Recommendation:**
We recommend that management ensure that any costs transferred or charged to a grant have adequate supporting documentation and comply with grant requirements and UAMS policies and procedures. Additionally, we recommend that all costs have the appropriate level of management review prior to posting. We also recommend that entries be posted to remove these costs from the R&D program.

**Agency Response:**
Management concurs with the recommendation and is in the process of updating the expenditure control policy to formalize the requirements necessary to allow cost transfers.
Once it was confirmed that no support was available for the expenses identified in item one, the expenses and associated F&A costs were removed from this grant.

For the second item the expenses will be removed and the Financial Status Report will be revised before 12/31/09. In the future these charges will be posted to a department account or charged according to usage to the proper accounts.
For the third item the Department Administrator stated this was an error missed during the monthly review of expenses posted to grants. The expenses were immediately removed and all grants in the department were reviewed to ensure no other such expenses were accidentally charged to grants. The Department implemented a new process to add an additional review of request to purchase to be sure the correct account is charged.

For item number 4, the Grant Administrator for the department which charged the equipment to a supply code left the university. The error was found by the new Grant Administrator while reviewing the activity that occurred while the position was vacant. The error was found and corrected but the correction was posted in the current fiscal year (FY10) instead of FY09.

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| **Finding Number:** | **09-150-05** |
| **State/Educational Agency:** | **University of Arkansas for Medical Sciences** |
| **CFDA Number(s) and Program Title(s):** | **93.307 - Minority Health and Disparities Research**<br>**93.389 - National Center for Research Resources (Research and Development Cluster)** |
| **Federal Award Number(s):** | **5P20RR016460-07; 5P20RR020146-04; 5P20MD002329-02 REVISED** |
| **Federal Award Year(s):** | **Various** |
| **Compliance Requirement(s) Affected:** | **Period of Availability of Federal Funds** |
| **Type of Finding:** | **Noncompliance and Significant Deficiency** |

**Criteria:**
Direct costs should only be charged during the period of the grant year. Goods purchased must be received prior to the end of the grant year in order to be charged to the grant.

**Condition:**
During our testing of expenditures charged to grant programs, we noted that an expense was posted for software maintenance. The invoice was composed of two parts, including on that totaled $11,000 for the next three years.
Additionally, during the tested of expenses charged after the end of the grant period, we noted that expenses for goods received were charged to the program after the end of the grant year even though the items had not been received until after the end of the grant year.

**Questioned Costs:** $23,347
The amount of the three year maintenance agreement of $11,000 and the F&A costs associated with it at 42% of $4,620 total the $15,620.
The amount of questioned costs for the items charged that were not received until after the end of the grant year at $5,347 and the associated F&A charges of $2,380 for a total of $7,727.

**Cause:**
Prepayment of maintenance contracts causes these types of issues to arise. The requirement to pay them at the beginning of the period covered increases the possibility that the cost will be charged to an inappropriate period. For the goods not received by the grant year-end, management did not verify the receipt date for goods purchased prior to recording the expense on the grant.

**Effect:**
The Department of Health and Human Services has the right to wholly or partly suspend or terminate the current grant award, condition a future grant or elect not to provide future grant funds, and/or withhold further awards for the program when there is reason to believe through periodic monitoring or review that the University is not in compliance with the requirements established.

**Recommendation:**
We recommend that management ensure that any maintenance contracts be reviewed prior to posting by appropriate levels of management to ensure that the period charged is correct. Additionally, we recommend that management verify that goods are received prior to the end of the grant year before charging those costs to the program. Finally, we recommend that entries be posted to reclassify any costs to future periods and remove any unallowed costs from the grants.

**Agency Response:**
The maintenance expenses for the P20 awards identified will be moved to the proper year of the awards or to the appropriate departmental cost center and any Financial Status Reports affected will be revised to reflect the correction. The Department Administrators have been informed of the timing issue involved with these expenses. The Grants Management Certification Program will also stress this in the upcoming training sessions.

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| **Finding Number:** | **09-150-06** |
| **State/Educational Agency:** | **University of Arkansas for Medical Sciences** |
| **CFDA Number(s) and Program Title(s):** | **93.389 - National Center for Research Resources (Research and Development Cluster)** |
| **Federal Award Number(s):** | **5P20RR020146.04** |
| **Federal Award Year(s):** | **July 1, 2008 through June 30, 2009** |
| **Compliance Requirement(s) Affected:** | **Equipment and Real Property Management** |
| **Type of Finding:** | **Control Deficiency** |

**Criteria:**
Asset records for assets purchased with Federal funds should include the acquisition date and cost, percentage of Federal participation in the cost, location, condition, and any ultimate disposition data including the date of the disposal and sales price or method used to determine current market value.
Per UAMS Administrative Guide 5.2.02, departments requesting the return of any material or equipment to vendors must go to the Support Services Distribution website and complete an Outgoing Shipment Form.

**Condition:**
For one asset selected for testing, the asset record did not include the grant number, inventory tag number or location of the asset.
For one asset selected for testing, the location of the asset listed in the asset record was incorrect. We also noted that the original asset was returned to the vendor for repairs and a replacement was being used by the researcher. The inventory tag number was attached to the original equipment. The vendor determined that the original equipment could not be repaired and allowed the researcher to keep the replacement equipment. The researcher had not notified Property Services of the return or the replacement.

**Questioned Costs:**
None

**Cause:**
For the first exception noted, when assets are purchased on a grant, the requisitioner is responsible for coding the purchase with a "Z" to indicate the purchase will be made with Federal funds. Property Services monitors all purchases coded with a "Z" to properly identify the assets in the asset system. The purchase in question was coded with a "P" causing a breakdown in the control process. The asset was set up in the asset system by Property Services; however, when the asset was delivered and tagged by Property Services the asset record was not updated with the location or inventory tag number.
For the second asset noted, the department failed to provide the proper location of the equipment when the equipment was delivered. In addition, the researcher failed to complete the Outgoing Shipment Form for the returned equipment as required by

UAMS Administrative Guide 5.2.02. The researcher also failed to notify Property Services that the original equipment was replaced and needed to be tagged.

**Effect:**
A misappropriation or loss of equipment purchased with Federal funds could occur when there is noncompliance with controls implemented to account for and safeguard the equipment.

**Recommendation:**
We recommend departmental personnel responsible for ordering equipment ensure purchase requisitions are coded with a ”Z” when the asset is purchased with Federal funds. We recommend Property Services implement procedures to ensure asset records are properly updated when an asset is received and tagged.
We also recommend departmental personnel responsible for equipment review and comply with UAMS Administrative Guides to ensure equipment is properly accounted for and the proper forms are completed when equipment is returned to or replaced by the vendor.

**Agency Response:**
Management concurs with the recommendations. Because it was recognized that there was a potential for errors in choosing the correct purchasing code an additional report has been developed to allow the asset accounting staff to review all purchases regardless of price or codes used. The report was rolled out in April 2009. In addition the Procurement Office has been instructed to review all general ledger codes prior to converting a requisition to a purchase order.
The University’s Grant Management Certification Program will stress this issue in the upcoming training programs and reminders will be added to the bi-monthly newsletter and the weekly e-mail that is sent out to Grant Managers and Administrators.

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| **Finding Number:** | **09-150-07** |
| **State/Educational Agency:** | **University of Arkansas for Medical Sciences** |
| **CFDA Number(s) and Program Title(s):** | **93.887 - Health Care and Other Facilities (Research and Development Cluster)** |
| **Federal Award Number(s):** | **1 C76HF09175-01-00** |
| **Federal Award Year(s): J** | **July 1, 2008 through June 30, 2009** |
| **Compliance Requirement(s) Affected:** | **Equipment and Real Property Management** |
| **Type of Finding:** | **Noncompliance and Control Deficiency** |

**Criteria:**
Per OMB Circular A-133, Equipment and Real Property Management, real property shall be used for the originally authorized purpose as long as needed for that purpose. With written approval from the Federal awarding agency, the real property may be used in other federally sponsored projects or programs that have purposes consistent with those authorized for support by the Federal awarding agency. Equipment records shall be maintained, a physical inventory of equipment shall be taken at least once every two years and reconciled to the equipment records, an appropriate control system shall be used to safeguard equipment, and equipment shall be adequately maintained.
Per the award notice for grant G1-34304-01, telemedicine equipment purchased under this grant will be added at these exact locations; Delta AHEC, Jonesboro AHEC, Batesville AHEC, Harris Hospital, Fort Smith AHEC, Fayetteville AHEC, Centers for Children Northwest AR, St. Mary's Medical Center, Arkansas Children's Hospital, UAMS, Arkansas State Hospital, Conway Regional Medical Center, and St. Vincent Hospital.
Per UAMS Administrative Guide 5.4.01, all UAMS property located off-campus must be recorded on the Property Located Off-Campus Form. All UAMS property located at sites other than officially designated UAMS lands and facilities shall be considered off-campus for the purpose of this policy. Property located off-campus may be used only as an extension of regular UAMS business and not for any other purpose. Approval for use of UAMS property off-campus must be obtained in writing from the Department Director, and responsibility for such property will reside with the UAMS employee utilizing the property. Property Located Off-Campus Forms must be updated annually.

**Condition:**
During our testing of equipment purchased with Federal funds on grant G1-34304-01, we found that off-campus forms had not been completed for the items located at non-UAMS facilities. We also found two assets were located at facilities that were not authorized by the grant.

**Questioned Costs:**
None

**Cause:**
The equipment purchased under this grant is mobile video conferencing systems that are used in various locations around the State. Because the equipment is mobile, it is easily moved from one office or location to another for use in the telemedicine program. Prior to September 2009, the inventory records had not been properly maintained to properly track the systems purchased under this grant over the past year. In September 2009, a new project coordinator was hired to update and maintain the equipment database for the telemedicine program. The new project coordinator is in the process of locating and updating equipment records.
Based on discussions with program staff, the equipment located in one of the unauthorized locations is mainly used to communicate with the State government official and health care committee members on issues related to the purpose of the grant. However, the location was not specifically listed in the grant and approval was not obtained. The other exception noted is located in a conference room in an administrative building across from the main UAMS campus. Again, the location of the equipment as not specifically listed in the grant and approval was not obtained.
Because of the exceptions noted above, we obtained a complete listing of the equipment purchased under the grant and noted the located of each telemedicine system. We found that in addition to the two unauthorized locations noted above, on other piece of equipment that was not included in the sample tested, is located in an unauthorized clinic. We also noted that there were five telemedicine systems maintained in a storeroom that have not been deployed to the locations specified in the grant. One of the systems to be deployed is scheduled to go to Texarkana, which not an authorized location per the grant award.

**Effect:**
A misappropriation or loss of equipment purchased with Federal funds could occur when there is noncompliance with controls implemented to account for and safeguard the equipment.

**Recommendation:**
We recommend the program coordinator document the locations of equipment purchased under grant G1-34304-01 and provide the locations to the Property Services Department. We recommend the Property Services Department update the asset records with the current locations. We recommend the program coordinator complete Property Located Off-Campus Forms for all equipment not currently located at UAMS.
We also recommend the grant manager obtain approval from the granting agency for the equipment maintained at unauthorized locations or transfer the equipment to an appropriate location as allowed by the grant. We recommend equipment currently maintained in a storeroom be deployed as soon as possible to the specified locations per the grant award.

**Agency Response:**
Management concurs with the recommendations. Because it was recognized that there was a potential for errors in choosing the correct purchasing code an additional report has been developed to allow the asset accounting staff to review all purchases regardless of price or codes used. The report was rolled out in April 2009. In addition the Procurement Office has been instructed to review all general ledger codes prior to converting a requisition to a purchase order.

The University's Grant Management Certification Program will stress this issue in the upcoming training programs and reminders will be added to the bi-monthly newsletter and the weekly e-mail that is sent out to Grant Managers and Administrators.

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| **Finding Number:** | **09-150-08** |
| **State/Educational Agency:** | **University of Arkansas for Medical Sciences** |
| **CFDA Number(s) and Program Title(s):** | **93.600 - Head Start**<br>**(Head Start Cluster)** |
| **Federal Award Number(s):** | **06CH7001/11** |
| **Federal Award Year(s):** | **November 1, 2008 to October 31, 2009** |
| **Compliance Requirement(s) Affected:** | **Activities Allowed or Unallowed; Allowable Costs/Cost Principles; Equipment and Real Property Management** |
| **Type of Finding:** | **Noncompliance and Control Deficiency** |

**Criteria:**

Per Circular A-110, Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, Subpart C Post-Award Requirements, Sec. 34 Equipment, the recipient's property management standards for equipment acquired with Federal funds and federally owned equipment shall include all of the following:

(1) Equipment records shall be maintained accurately and shall include the following information:

(i) A description of the equipment.

(ii) Manufacturer's serial number, model number, Federal stock number, national stock number, or other identification number.

(iii) Source of the equipment, including the award number.

(iv) Whether title vests in the recipient or the Federal Government.

(v) Acquisition date (or date received, if the equipment was furnished by the Federal Government) and cost.

(vi) Information from which one can calculate the percentage of Federal participation in the cost of the equipment (not applicable to equipment furnished by the Federal Government).

(vii) Location and condition of the equipment and the date the information was reported.

(viii) Unit acquisition cost.

(ix) Ultimate disposition data, including date of disposal and sales price or the method used to determine current fair market value where a recipient compensates the Federal awarding agency for its share.

**Condition:**

During our testwork, we noted two exceptions out of three sample items (100% of population) as follows:

☐ Two of the assets purchased were recorded in the incorrect general ledger account. The assets were recorded in an —Other Services‖ expense account instead of an equipment expense account. Because they were recorded in the incorrect account, indirect costs were calculated on the amount of the assets. The cost of the two assets was $9,620.

☐ One of the two assets recorded incorrectly was also not capitalized correctly. The asset has not been recorded in the SAP fixed asset system.

**Questioned Costs:**
The amount of the asset recorded in the incorrect general ledger account was not excluded from the indirect costs calculation. The Head Start grant has an indirect cost rate of 21%. Indirect costs of $2,020 were recorded on the grant. ($9,620 total cost x 21% indirect cost rate).

**Cause:**
These exceptions should have been identified through the fixed asset reconciliation process, physical inventories, and management review of purchases to ensure that assets purchased were received and properly set up as a capital asset in the SAP system, or properly removed from SAP.

**Effect:**
The U.S. Department of Health and Human Services has the right to wholly or partly suspend or terminate the current grant award, condition a future grant or elect not to provide future grant funds, and/or withhold further awards for the program when there is reason to believe through periodic monitoring or review that the University is not in compliance with the requirements established.

**Recommendation:**
We recommend that management perform a detailed reconciliation of asset additions on a monthly basis so that corrections are identified and made in a timely manner. Assets not capitalized when acquired will be identified and recorded in the proper period during this process. We also recommend that management perform a more thorough review of expense accounts in order to identify expense items that are incorrectly recorded.

**Agency Response:**
The purchase order process is the originating point for general ledger coding. Head Start routinely processes hundreds of transactions during a typical grant year. The two assets at issue were non-routine in nature, and the incorrect coding of the general ledger account was not detected by Head Start fiscal personnel or by the UAMS Procurement Department in their role as purchase order issuer.
Head Start fiscal procedures already include reviewing transaction coding and making corrections when necessary. Nevertheless, the current system will be strengthened as a result of Head Start performing a more detailed review of the nature of transactions at the start of the purchase order process before finalizing the general ledger coding.
Also, current procedures utilized by Head Start include scrutinizing the composition of general ledger account balances, and making adjustments when necessary. However, even more scrutiny by Head Start personnel will be placed on the review of the account balances in the future.
It should be noted that the general ledger coding of the two assets at issue was corrected in the October 2009 financial statements, with corresponding entries made to correct the amount of indirect costs charged to the grant.

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| **Finding Number:** | **09-150-09** |
| **State/Educational Agency:** | **University of Arkansas for Medical Sciences** |
| **CFDA Number(s) and Program Title(s):** | **93.600 - Head Start (Head Start Cluster)** |
| **Federal Award Number(s):** | **06CH7001/10, 06CH7001/11** |
| **Federal Award Year(s):** | **November 1, 2007 to October 31, 2008, November 1, 2008 to October 31, 2009** |
| **Compliance Requirement(s) Affected:** | **Activities Allowed or Unallowed; Allowable Costs/Cost Principles** |
| **Type of Finding:** | **Noncompliance and Control Deficiency** |

**Criteria:**
Facilities and Administration Costs should not be charged as direct costs to a grant.

**Condition:**
During our testing of expenses charged after the end of the grant period and expenses posted to the grant as adjustments, we noted that expenses for Telephone Recharge and Vehicle Maintenance Recharge included fees added to the actual expense that are administrative in nature. These fees are included in the definition of general administration expenses and should not be included as direct costs of the grant.
For the Telephone Recharge expense, a Chancellor's Fee of $5.50 per hone is added to the actual telephone expense. Head Start has 68 phones. Additionally, equipment maintenance was also charged for the telephones. For the Vehicle Maintenance Recharge expense, a 5% vehicle control fee is added to the actual expenses incurred for fuel, car tags, etc.

**Questioned Costs:**
The amount of the Chancellor's Fee for the Telephone Recharge for FY09 would approximate $4,488 ($5.50/phone for 68 phones for 12 months). The amount for the equipment approximates $2,856 ($3.50/phone for 68 phones for 12 months). The amount of the vehicle control fee added to the Vehicle Maintenance Recharge expense is approximately $583 (Total FY09 Recharge expense $12,244.94/105). Additionally, 21% of indirect costs on these charges approximate $1,665.
The total questioned costs are $9,592.

**Cause:**
After UAMS implemented Policy #8.3.17 on June 3, 2008, departments that prepare recharge entries could no longer post expenses directly to a grant project. The entries are posted to the cost center associated with the grant. The Grants Administrator is responsible for transferring the costs from the cost center to the grant. When the entries were made for transferring the cost to the grant, the additional fees were included in the entry amount.

**Effect:**
The U.S. Department of Health and Human Services has the right to wholly or partly suspend or terminate the current grant award, condition a future grant or elect not to provide future grant funds, and/or withhold further awards for the program when there is reason to believe through periodic monitoring or review that the University is not in compliance with the requirements established.

**Recommendation:**
We recommend that management verify the fees included in all recharge entries and ensure that entries to transfer costs to the grant do not include any fees that would be classified as Facilities and Administrative in nature.

**Agency Response:**
As stated in the description of the cause of this error, a new process to allow review of administrative costs charged to projects was implemented 7/1/08. Up to that time these campus fees were not charged to grants. Due to an oversight this was not properly communicated to the recharged units or to the departments transferring these expenses at the time the policy was implemented. The internal charges did not include a breakdown of the expense which would have identified and prevented these ineligible expenses from being posted to a federal grant. We will remove these amounts from the grant year ended 10/31/08 and will submit the revised FSR by 12/31/09. The current grant year has also been corrected. The FSR for that year will be submitted by the due date of 1/29/10.
We will verify that these types of expenses are not included in costs transferred to the grants from internal recharge centers by requesting a copy of the rate structure from these centers.

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**History of the University**
The University of Central Arkansas was established as Arkansas State Normal School by the General Assembly of Arkansas in 1907, with statewide responsibility for preparing citizens to teach Arkansas children. Summer sessions were started in 1910.

The name of the institution was changed to Arkansas State Teachers College in 1925. By legislative enactment, the Board of Trustees was given authority to grant appropriate degrees. In January 1967, the name of the institution was again changed by the state legislature to the State College of Arkansas, expanding its statewide role to a multipurpose institution. On January 21,1975, the governor of Arkansas signed a bill granting university status to the institution and naming it the University of Central Arkansas.

The first diploma granted by Arkansas State Normal School was the Licentiate of Instruction, and in 1922 the first baccalaureate degrees were granted. Today the university's comprehensive undergraduate curriculum comprises more than 70 major programs and nine different degrees. A program of study leading to the Master of Science in Education degree was inaugurated in 1955, and the Educational Specialist degree was begun in 1980. Since that time, UCA has developed a variety of high quality offerings in graduate studies, with more than 30 graduate program options and 10 different graduate degrees, including doctoral programs in physical therapy, school psychology, and—in a consortium with UALR and UAMS—communication sciences and disorders. Extension classes were first offered through Correspondence Study courses in 1919–1920 and Study Clubs in 1920–1921. Academic outreach, including extended-learning opportunities for undergraduate and graduate credit and in non-credit courses, continues to play an important role in fulfilling the university's twenty-first century mission.

**Description of the University**
The University of Central Arkansas is a comprehensive university offering degree programs at the associate, bachelor's, master's, specialist, and doctoral levels. The University offers a variety of undergraduate and graduate programs in the liberal and fine arts, the basic sciences, business, and technical and professional fields in addition to its historical emphasis in the field of education. UCA strives to maintain the highest academic quality by supporting the professional development of its teaching faculty and by ensuring that its curriculum remains current and responsive to the needs of those it serves.

UCA fosters learning and the advancement of knowledge both through research and other scholarly and creative activities and through its support for the personal, social, and intellectual growth of its students. Faculty scholarship—including faculty-student collaboration in a wide range of research and scholarly and creative activities—is an integral part of the teaching-and-learning mission of the University. These activities are encouraged at UCA in many ways, including active support for grant-

development, a variety of University grant opportunities for both faculty and students, faculty summer research stipends, sabbatical leaves, reassigned time, and up-to-date technological support. UCA supports student learning and growth by providing comprehensive student services and rich on-campus extracurricular programming, by developing learning communities on campus, and by encouraging students to be learners in a wider community through cooperative and service-learning opportunities and international experiences.

UCA serves its public constituencies with for-credit course offerings, both in off-campus class settings around the state and in other extended-study opportunities; a variety of non-credit leisure and community education activities; and seminars, conferences, workshops, in-service training activities, and consulting services designed to meet the needs of business and industry, public schools, and state and local government.

**Strategic Planning**
Three of the four key planning documents in the current strategic planning process are in near- final draft form. Those documents include the statements in italic below regarding vision and core values. Specific goals and objectives will be determined over the course of academic year 2010/2011 through a campus-wide collaborative process.

***VISION***
*The University of Central Arkansas aspires to be the premiere student-centered public comprehensive institution of higher learning in Arkansas, with a continuous record of excellence in undergraduate and graduate education, student development, and scholarly endeavors in service to the local and global communities.*

***STATEMENT OF MISSION AND CORE VALUES***
*The University of Central Arkansas is committed to high academic quality through the delivery of undergraduate and graduate education that remains current and responsive to the diverse needs of those it serves. The university promotes the intellectual, social, and personal development of its students and the advancement of knowledge through excellence in learning and teaching and scholarly endeavors. Students, faculty, and staff partner to create strong connections in service to the local and global communities. As a leader in 21st-century higher education, the University of Central Arkansas is dedicated to intellectual vitality, diversity, and integrity.*
*In carrying out this mission, the university is guided by the following core values:*

***Intellectual Excellence***

*We believe in faculty and staff committed to the life-long intellectual development of students and themselves. We are committed to the free pursuit of knowledge and continuous growth in learning and teaching.*

- ***Educated Citizens:*** *We believe in student success and in preparing students to engage complex issues and express informed opinion through critical thinking, writing, and speech.*
- ***Scholarship:*** *We believe that students and faculty should engage in professional development and scholarly endeavors that promote the creation and application of knowledge in the sciences, the humanities, and the arts.*
- ***Cultural Competence:*** *We believe that students should experience cultural activities as they grow in their appreciation for the diversity of ideas and peoples, both inside and outside the classroom.*
- ***Learning Environment:*** *We believe in providing state-of-the-art learning spaces that actualize intellectual excellence.*

***Collaborative Community***

*We value and respect as our greatest asset the people who make up our community—students, faculty, and staff, as well as the people connected to us through our ties to our local region, the state of Arkansas, our nation, and the world. That is, we believe people are the focus of our institution.*

- ***Collegiality:*** *We believe in processes of shared decision making based on productive synergistic interactions among our students, faculty, and staff, and disciplines in the pursuit of institutional goals.*
- ***Partnerships:*** *We are dedicated to promoting outreach activities, community education, and partnerships with surrounding entities. We believe in collaborating with the citizens of our region, the state, the nation, and the world as well as those organizations who work with us, such as the Arkansas State Legislature and the Arkansas Department of Higher Education, to envision goals that serve everyone mutually and work toward positive change.*
- ***Safe and Healthy Environment:*** *We promote a safe, healthy, and sustainable environment where our community members can flourish personally and socially as whole beings with obligations to maintain their environment.*
- ***Service:*** *We believe in sharing our academic and cultural resources and expertise with public citizens, educational institutions, businesses, cultural centers, and public and non-profit agencies. We work to enable students to integrate into the larger world to promote a commitment to public service through experiential education. Faculty and staff serve our state and local constituents by sharing their energy, talents, and experience.*

***Diversity***

*We are dedicated to attracting and supporting a diverse student, faculty and staff population and enhanced multicultural learning opportunities. We value the opportunity to work, learn, and develop in a community that embraces the diversity of individuals from varied backgrounds, including race, ethnicity, religion, spiritual beliefs, national origin, age, gender, marital status, socioeconomic background, sexual orientation, physical ability, political affiliation, and intellectual perspective.*

- ***Recruitment and Retention:*** *We actively pursue and seek to retain a diversified student body, faculty, and staff.*
- ***Support:*** *We maintain the highest academic quality and ensure that our programs remain innovative and responsive to the ever-changing and diverse needs of those we serve.*
- ***Knowledge:*** *We seek to enhance interaction and understanding and tolerance among diverse groups and cultivate enriched learning opportunities in a global community.*

***Institutional and Personal Integrity***
*We are committed to ethical and responsible behavior in our own actions and to developing the same commitment in our students, thus fostering individuals who will have the skills, knowledge, and ability to engage positively with a diverse and changing world. Our commitment extends to all levels of our campus to foster a climate of ethical conduct, respect, responsibility, and trust.*

- ***Ethics:*** *We believe in acting with honesty, courage, and trustworthiness.*
- ***Respect****: We support a community and climate of respect and thoughtfulness among students, faculty, staff, and the people of our community, state, nation, and the world.*
- ***Responsibility****: We commit to being responsible and accountable in our operations at all levels of the institution, including continuous assessment of our academic programs and transparency in our fiscal proceedings.*
- ***Trust:*** *We value and will seek continually to earn the public's trust in all of our actions and words.*

**The following represents the existing status of strategic thinking at the University of Central Arkansas:**

**Vision**
The University of Central Arkansas will be the center of learning in Arkansas.

**Mission and Principles**
The mission of the University of Central Arkansas is to maintain the highest academic quality and to ensure that its programs remain current and responsive to the diverse needs of those it serves. A partnership of excellence among students, faculty, and staff in benefit to the global community, the University is committed to the intellectual, social, and personal development of its students; the advancement of knowledge through excellence in teaching and research; and service to the community. As a leader in 21st-century higher education, the University of Central Arkansas is dedicated to intellectual vitality, diversity, and integrity.

In carrying out this mission, the university is guided by the following principles:

- Teaching and learning flourish where disciplinary integrity and the focused explorations it allows are balanced by the connection-building of interdisciplinary collaboration.
- The search for knowledge entails both interaction and solitary reflection.
- Students accrue the greatest benefits when they master both trans-disciplinary skills—such as communication, critical thinking, and information literacy—and the specific bodies of information and ways of knowing particular to individual disciplines.
- Individual faculty may employ radically different methods in their teaching, scholarship, and other professional practice and be equally effective.
- Embracing diversity—e.g., political, racial, intellectual, cultural—strengthens and enriches a university.
- A vital component of a student's experience in the university is the development of personal and social well being and maturity.
- A university maintains its viability by sharing the talents and resources of the university with the global community.

**Implementation Guidelines**
The University of Central Arkansas implements its mission in the context of the following guidelines:

- University resources will be allocated in a manner that will carry out the mission of the university and the goals of the plan. To that end, the university strives to provide optimal facilities and infrastructure to support the work of its faculty, staff, and students.
- The university's strategic units (academic, administrative, auxiliary) will develop plans that complement the University of Central Arkansas' mission and strategic goals.

- A university planning and assessment group will revisit the plan annually to evaluate progress toward stated goals and objectives and to consider revision or addition of goals and objectives.
- Measures of performance stated in the plan are illustrative. University planning will be based on performance on stated measures as well as any additional evidence that helps evaluate progress toward goals and objectives.
- Measures will provide quantitative and qualitative evidence—e.g., counts, percentages, narratives, documents, etc. Unless otherwise indicated, student-related measures refer to both undergraduate and graduate students.

**Strategic Goals**

**Goal 1: Deliver excellent curricula in general education, in degree programs at the under-graduate and graduate levels, and in continuing education.**

- Support the General Education Program in fulfilling its purposes.
- Maintain and improve quality of degree programs at the undergraduate and graduate levels.
- Maintain an active academic outreach program that includes courses taught by qualified UCA faculty members and meets the needs of the community in its content and scope.
- Market and maintain the university's unique position as a teaching institution in the community.
- Develop and implement an academic plan providing guidelines for addition and deletion of programs, resource allocation for existing programs, and other programmatic decisions.

  **Status:** Program quality is actively monitored through the review of existing programs. Accredited programs reviewed during the past biennium have all maintained their accredited status. All academic units have academic plans, and these plans are used annually to evaluate progress and set future direction. All programs have recently reviewed learning outcomes assessment plans.

**Goal 2: Foster learning and the advancement of knowledge through research and other scholarly and creative activities on the part of both faculty and students.**

- Increase support for research and creative activities.

- Transform the existing Sponsored Programs Office to be a Center for Research, Scholarship, and Creative Activity, charged with administering support for faculty work in these areas and with facilitating appropriate technology- and knowledge-transfer to the public and private sectors.
- Increase opportunities for students and faculty to participate in scholarly and creative collaborative endeavors such as research projects, writing for publication, public performances, presentations at professional meetings, exhibitions, and formal mentoring programs.
- Support an atmosphere of collegiality in which faculty have enhanced professional opportunities to interact with one another, with students, and with non-academic professionals.

**Status:** (1) Collaboration among the Sponsored Programs Office, other campus entities, and individual faculty and staff members has resulted in significantly increased external funding in the past several years. (2) Careful reallocation of existing resources has resulted in targeted internal funding for faculty development. (3) The university actively promotes faculty-student collaboration in a wide range of research and scholarly and creative activities. At the undergraduate level, UCA students have over the past two years attracted more than $24,225 of SURF funding and $44,300 of NASA/ASGC funding.

**Goal 3: Create a campus environment that supports students in their intellectual, social, and personal development.**

- Engage academics, student services, financial services, and other parts of the permanent campus community in addressing the goal stated above.
- Ensure that faculty and staff roles and rewards structures recognize the value of engagement in addressing the goal stated above.
- Ensure that students understand the university's commitment to the goal stated above and consider themselves involved in its implementation.
- Support intellectual development by an emphasis on high academic achievement.
- Foster a campus-wide community of learners by providing programs/learning community opportunities such as residential colleges, honors college, university college, clustered learning, first-year experience programs, and departmental outreach programs.
- Provide a safe environment.
- Provide an environment to support student health and well being, including physical and mental health, freedom from substance abuse, and programs to promote physical fitness.
- Create a campus that models and sustains responsible environmental practices.

- Develop and implement an enrollment plan which incorporates and reflects market research, demographic trends, allocation of resources, employment trends, and student academic interests and goals.
- Develop and maintain comprehensive retention programs and co-curricular initiatives, including ensured availability of courses and services that meet students' academic, intellectual, social, and personal/individual needs.

**Status:** The university engaged during 2005-2006 and 2006-2007 in a campus-wide study of its support of students in their first college year. The project, Foundations of Excellence, focused on the first-year student, but has implications for the university's support of students at all levels. Recommendations of the Foundations of Excellence task force will help focus and extend significant on-campus programming, including the UCA Living/Learning Communities initiative with its successful Residential Colleges, the Sophomore Year Experience project, UCAN ("Unlocking College Academics Now"), which helps at-risk students become academically successful, and the newer Satellite Minton (SAM), a learning community designed to support commuter students.

**Goal 4: Enhance interaction and understanding among diverse groups and cultivate global perspectives.**

- Increase the diversity of the student population.
- Retain underrepresented students.
- Recruit and retain increased numbers of international students.
- Provide planned opportunities for interaction and cultural exchange among diverse groups.
- Infuse the values inherent in the goal stated above into undergraduate and graduate curricula.
- Increase the engagement of scholarship, service, and other professional practice at the university in the values stated above.
- Enhance enriched learning opportunities such as internships, travel abroad, service learning, and exchange programs.

**Status:** Strong minority enrollment, particularly at the undergraduate level, has continued at UCA during the past biennium. International student enrollment is also strengthening. Campus support services for such students are active and successful, and the campus community increasingly engages in productive conversations about diversity and the relationship of UCA to its global context. On-campus programming includes an annual Diversity Month, mentoring and other support programs for minority students, campus-wide diversity training for all employees throughout the regular academic year, and special training events as requested by campus groups (e.g., Resident Assistants in residence halls, residential college mentors, fraternities and sororities, and Student Ambassadors).

**Goal 5: Attract and retain high-quality faculty and staff.**

- Provide competitive and equitable salaries and benefits.
- Provide long-term stability for the university by maintaining an appropriate number of tenured/tenure-track faculty positions to meet the academic mission of the university.
- Develop and implement hiring, loading, and evaluation systems to allow appropriately flexible faculty emphasis on teaching, research, and service.
- Support the professional practice of faculty and staff—e.g., teaching, scholarship, inquiry, creative endeavor, interdisciplinary activity, and other professional development.

**Status:** The university has for six years conducted annual salary equity studies. Although faculty salary increases have been on hold the past several years due to financial challenges, for fiscal 2011, UCA plans to include an equity component in faculty raises.

**Goal 6: Be a recognized leader in the innovative and intelligent use of academic and administrative technology.**

- Integrate technology into curricula across campus—including major programs and general education—and assist students to become leaders in the use of technology in their fields.
- Provide technological infrastructure, technology tools, and support systems that enhance the work of students, faculty, and staff.
- Implement a comprehensive information/communication system that effectively serves multiple purposes and constituencies.

**Status:** UCA continues to invest in its faculty and in the infrastructure they need to achieve this goal. The successful Faculty Technology Associates program annually trains a cohort of existing faculty in the use of instructional technology. In fiscal 2009/2010, the university dedicated over $2,000,000 to improvement in technology including an upgrade in the enterprise resource planning system software and hardware and distribution of new computers to faculty, student labs, and classrooms.

UCA has implemented its first research computer cluster, The Callisto Cluster, with its computational resources fully dedicated to student and faculty research and creative endeavors. The primary goals for the cluster are to develop a vibrant and strong community of computational researchers and educators at UCA; to incorporate modern high-performance computing

technologies into appropriate courses within the College of Natural Sciences and Mathematics and with the College of Fine Arts and Communication; and to increase state-of-the-art research by faculty, undergraduate and master's level students at UCA.

UCA has added the position of Instructional Designer to provide leadership in designing and developing instructional materials for distance-learning courses and for faculty training that adheres to the best practices of distance (including online) teaching and learning.

**Goal 7: Seize appropriate opportunities for outreach to the public and private sectors.**

- Offer resources (e.g., expertise, facilities) to the public and private sectors.
- Establish and increase short- and long-term relationships with entities in the public and private sectors.
- Increase and coordinate both strategic and tactical participation of members of the university community in targeted markets.
- Develop and maintain a comprehensive, accessible, and useful database of private and public funding sources.
- Approach and engage organizations where alumni are employed in collaborating with university outreach initiatives.
- Foster and maintain on-going alumni relations.

**Status:** The university actively implements this strategy through its Division of Academic Outreach, its Alumni Services organization, and contacts between individual departments and individuals and organizations in the community. UCA outreach takes many forms, including the Community Development Institute and the Insurance Institute. The university is also an active participant in the state of Arkansas' work on concurrent enrollment initiatives.

**New Programming**
Programs deleted during the past year (effective date):

BSE, Physical Education, DC 3940 (January 2010)
MS, Health Systems, DC 6275 (December 2011)
MSE, Early Childhood Education, DC 6710 (August 2010)
GC, Management Information Systems, DC 1945 (January 2010)
MS, Training Systems, DC 6662 (July 2010)

New programs/program options added during the past year (effective date)

BA, Linguistics, reconfigured from existing curriculum (January 2010)
Teacher licensure endorsement, Instructional Facilitator, P-12 in the existing MS, School Leadership (Summer 2010)
BS+MS, Computer Science/Applied Computing, five-year option, existing degree programs (July 2010)
PMC, School Psychology, existing curriculum (Summer 2010)
MSN, Nursing, new options: Clinical Nurse Leader, Nurse Educator (Fall 2010)
PMC, Clinical Nurse Leader (Fall 2010)
PMC, Adult Nurse Practitioner, existing curriculum (Fall 2010)
PMC, Family Nurse Practitioner, existing curriculum (Fall 2010)
PMC, Nurse Educator, existing curriculum (Fall 2010)

**General Revenue Requests:**

Fiscal Years 2012 and 2013 General Revenue recommended increases are $2,753,823 and $3,816,243, respectively. The university would project using these funds to address hiring and upgrading personnel needs in critical areas in academic, student services as well as other support areas.

Areas of special interest currently include student success and retention, professional development for faculty and staff, outreach and partner affiliations, increased support for high quality on-line programming, and effective space utilization. The university will continue its focus on areas of recognized strength, such as the health disciplines, the arts, and the Honors College.

Future support is anticipated to be needed in the areas of infrastructure maintenance, technology upgrades, and student services. Support is needed to provide annual salary increases to faculty and non-classified employees to address cost of living and equity adjustments.

Further implementation of the classified pay plan would also be considered.

**Cash Appropriation Request:**

The University of Central Arkansas is requesting $104,194,938 additional cash appropriation at this time for fiscal years 2012 and 2013. This request follows the advice from ADHE to request an appropriate amount per commitment item, approximately three times the amount spent or budgeted.

**Personnel Request:**

The University of Central Arkansas is not requesting any new positions at this time.

## INSTITUTION APPROPRIATION SUMMARY
## 2011-13 BIENNIUM

**INSTITUTION** **UNIVERSITY OF CENTRAL ARKANSAS**

| | | HISTORICAL DATA | | | | | | INSTITUTION REQUEST & AHECB RECOMMENDATION | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | 2009-10 | | 2010-11 | | 2010-11 | | 2011-12 | | | | 2012-13 | | | |
| | APPROPRIATION | ACTUAL | POS | BUDGETED | POS | AUTHORIZED | POS | INST REQUEST | POS | AHECB REC | POS | INST REQUEST | POS | AHECB REC | POS |
| 1 | STATE TREASURY | 54,607,201 | | 56,189,272 | | 64,969,838 | | 79,851,811 | | 58,939,183 | | 82,481,514 | | 62,755,426 | |
| 2 | CASH | 84,345,371 | | 212,505,062 | | 212,505,062 | | 252,600,000 | | 252,600,000 | | 316,700,000 | | 316,700,000 | |
| 3 | | | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | | | |
| 11 | TOTAL | $138,952,572 | 1,728 | $268,694,334 | 1,744 | $277,474,900 | 2,262 | $332,451,811 | 2,283 | $311,539,183 | 2,283 | $399,181,514 | 2,283 | $379,455,426 | 2,283 |
| | **FUNDING SOURCES** | | % | | % | | | | % | | % | | % | | % |
| 12 | PRIOR YEAR FUND BALANCE* | 0 | 0% | 542,894 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 13 | GENERAL REVENUE | 50,188,711 | 36% | 51,972,375 | 19% | | | 75,638,827 | 23% | 54,726,199 | 18% | 78,268,530 | 20% | 58,542,442 | 15% |
| 14 | EDUCATIONAL EXCELLENCE TRUST FUND | 4,485,832 | 3% | 4,212,984 | 2% | | | 4,212,984 | 1% | 4,212,984 | 1% | 4,212,984 | 1% | 4,212,984 | 1% |
| 15 | WORKFORCE 2000 | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 16 | CASH FUNDS | 84,345,371 | 60% | 212,505,062 | 79% | | | 252,600,000 | 76% | 252,600,000 | 81% | 316,700,000 | 79% | 316,700,000 | 83% |
| 17 | SPECIAL REVENUES | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 18 | FEDERAL FUNDS | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 19 | TOBACCO SETTLEMENT FUNDS | | 0% | | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 20 | OTHER FUNDS | 475,552 | 0% | 4,701 | 0% | | | | 0% | | 0% | | 0% | | 0% |
| 21 | TOTAL INCOME | $139,495,466 | 100% | $269,238,016 | 100% | | | $332,451,811 | 100% | $311,539,183 | 100% | $399,181,514 | 100% | $379,455,426 | 100% |
| 22 | EXCESS (FUNDING)/APPROPRIATION | ($542,894) | | ($543,682) | | | | $0 | | $0 | | $0 | | $0 | |

| | |
|---|---|
| UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2010: | $1,841,150 |
| LESS RESERVES FOR: | |
| ACCOUNTS RECEIVABLE | $2,264,336 |
| INVENTORIES | $367,667 |
| YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES | - |
| INSURANCE DEDUCTIBLES | $40,000 |
| MAJOR CRITICAL SYSTEMS FAILURES | $0 |
| 60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES) | $12,327,479 |
| RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.) | $0 |
| OTHER (FOOTNOTE BELOW) | $0 |
| UNRESERVED EDUCATIONAL & GENEREAL FUND BALANCE | ($13,158,332) |

# SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME AND AHECB GENERAL REVENUE RECOMMENDATIONS FOR THE 2011-13 BIENNIUM

UNIVERSITY OF CENTRAL ARKANSAS

NAME OF INSTITUTION

| | EXPENDITURE CATEGORIES | 2009-10 ACTUAL | 2010-11 BUDGETED * | 2011-13 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS | |
|---|---|---|---|---|---|
| | | | | 2011-12 REQUEST / RECOMMENDATION | 2012-13 REQUEST / RECOMMENDATION |
| 1 | INSTRUCTION | 53,197,109 | 57,315,029 | 61,000,000 | 64,500,000 |
| 2 | RESEARCH | 1,209,969 | 728,128 | 1,000,000 | 2,000,000 |
| 3 | PUBLIC SERVICE | 1,590,650 | 1,191,273 | 1,300,000 | 1,800,000 |
| 4 | ACADEMIC SUPPORT | 8,978,106 | 9,932,136 | 10,300,000 | 10,500,000 |
| 5 | STUDENT SERVICES | 5,567,369 | 5,767,366 | 6,000,000 | 6,500,000 |
| 6 | INSTITUTIONAL SUPPORT | 10,576,331 | 11,976,444 | 12,000,000 | 12,300,000 |
| 7 | PHYSICAL PLANT M&O | 11,053,973 | 12,520,411 | 13,500,000 | 14,000,000 |
| 8 | SCHOLARSHIPS & FELLOWSHIPS | 20,062,911 | 19,590,160 | 18,690,860 | 18,132,007 |
| 9 | PRIOR YEAR EXPENSE | 424,419 | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | MANDATORY TRANSFERS | 3,445,577 | 3,454,843 | 3,454,843 | 3,454,843 |
| 14 | AUXILIARY TRANSFERS | 635,331 | 1,023,646 | 1,023,646 | 1,023,646 |
| 15 | NON-MANDATORY TRANSFERS | 4,152,541 | 1,453,074 | 1,500,000 | 1,500,000 |
| 16 | TOTAL UNREST. E&G EXP. | $120,894,286 | $124,952,510 | $129,769,349 | $135,710,496 |
| 17 | NET LOCAL INCOME | 71,422,142 | 68,767,151 | 70,830,166 | 72,955,070 |
| 18 | PRIOR YEAR BALANCE*** | | 542,894 | | |
| | STATE FUNDS: | | | | |
| 19 | GENERAL REVENUE | 50,188,711 | 51,972,375 | 54,726,199 | 58,542,442 |
| 20 | EDUCATIONAL EXCELLENCE | 4,485,832 | 4,212,984 | 4,212,984 | 4,212,984 |
| 21 | WORKFORCE 2000 | 0 | 0 | 0 | 0 |
| 22 | TOBACCO SETTLEMENT FUNDS | 0 | 0 | 0 | 0 |
| 23 | OTHER STATE FUNDS ** | 475,552 | 4,701 | | |
| 24 | TOTAL SOURCES OF INCOME | $126,572,237 | $125,500,105 | $129,769,349 | $135,710,496 |

FORM 11-2

* The amounts for Revenue Stabilization Act, Educational Excellence Trust Fund, and Workforce 2000 are based on the DF&A forecast.

** Funds received for operating purposes from state appropriations other than RSA, EETF, and WF2000 (e.g. General Improvement) should be reported on Line 23 "Other State Funds" and identified in a footnote.

Other State Funds: $18,944 M&R, $1,160 Tuition Adjustment, $476,003 GIF released to restore RSA funding that was cut on May 4, 2010, and $(20,555) Transfer out

BUDGET: $4,701 M&R

## ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND CASH INCOME FOR THE 2011-13 BIENNIUM

UNIVERSITY OF CENTRAL ARKANSAS
(NAME OF INSTITUTION)

| | SOURCE | ACTUAL 2009-10 | BUDGETED 2010-11 | ESTIMATED INCOME 2011-12 | ESTIMATED INCOME 2012-13 |
|---|---|---|---|---|---|
| 1 | TUITION AND MANDATORY FEES | 60,340,725 | 59,772,908 | 61,566,095 | 63,413,078 |
| 2 | ALL OTHER FEES | 2,663,980 | 1,783,975 | 1,837,494 | 1,892,619 |
| 3 | OFF-CAMPUS CREDIT | 4,766,455 | 4,151,291 | 4,275,830 | 4,404,105 |
| 4 | NON-CREDIT INSTRUCTION | 708,470 | 1,122,296 | 1,155,965 | 1,190,644 |
| 5 | ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS | 291,810 | 222,793 | 0<br>229,477 | 0<br>236,361 |
| 6 | INVESTMENT INCOME | 159,956 | 100,000 | 103,000 | 106,090 |
| 7 | OTHER CASH INCOME: | 2,490,744 | 1,613,888 | 1,662,305 | 1,712,174 |
| 8 | TOTAL UNRESTRICTED CURRENT FUND CASH INCOME | 71,422,142 | 68,767,151 | 70,830,166 | 72,955,070 |
| 9 | LESS: TWO-YEAR COLLEGE ACTIVITY FEES | | | | |
| 10 | NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS | $71,422,142 | $68,767,151 | $70,830,166 | $72,955,070 |

FORM 11-3

Other Income is made up of sales and services, grant administration cost recovery, Reynolds Performance Hall/Conference Hall, cell tower income, other E&G Special Programs, misc revenue, and etc.

## APPROPRIATION ACT FORM - STATE TREASURY
## 2011-13 BIENNIUM

FUND CUA000 INSTITUTION UNIVERSITY OF CENTRAL ARKANSAS APPROPRIATION 310

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 39,769,482 | 41,500,000 | 41,500,000 | 43,188,000 | 45,000,000 | | |
| 2 | EXTRA HELP WAGES | 2,966,305 | 3,250,000 | 3,250,000 | 3,000,000 | 3,500,000 | | |
| 3 | OVERTIME | | | | | | | |
| 4 | PERSONAL SERVICES MATCHING | 8,272,984 | 8,469,838 | 8,469,838 | 9,242,766 | 10,000,000 | | |
| 5 | OPERATING EXPENSES | 2,929,486 | 2,464,733 | 10,000,000 | 3,008,417 | 3,755,426 | | |
| 6 | CONFERENCE FEES & TRAVEL | | | | | | | |
| 7 | PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING) | | | | | | | |
| 8 | CAPITAL OUTLAY | | | 1,250,000 | | | | |
| 9 | DATA PROCESSING | | | | | | | |
| 10 | FUNDED DEPRECIATION | 500,000 | 500,000 | 500,000 | 500,000 | 500,000 | | |
| 11 | CLAIMS & AWARDS | 150,000 | | | | | | |
| 12 | M&R EXPENSES | 18,944 | 4,701 | | | | | |
| 13 | | | | | | | | |
| 14 | TOTAL APPROPRIATION | $54,607,201 | $56,189,272 | $64,969,838 | $58,939,183 | $62,755,426 | $0 | $0 |
| 15 | PRIOR YEAR FUND BALANCE** | | 542,894 | | | | | |
| 16 | GENERAL REVENUE | 50,188,711 | 51,972,375 | | 54,726,199 | 58,542,442 | | |
| 17 | EDUCATIONAL EXCELLENCE TRUST FUN | 4,485,832 | 4,212,984 | | 4,212,984 | 4,212,984 | | |
| 18 | SPECIAL REVENUES * [WF2000] | | | | | | | |
| 19 | FEDERAL FUNDS IN STATE TREASURY | | | | | | | |
| 20 | TOBACCO SETTLEMENT FUNDS | | | | | | | |
| 21 | OTHER STATE TREASURY FUNDS | 475,552 | 4,701 | | | | | |
| 22 | TOTAL INCOME | $55,150,095 | $56,732,954 | | $58,939,183 | $62,755,426 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | ($542,894) | ($543,682) | | $0 | $0 | $0 | $0 |

* Report WF2000 funds on line 18 - "Special Revenues". FORM 11-4

Other State Funds: ACTUAL $18,944 M&R, $1,160 Tuition Adjustment, $476,003 GIF released to restore RSA funding that was cut on May 4, 2010, and $(20,555) Transfer out
BUDGET $4,701 M&R

## APPROPRIATION ACT FORM - CASH FUNDS
## 2011-13 BIENNIUM

FUND 2,070,000 INSTITUTION UNIVERSITY OF CENTRAL ARKANSAS APPROPRIATION A75

| | DESCRIPTION | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED APPROPRIATION 2010-11 | INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2011-12 | 2012-13 | LEGISLATIVE RECOMMENDATION 2011-12 | 2012-13 |
|---|---|---|---|---|---|---|---|---|
| 1 | REGULAR SALARIES | 25,994,914 | 32,819,200 | 32,819,200 | 76,000,000 | 78,000,000 | | |
| 2 | EXTRA HELP WAGES | 848,442 | 7,080,000 | 7,080,000 | 2,400,000 | 3,000,000 | | |
| 3 | OVERTIME | 108,362 | 500,000 | 500,000 | 300,000 | 300,000 | | |
| 4 | PERSONAL SERVICES MATCHING | 8,909,400 | 10,830,000 | 10,830,000 | 26,000,000 | 27,000,000 | | |
| 5 | OPERATING EXPENSES | 31,970,140 | 40,000,000 | 40,000,000 | 90,000,000 | 92,000,000 | | |
| 6 | CONFERENCE FEES & TRAVEL | 660,767 | 1,500,000 | 1,500,000 | 1,500,000 | 2,000,000 | | |
| 7 | PROFESSIONAL FEES AND SERVICES | 1,682,526 | 2,770,000 | 2,770,000 | 5,000,000 | 60,000,000 | | |
| 8 | DATA PROCESSING | | | | | | | |
| 9 | CAPITAL OUTLAY | 6,238,586 | 19,225,862 | 19,225,862 | 18,000,000 | 19,000,000 | | |
| 10 | CAPITAL IMPROVEMENTS | | 77,100,000 | 77,100,000 | 15,000,000 | 16,000,000 | | |
| 11 | DEBT SERVICE | 7,814,085 | 11,250,000 | 11,250,000 | 10,000,000 | 11,000,000 | | |
| 12 | FUND TRANSFERS, REFUNDS AND INVESTMENTS | | 8,100,000 | 8,100,000 | 8,100,000 | 8,100,000 | | |
| 13 | PROMOTIONAL ITEMS | 118,149 | 1,330,000 | 1,330,000 | 300,000 | 300,000 | | |
| 14 | | | | | | | | |
| 15 | | | | | | | | |
| 16 | CONTINGENCY | | | | | | | |
| 17 | TOTAL APPROPRIATION | $84,345,371 | $212,505,062 | $212,505,062 | $252,600,000 | $316,700,000 | $0 | $0 |
| 18 | PRIOR YEAR FUND BALANCE*** | | | | | | | |
| 19 | LOCAL CASH FUNDS | 84,345,371 | 212,505,062 | | 252,600,000 | 316,700,000 | | |
| 20 | FEDERAL CASH FUNDS | | | | | | | |
| 21 | OTHER CASH FUNDS | | | | | | | |
| 22 | TOTAL INCOME | $84,345,371 | $212,505,062 | | $252,600,000 | $316,700,000 | $0 | $0 |
| 23 | EXCESS (FUNDING)/APPROPRIATION | $0 | $0 | | $0 | $0 | $0 | $0 |

**TOTAL NUMBER OF POSITIONS (GENERAL REVENUE AND CASH COMBINED)**

| | ACTUAL 2009-10 | BUDGETED 2010-11 | AUTHORIZED 2010-11 | REQUEST 2011-13 | RECOMMEND 2011-13 | LEGISLATIVE RECOMMENDATION 2011-13 |
|---|---|---|---|---|---|---|
| REGULAR POSITIONS | 1,728 | 1,744 | 2,262 | 2,283 | 2,283 | |
| TOBACCO POSITIONS | | | | | | |
| EXTRA HELP ** | 1,034 | 1,050 | 1,600 | 1,600 | | |

FORM 11-5

** The total number of Extra-Help shown in the requested column will be the total extra-Help positions [General Revenue and Cash] requested to be authorized.

***Line 18 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES

UNIVERSITY OF CENTRAL ARKANSAS
(NAME OF INSTITUTION)

| ACTIVITY | ACTUAL 2009-10 | | | | BUDGETED 2010-11 | | | |
|---|---|---|---|---|---|---|---|---|
| | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME | INCOME | OPERATING EXPENSES | DEBT SERVICE | NET INCOME |
| 1 INTERCOLLEGIATE ATHLETICS * | 5,090,905 | 7,299,464 | 403,821 | ($2,612,379) | 6,107,500 | 8,172,020 | 404,195 | ($2,468,715) |
| 2 RESIDENCE HALL | 14,164,475 | 8,834,204 | 2,538,622 | 2,791,649 | 13,637,444 | 9,549,232 | 2,533,997 | 1,554,215 |
| 3 MARRIED STUDENT HOUSING | 0 | | | 0 | 0 | | | 0 |
| 4 FACULTY HOUSING | 0 | | | 0 | 0 | | | 0 |
| 5 FOOD SERVICES | 6,918,511 | 5,690,995 | 0 | 1,227,516 | 7,070,446 | 5,802,812 | 0 | 1,267,634 |
| 6 COLLEGE UNION | 1,277,718 | 658,369 | 576,043 | 43,306 | 1,475,000 | 754,025 | 577,225 | 143,750 |
| 7 BOOKSTORE | 350,000 | 65,736 | 0 | 284,264 | 350,000 | 77,500 | 0 | 272,500 |
| 8 STUDENT ORGANIZATIONS AND PUBLICATIONS | 0 | | | 0 | 0 | | | 0<br>0 |
| 9 STUDENT HEALTH SERVICES | 1,587,031 | 1,000,412 | 375,311 | 211,308 | 1,653,500 | 1,122,521 | 378,304 | 152,675 |
| 10 OTHER | 2,035,067 | 1,322,115 | 474,711 | 238,240 | 2,256,250 | 1,284,568 | 473,972 | 497,710 |
| 11 SUBTOTAL | $31,423,706 | $24,871,294 | $4,368,508 | $2,183,904 | $32,550,140 | $26,762,678 | $4,367,693 | $1,419,769 |
| 12 ATHLETIC TRANSFER ** | 1,124,720 | | | 1,124,720 | 1,142,715 | | | 1,142,715 |
| 13 OTHER TRANSFERS *** | (1,415,035) | | | (1,415,035) | (2,562,484) | | | (2,562,484) |
| 14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES | $31,133,391 | $24,871,294 | $4,368,508 | $1,893,589 | $31,130,371 | $26,762,678 | $4,367,693 | $0 |

* Intercollegiate athletic income should include the institutional board of trustees' approved student athletic fees.

FORM 11-6

** For both two-year and four-year institutions, line 12, Athletic Transfer should contain the amount transferred from E&G to athletics.

*** For both two-year and four-year institutions, line 13, Other Transfers should contain the amount either transferred from E&G to support the college union, student organizations and student publications; or from auxiliary to other funds (e.g. plant funds), shown as a negative number.

## EMPLOYMENT INFORMATION
## IDENTIFICATION BY EMPLOYMENT CLASSIFICATION

UNIVERSITY OF CENTRAL ARKANSAS
(NAME OF INSTITUTION)

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2009-10: (As of November 1, 2009 ) | | | | | 1350 | | | |
| Nonclassified Administrative Employees: | | | | | | | | |
| White Male: | 95 | Black Male: | 10 | Other Male: | 3 | Total | Male: | 108 |
| White Female: | 90 | Black Female: | 16 | Other Female: | 9 | Total | Female: | 115 |
| Nonclassified Health Care Employees: | | | | | | | | |
| White Male: | 1 | Black Male: | 0 | Other Male: | 0 | Total | Male: | 1 |
| White Female: | 4 | Black Female: | 0 | Other Female: | 0 | Total | Female: | 4 |
| Classified Employees: | | | | | | | | |
| White Male: | 159 | Black Male: | 27 | Other Male: | 8 | Total | Male: | 194 |
| White Female: | 255 | Black Female: | 43 | Other Female: | 14 | Total | Female: | 312 |
| Faculty: | | | | | | | | |
| White Male: | 263 | Black Male: | 12 | Other Male: | 26 | Total | Male: | 301 |
| White Female: | 285 | Black Female: | 10 | Other Female: | 20 | Total | Female: | 315 |
| Total White Male: | 518 | Total Black Male: | 49 | Total Other Male: | 37 | Total | Male: | 604 |
| Total White Female: | 634 | Total Black Female: | 69 | Total Other Female: | 43 | Total | Female: | 746 |
| Total White: | 1,152 | Total Black: | 118 | Total Other: | 80 | Total | Employees: | 1,350 |
| | | | | **Total Minority:** | 198 | | | |

FORM 11-8

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| *Finding:* | University officials could not account for the following two inventory items and reported these missing to University Police on March 2, 2009:<br><br>**Description** — **Location** — **Value**<br>HP 4100 LaserJet printer — President's suite – Wingo Hall — $1,128<br>Towle sterling silverware — President's home — 3,400<br><br>The incident report did not indicate a break-in or forced entry and, as of report date, this matter remains under investigation by University Police. |

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| *Institution's Response:* | Every effort will be made to safeguard the equipment of the University. |

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| *Finding*: | **REPEAT**<br><br>Financial statements should be presented fairly in conformity with accounting principles generally accepted in the United States of America. Although the University has policies to properly record and classify transactions in the financial statements, the internal control system did not prevent or detect misstatements. Key errors in the Statement of Net Assets, the Statement of Revenues, Expenses and Changes in Net Assets, the Statement of Cash Flows, and the Notes to the Financial Statements included:<br><br>**Statement of Net Assets**<br><br>Accounts receivable and accounts payable balances were understated by $560,000 and $150,000, respectively. |

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| | **Statement of Revenues, Expenses and Changes in Net Assets**<br><br>Other income was unreconciled by $58,352.<br><br>**Statement of Cash Flows**<br><br>Interest of $87,905 paid on a bank note was incorrectly reported as payments to suppliers in the Cash Flows from Operating Activities section instead of the proper classification in the Cash Flows from Non-capital Financing Activities section.<br><br>**Notes to the Financial Statements**<br><br>Due to construction change orders and the failure to adjust for the changes in architect fees, the commitments note disclosure was overstated by $110,905.<br><br>A gift of land that was received in the prior year, valued at $1,801,000, was recorded as a current year addition to net assets instead of a prior year restatement of the financial statements. An explanatory note of the prior year restatement was not included.<br><br>In the summary of noncurrent liabilities section, additions and reductions of the notes payable were understated by $5,000,000.<br><br>In the capital assets note disclosure, the construction in progress additions and deductions were understated by $2,979,696.<br><br>In the disclosure of future debt principal and interest payments section, the interest to be paid for the 2010 fiscal year was overstated by $16,582.<br><br>When these errors were brought to the attention of University personnel, the financial statements and notes were corrected. A similar finding was reported in the previous audit. |

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| *Institution's Response:* | **Statement of Net Assets**<br>In the future receivables and liabilities will be recorded as necessary to insure the accuracy of the University financial statements.<br><br>**Statement of Revenues, Expenses and Changes in Net Assets**<br>The University has implemented a plan to insure all accounts are coded with the appropriate attributes, thereby placing them in the correct location on the SRECNA.<br><br>**Statement of Cash Flow**<br>The year-end oversight process will help insure these types of errors are avoided. In addition, the campus brought in expertise to help identify areas of weakness in understanding the statement preparation.<br><br>**Notes to the Financial Statements**<br>(a) A University year-end committee has been formed to insure these types of changes are discussed prior to the financial statement preparation.<br>(b) The year-end committee and oversight procedures will help insure these types of errors and oversights are avoided in the future.<br>(c) The year-end oversight process will help insure these types of errors are avoided. In addition, the campus brought in expertise to help identify areas of weakness in understanding the statement preparation.<br>(d) Staff has heeded the counsel of Legislative Audit and outside expertise to correct weaknesses in the statement preparation.<br>(e) The year-end committee and oversight procedures will help insure these types of errors are avoided in the future. |

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| *Finding*: | **Student Enrollment Data**<br><br>During our review, we noted drop cards or backup documentation could not be located to substantiate the withdrawals of seven students in the test of 129; therefore, the 11th day enrollment could not be verified. |

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| *Institution's Response:* | The fiscal year 2009 audit identified a lack of withdrawal information on a number of individuals. Effective FY10, improved procedures are in effect; for example, transactions are now verified before filing by an individual other than the staff member who performed the initial processing. |