

# Arkansas Public Higher Education Operating Recommendations

**FISCAL YEAR 2010-11**



**Volume 1  
Universities**

**Arkansas Department of Higher Education**

114 East Capitol, Little Rock, Arkansas 72201

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**ARKANSAS PUBLIC HIGHER EDUCATION  
OPERATING RECOMMENDATIONS  
2010-11 FISCAL YEAR**

**VOLUME 1  
OVERVIEW AND UNIVERSITIES**

TABLE OF CONTENTS

Institutional Abbreviations .....	1
Recommendations for Educational and General Operations	
Background .....	3
Table 1A: Summary of AHECB Recommendations .....	7
Table 1B: Colleges .....	8
Table 1C: Universities .....	9
Table 1D: Non-Formula Entities.....	10
Table 1E: Technical Centers.....	11
Table 2: Definitions of Expenditure Categories.....	13
Table 3: Full-time Equivalent Enrollment for 2008-09.....	17
Table 4: 2009-10 Full-Time Annualized Fall Tuition and Mandatory Fees .....	19
 <b>UNIVERSITIES:</b>	
Arkansas State University	
System Administration .....	25
Arkansas State University-Jonesboro .....	27
ASU - Arkansas Biosciences Institute .....	29
ASU - Arkansas Heritage Sites.....	31
Institution Appropriation Summary .....	32
Arkansas Tech University .....	47
ATU – Ozark Campus.....	49
Institution Appropriation Summary .....	50
Henderson State University .....	61
HSU – Southwest Arkansas Technology Learning Center .....	63

Institution Appropriation Summary .....	64
Southern Arkansas University-Magnolia.....	73
Institution Appropriation Summary.....	74
University of Arkansas	
System Administration .....	83
University of Arkansas, Fayetteville.....	85
UA Winthrop Rockefeller Institute Knowledge Based Economic Development Program .....	87
UA Garvan Woodland Gardens.....	89
Institution Appropriation Summary.....	90
Arkansas Research and Educational Optical Network (ARE-ON) .....	115
Division of Agriculture.....	119
Arkansas Archeological Survey.....	127
Clinton School of Public Service.....	131
Criminal Justice Institute.....	135
School of Mathematics, Sciences and the Arts .....	139
Institution Appropriation Summary .....	140
University of Arkansas at Fort Smith.....	147
Institution Appropriation Summary .....	148
University of Arkansas at Little Rock.....	157
Institution Appropriation Summary .....	160
University of Arkansas at Monticello .....	171
Institution Appropriation Summary .....	172
University of Arkansas at Pine Bluff.....	191
UAPB - Nonformula .....	193
Institution Appropriation Summary .....	194
University of Arkansas for Medical Sciences.....	207
Institution Appropriation Summary .....	233
University of Central Arkansas.....	281
Institution Appropriation Summary .....	282

# 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 Rockefeller 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  
FISCAL 2011**

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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 legislative session in 2010 will be the first “fiscal” session of the legislature in which they will consider primarily appropriations. As a result of annual legislative session, there have been changes in the recommendation process that the ADHE staff must follow. Operating recommendations and personal services recommendations will be presented for AHECB every year. Staff did not request a change in the tuition policy because the Coordinating Board approved this at its April 25, 2008 meeting. There will be no capital recommendations by AHECB for “fiscal” sessions. Staff will present capital recommendations for AHECB approval in July of even years in preparation for the legislative session that will occur in during odd-numbered years. The distribution of General Improvement Funds for capital was made in the 87<sup>th</sup> General

Assembly and will be reappropriated for fiscal 2011. However, recommendations for “fiscal” sessions will not be as inclusive as they have been in the past. For example, institutions are not being required to include goals and objectives in their operating requests for “fiscal” sessions.

The staff reviewed the justification requests submitted by the non-formula group and prepared preliminary funding recommendations based upon those requests.

Because of time constraints related to the change to annual legislative session, the staff was unable to conduct budget hearings this year.

The difference between the funding model determined needs of the entities for Fiscal 2011 and the Fiscal 2010 appropriations was \$169.9 million, a 20.8% 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 which are necessary to cover the loss of state support. It should be emphasized that the funding needs of the institutions are the funds needed to bring Arkansas higher education to closer 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 recovered.

### **Operating Funding Recommendations for Fiscal 2011**

The operating recommendations include: funds necessary to provide the state’s share of a 2.3% COLA for all unrestricted educational and general staff; and additional non-formula funds for Arkansas State University’s Delta Heritage Centers (\$2.1 million), UALR-RAPS Nano-Technology Centers (\$2.3 million), and the ADTEC (Arkansas Delta Training and Education Consortium), ADWIRED (Arkansas Delta Workforce Innovations for Regional Development) and the Crossroads Coalition (\$3.2 million), and UAPB’s Land Grant matching funds (\$0.5 million). The 2.3% COLA for all unrestricted educational and general salaries represents a cost of approximately \$27.8 million of which the state’s portion is approximately \$12 million.

The recommendation summaries in (Table 1A) represent a 1.6% increase for colleges, a 1.5% increase for universities, a 5.2% increase for nonformula entities and a 1.5% increase for the technical centers for fiscal 2011.

Recommendations of this type are less than ideal because they do not address equity or continuing level operations regardless of how desirable they might be. If anything, recommendations of this type increase the current inequities and

disparity. However, given the current economic conditions and the anticipated outlook for the coming year, it would not be responsible to raise the hopes of the institutions for a funding level greater than this recommendation.


Please note that these recommendations are preliminary and may be adjusted to reflect: the Governor's Balanced Budget when presented; new enrollment data; or to correct errors.

Recommendations for state funding of the educational and general operations of Arkansas public institutions of higher education for fiscal year 2011 are included in Tables 1A, 1B, 1C, 1D, and 1E.




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**Table A. Summary of Operating Needs & Recommendations for the Fiscal 2011**

	Fiscal Year 2009-10 Base				2010-11					
					Funding Model Determined Need	PRELIMINARY AHECB Recommendations				
	RSA	EETF	WF2000	Total Fiscal Year Base		Total Appropriation	2.3% COLA	Added Funding	Total New Funds	Percent Increase
Colleges	\$140,196,646	\$7,091,149	\$18,130,750	\$165,418,545	\$212,863,044	\$168,011,418	\$2,592,873		\$2,592,873	1.6%
Universities	\$394,142,010	\$36,240,223	\$0	\$430,382,233	\$521,128,221	\$436,653,970	\$6,271,737		\$6,271,737	1.5%
Non-Formula Entities	\$190,674,440	\$22,319,156	\$0	\$212,993,596	\$242,725,402	\$224,172,105	\$3,075,612	\$8,102,897	\$11,178,509	5.2%
Technical Centers	\$5,308,114	\$0	\$1,731,742	\$7,039,856	\$8,975,040	\$7,144,859	\$105,003		\$105,003	1.5%
<b>Total</b>	<b>\$730,321,210</b>	<b>\$65,650,528</b>	<b>\$19,862,492</b>	<b>\$815,834,230</b>	<b>\$985,691,707</b>	<b>\$835,982,352</b>	<b>\$12,045,225</b>	<b>\$8,102,897</b>	<b>\$20,148,122</b>	<b>2.5%</b>

**TABLE B. Two-Year Colleges: Operating Needs & Recommendations for Fiscal 2011**

Inst	2009-10			2010-11							
				PRELIMINARY AHECB Recommendations							
	General Revenue Base (RSA, EETF & WF2000)	Calendar Year 2008 FTE	FY 2009-10 Dollars Per CY2008 FTE Student	Total Need	% of Need Met	2.3% COLA	Total New Funds	 Total Appropriation	% of Need Met	% Increase	Funds per FTE
ANC	\$9,923,358	1,199	\$8,275	\$10,088,777	98.4%	\$165,419	\$165,419	\$10,088,777	100.0%	1.7%	\$8,413
ASUB	\$14,202,692	3,284	\$4,325	\$18,298,267	77.6%	\$210,500	\$210,500	\$14,413,192	78.8%	1.5%	\$4,389
ASUMH	\$4,245,226	928	\$4,574	\$6,308,668	67.3%	\$62,636	\$62,636	\$4,307,862	68.3%	1.5%	\$4,641
ASUN	\$7,170,030	1,087	\$6,598	\$7,985,814	89.8%	\$112,590	\$112,590	\$7,282,620	91.2%	1.6%	\$6,701
BRTC	\$7,852,466	1,600	\$4,906	\$9,573,578	82.0%	\$119,535	\$119,535	\$7,972,001	83.3%	1.5%	\$4,981
CCCUA	\$4,437,242	900	\$4,931	\$6,372,371	69.6%	\$69,631	\$69,631	\$4,506,873	70.7%	1.6%	\$5,009
EACC	\$6,567,549	1,069	\$6,144	\$6,733,957	97.5%	\$98,990	\$98,990	\$6,666,539	99.0%	1.5%	\$6,237
MSCC	\$5,574,583	966	\$5,774	\$6,897,397	80.8%	\$77,349	\$77,349	\$5,651,932	81.9%	1.4%	\$5,854
NAC	\$8,913,978	1,588	\$5,615	\$9,949,873	89.6%	\$152,078	\$152,078	\$9,066,056	91.1%	1.7%	\$5,711
NPCC	\$10,609,303	2,134	\$4,972	\$13,377,173	79.3%	\$163,730	\$163,730	\$10,773,033	80.5%	1.5%	\$5,049
NWACC	\$10,861,379	4,433	\$2,450	\$18,951,578	57.3%	\$185,272	\$185,272	\$11,046,651	58.3%	1.7%	\$2,492
OTC	\$4,459,990	899	\$4,960	\$6,175,540	72.2%	\$68,303	\$68,303	\$4,528,293	73.3%	1.5%	\$5,036
OZC	\$4,002,899	896	\$4,466	\$5,676,009	70.5%	\$60,158	\$60,158	\$4,063,057	71.6%	1.5%	\$4,533
PCCUA	\$10,262,246	1,336	\$7,684	\$10,431,047	98.4%	\$168,800	\$168,800	\$10,431,046	100.0%	1.6%	\$7,810
PTC	\$16,240,559	6,341	\$2,561	\$24,397,865	66.6%	\$245,392	\$245,392	\$16,485,951	67.6%	1.5%	\$2,600
RMCC	\$3,418,649	584	\$5,857	\$4,122,397	82.9%	\$56,790	\$56,790	\$3,475,439	84.3%	1.7%	\$5,954
SACC	\$6,912,778	1,128	\$6,127	\$8,201,751	84.3%	\$114,991	\$114,991	\$7,027,769	85.7%	1.7%	\$6,228
SAUT	\$5,859,005	1,312	\$4,466	\$8,475,326	69.1%	\$81,238	\$81,238	\$5,940,243	70.1%	1.4%	\$4,528
SEAC	\$7,259,107	1,520	\$4,777	\$8,819,697	82.3%	\$121,262	\$121,262	\$7,380,369	83.7%	1.7%	\$4,857
UACCB	\$4,749,474	1,188	\$3,998	\$7,243,518	65.6%	\$67,288	\$67,288	\$4,816,762	66.5%	1.4%	\$4,055
UACCH	\$6,087,582	905	\$6,725	\$6,323,898	96.3%	\$99,858	\$99,858	\$6,187,440	97.8%	1.6%	\$6,836
UACCM	\$5,808,450	1,440	\$4,033	\$8,458,543	68.7%	\$91,063	\$91,063	\$5,899,513	69.7%	1.6%	\$4,096
<b>Total</b>	<b>\$165,418,545</b>	<b>36,736</b>	<b>\$4,503</b>	<b>\$212,863,044</b>	<b>77.7%</b>	<b>\$2,592,873</b>	<b>\$2,592,873</b>	<b>\$168,011,418</b>	<b>78.9%</b>	<b>1.6%</b>	<b>\$4,573</b>

**Table C. Universities: Operating Needs & Recommendations for Fiscal 2011**

Inst	2009-10			2010-11							
	2009-10 Base (RSA & EETF)	Calendar Year 2008 FTE	FY 2009-10 Dollars Per CY2008 FTE Student	Formula Determined Need	% of Need	2.3% COLA	Total New Funds	PRELIMINARY AHECB Recommendations			
									Total Appropriation	% of Need Met	% Increase
ASUJ	59,805,904	9,873	\$6,058	70,677,885	85%	\$870,110	\$870,110	\$60,676,014	85.8%	1.5%	\$6,146
ATU	31,154,431	6,241	\$4,992	36,642,325	85%	\$417,816	\$417,816	\$31,572,247	86.2%	1.3%	\$5,059
HSU	20,681,333	3,458	\$5,980	22,366,330	92%	\$272,143	\$272,143	\$20,953,476	93.7%	1.3%	\$6,059
SAUM	16,770,183	2,811	\$5,967	19,178,395	87%	\$206,224	\$206,224	\$16,976,407	88.5%	1.2%	\$6,040
UAF	122,330,210	17,386	\$7,036	151,030,688	81%	\$1,828,404	\$1,828,404	\$124,158,614	82.2%	1.5%	\$7,141
UAFS	23,290,526	5,378	\$4,331	28,232,381	82%	\$363,269	\$363,269	\$23,653,795	83.8%	1.6%	\$4,398
UALR	61,807,599	9,215	\$6,707	74,555,886	83%	\$963,895	\$963,895	\$62,771,494	84.2%	1.6%	\$6,812
UAM	14,085,317	2,269	\$6,209	14,463,104	97%	\$210,854	\$210,854	\$14,296,171	98.8%	1.5%	\$6,301
UAPB	23,534,773	3,070	\$7,665	24,278,507	97%	\$321,864	\$321,864	\$23,856,637	98.3%	1.4%	\$7,770
UCA	56,921,956	11,394	\$4,996	79,702,722	71%	\$817,158	\$817,158	\$57,739,114	72.4%	1.4%	\$5,068
<b>Total</b>	<b>\$430,382,233</b>	<b>71,094</b>	<b>\$6,054</b>	<b>\$521,128,221</b>	<b>83%</b>	<b>\$6,271,737</b>	<b>\$6,271,737</b>	<b>\$436,653,970</b>	<b>83.8%</b>	<b>1.5%</b>	<b>\$6,142</b>

**Table D. Non-Formula Entities: Operating Needs & Recommendations for Fiscal 2011**



Institution/Entity	2009-10	2010-11							
	Total Base	General Revenue Request	Need	Percent Increase Requested	PRELIMINARY AHECB Recommendations				
					2.3% Cola	Added Funding	Total New Funds	Total Appropriation	% Increase
ADTEC/ADWIRED	\$0	\$3,206,504	\$3,206,504		\$0	\$3,206,504	\$3,206,504	\$3,206,504	
AREON	\$0	\$413,614	\$413,614		\$0		\$0	\$0	
ASU-System	\$2,376,334	\$2,537,659	\$2,537,659	6.79%	\$41,953		\$41,953	\$2,418,287	1.8%
HSU-SWATLC	\$211,652	\$215,885	\$215,885	2.00%	\$3,640		\$3,640	\$215,292	1.7%
SAUT-ECC	\$404,050	\$802,455	\$477,455	98.60%	\$6,969		\$6,969	\$411,019	1.7%
SAUT-FTA	\$1,744,735	\$2,698,553	\$2,223,735	54.67%	\$23,536		\$23,536	\$1,768,271	1.3%
UA-SYS	\$3,697,920	\$3,766,639	\$3,766,639	1.86%	\$64,060		\$64,060	\$3,761,980	1.7%
UA-AS	\$2,469,845	\$3,053,960	\$2,786,272	23.65%	\$46,600		\$46,600	\$2,516,445	1.9%
UA-DivAgri	\$68,562,810	\$83,015,799	\$75,664,702	21.08%	\$1,268,239		\$1,268,239	\$69,831,049	1.8%
UA-ASMSA	\$8,222,494	\$8,644,875	\$8,644,875	5.14%	\$116,310		\$116,310	\$8,338,804	1.4%
UA-CS	\$2,307,237	\$2,353,382	\$2,353,382	2.00%	\$29,586		\$29,586	\$2,336,823	1.3%
UA-CJI	\$1,836,279	\$2,223,005	\$2,090,334	21.06%	\$23,878		\$23,878	\$1,860,157	1.3%
UALR-RAPS*	\$3,608,608	\$7,363,803	\$6,000,616	104.06%	\$72,621	\$2,319,387	\$2,392,008	\$6,000,616	66.3%
UAMS	\$107,271,943	\$118,264,388	\$118,264,388	10.25%	\$1,324,986		\$1,324,986	\$108,596,929	1.2%
UAMS-Child Safety	\$724,125	\$738,608	\$738,608	2.00%	\$0		\$0	\$724,125	0.0%
UAMS-IC	\$5,595,508	\$5,702,876	\$5,702,876	1.92%	\$0		\$0	\$5,595,508	0.0%
UAPB-Nonformula	\$3,666,251	\$4,239,574	\$4,239,574	15.64%	\$52,475	\$520,848	\$573,323	\$4,239,574	15.6%
ASU-Heritage	\$63,126	\$2,119,284	\$2,119,284	3257.23%	\$0	\$2,056,158	\$2,056,158	\$2,119,284	3257.2%
UAF-GWG	\$63,126	\$350,000	\$350,000	454.45%	\$759		\$759	\$63,885	1.2%
UA-WRI KBED Program	\$167,554	\$929,000	\$929,000	454.45%	\$0		\$0	\$167,554	0.0%
<b>Total</b>	<b>\$212,993,596</b>	<b>\$252,639,863</b>	<b>\$242,725,402</b>	<b>18.61%</b>	<b>\$3,075,612</b>	<b>\$8,102,897</b>	<b>\$11,178,509</b>	<b>\$224,172,105</b>	<b>5.2%</b>

**Table E. Technical Centers: Operating Needs & Recommendations for Fiscal 2011**



Institution/Entity	2009-10 Base			2010-11					
	RSA	Workforce 2000	Total Base	Formula Determined Need	PRELIMINARY AHECB Recommendations				
					2.3% Cola	Total New Funds	Total Appropriation	% of Need Met	% Increase
ATU-Ozark	2,414,331	637,674	3,052,004	\$4,728,809	\$50,714	\$50,714	\$3,102,718	65.6%	1.7%
UAM-Crossett	1,160,504	527,110	1,687,614	\$1,915,632	\$23,927	\$23,927	\$1,711,541	89.3%	1.4%
UAM-McGehee	1,733,279	566,958	2,300,237	\$2,330,599	\$30,362	\$30,362	\$2,330,599	100.0%	1.3%
<b>Total</b>	<b>\$5,308,114</b>	<b>\$1,731,742</b>	<b>\$7,039,856</b>	<b>\$8,975,040</b>	<b>\$105,003</b>	<b>\$105,003</b>	<b>\$7,144,859</b>	<b>88.8%</b>	<b>1.5%</b>

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## Table 2: 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 3. Annual Full-Time Equivalent Enrollment (FTE) for FY2008-09**

Four-Year Universities		Two-Year Colleges			
2008-09 FTE		2008-09 FTE		2008-09 FTE	
ASUJ	9,873	ANC	1,199	OTC	899
ATU	6,241	ASUB	3,284	OZC	896
HSU	3,458	ASUMH	928	PCCUA	1,336
SAUM	2,811	ASUN	1,087	PTC	6,341
UAF	17,386	BRTC	1,600	RMCC	584
UAFS	5,378	CCCUA	900	SACC	1,128
UALR	9,215	EACC	1,069	SAUT	1,312
UAM	2,269	MSCC	966	SEAC	1,520
UAPB	3,070	NAC	1,588	UACCB	1,188
UCA	11,394	NPCC	2,134	UACCH	905
		NWACC	4,433	UACCM	1,440
<b>Subtotal</b>	<b>71,095</b>				<b>36,737</b>
<b>Grand Total</b>					<b>107,832</b>

Note: For funding purposes, FTE calculated as of July 1, 2009.

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**TABLE 4**  
**2009-10 Full-time Annualized Fall Tuition and Mandatory Fees**

**TWO-YEAR INSTITUTION RESIDENT**

INSTITUTION	ADHE ESTIMATE OF 2009-10 SREB AVERAGE TUITION & FEES	2009-10 ANNUAL TUITION	2009-10 ANNUAL FEES	2009-10 TUITION & FEES
<b>LOCAL TAXES (IN-DISTRICT)</b>				
ANC	1,927	1,560	220	1,780
CCCUA	1,927	1,440	280	1,720
EACC	1,927	1,800	240	2,040
MSCC	1,927	1,800	320	2,120
NAC	1,927	1,650	150	1,800
NPCC	1,927	1,950	250	2,200
NWACC	1,927	1,980	513	2,493
PCCUA	1,927	1,650	380	2,030
RMCC	1,927	1,650	180	1,830
SACC	1,927	2,040	190	2,230
UACCB	1,927	1,620	590	2,210
UACCH	1,927	1,620	246	1,866
UACCM	1,927	2,100	540	2,640
<b>AVERAGE ANNUAL</b>	<b>1,927</b>	<b>1,758</b>	<b>315</b>	<b>2,074</b>
<b>LOCAL TAXES (OUT-OF-DISTRICT/IN-STATE)</b>				
ANC	2,297	1,860	220	2,080
ASUMH	2,297	2,310	450	2,760
CCCUA	2,297	1,740	280	2,020
EACC	2,297	2,040	240	2,280
MSCC	2,297	2,250	320	2,570
NAC	2,297	2,310	150	2,460
NPCC	2,297	2,250	250	2,500
NWACC	2,297	3,090	513	3,603
PCCUA	2,297	1,920	380	2,300
RMCC	2,297	2,040	180	2,220
SACC	2,297	2,220	190	2,410
UACCB	2,297	1,980	590	2,570
UACCH	2,297	1,770	246	2,016
UACCM	2,297	2,310	540	2,850
<b>AVERAGE ANNUAL</b>	<b>2,297</b>	<b>2,149</b>	<b>325</b>	<b>2,474</b>
<b>NO LOCAL TAXES (IN-STATE)</b>				
ASUB	2,297	2,340	330	2,670
ASUN	2,297	2,250	150	2,400
BRTC	2,297	2,100	90	2,190
OTC	2,297	1,770	482	2,252
OZC	2,297	2,100	470	2,570
PTC	2,297	2,400	400	2,800
SAUT	2,297	2,550	630	3,180
SEAC	2,297	2,040	280	2,320
<b>AVERAGE ANNUAL</b>	<b>2,297</b>	<b>2,147</b>	<b>378</b>	<b>2,548</b>

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

\* ADHE staff has estimated the 2009-10 SREB tuition fee amounts using a four year average increase of the median SREB annual tuition fee rates.

**TABLE 4**  
**2009-10 Full-time Annualized Fall Tuition and Mandatory Fees**

**TWO-YEAR INSTITUTION NON-RESIDENT**

INSTITUTION	ADHE ESTIMATE OF 2009-10 SREB AVERAGE TUITION & FEES	2009-10 ANNUAL TUITION	2009-10 ANNUAL FEES	2009-10 TUITION & FEES
<b>LOCAL TAXES</b>				
ASUMH	7,705	3,960	450	4,410
ANC	7,705	3,360	220	3,580
CCCUA	7,705	4,500	280	4,780
EACC	7,705	2,460	240	2,700
MSCC	7,705	4,050	320	4,370
NAC	7,705	4,440	150	4,590
NPCC	7,705	4,020	250	4,270
NWACC	7,705	4,350	513	4,863
PCCUA	7,705	3,060	380	3,440
RMCC	7,705	5,100	180	5,280
SACC	7,705	4,170	190	4,360
UACCB	7,705	3,600	590	4,190
UACCH	7,705	3,450	246	3,696
UACCM	7,705	3,360	540	3,900
<b>AVERAGE ANNUAL</b>	<b>7,705</b>	<b>3,849</b>	<b>325</b>	<b>4,173</b>
<b>NO LOCAL TAXES</b>				
ASUB	7,705	4,020	330	4,350
ASUN	7,705	3,780	150	3,930
BRTC	7,705	5,460	90	5,550
OTC	7,705	3,540	482	4,022
OZC	7,705	5,040	470	5,510
PTC	7,705	3,930	400	4,330
SAUT	7,705	3,870	630	4,500
SEAC	7,705	4,080	280	4,360
<b>AVERAGE ANNUAL</b>	<b>7,705</b>	<b>3,998</b>	<b>378</b>	<b>4,569</b>

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

\* ADHE staff has estimated the 2009-10 SREB tuition fee amounts using a four year average increase of the median SREB annual tuition fee rates.

**TABLE 4**  
**2009-10 Full-time Annualized Fall Tuition and Mandatory Fees**  
**FOUR-YEAR INSTITUTION UNDERGRADUATE RESIDENT**

INSTITUTION	ADHE ESTIMATE OF 2009-10 SREB AVERAGE TUITION & FEES	2009-10 ANNUAL TUITION	2009-10 ANNUAL FEES	2009-10 TUITION & FEES
UAF	6,653	5,010	1,449	6,459
<b>LEVEL 1 GROUP AVERAGE</b>	<b>6,653</b>	<b>5,010</b>	<b>1,449</b>	<b>6,459</b>
ASUJ	5,869	4,890	1,480	6,370
UALR	5,869	5,033	1,298	6,331
UCA	5,869	5,205	1,493	6,698
<b>LEVEL 3 GROUP AVERAGE</b>	<b>5,869</b>	<b>5,043</b>	<b>1,424</b>	<b>6,466</b>
ATU	5,838	5,010	600	5,610
HSU	5,838	5,100	1,104	6,204
<b>LEVEL 4 GROUP AVERAGE</b>	<b>5,838</b>	<b>5,055</b>	<b>852</b>	<b>5,907</b>
SAUM	4,911	5,100	966	6,066
UAM	4,911	3,510	1,240	4,750
<b>LEVEL 5 GROUP AVERAGE</b>	<b>4,911</b>	<b>4,305</b>	<b>1,103</b>	<b>5,408</b>
UAPB	4,904	3,540	1,256	4,796
UAFS	4,904	3,420	1,180	4,600
<b>LEVEL 6 GROUP AVERAGE</b>	<b>4,904</b>	<b>3,480</b>	<b>1,218</b>	<b>4,698</b>

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

INSTITUTION	ADHE ESTIMATE OF 2009-10 SREB AVERAGE TUITION & FEES	2009-10 ANNUAL TUITION	2009-10 ANNUAL FEES	2009-10 TUITION & FEES
UAF	18,858	13,887	1,449	15,336
<b>LEVEL 1 GROUP AVERAGE</b>	<b>18,858</b>	<b>13,887</b>	<b>1,449</b>	<b>15,336</b>
ASUJ	16,508	12,810	1,480	14,290
UALR	16,508	13,500	1,298	14,798
UCA	16,508	10,410	1,493	11,903
<b>LEVEL 3 GROUP AVERAGE</b>	<b>16,508</b>	<b>12,240</b>	<b>1,424</b>	<b>13,664</b>
ATU	14,943	10,020	600	10,620
HSU	14,943	10,200	1,104	11,304
<b>LEVEL 4 GROUP AVERAGE</b>	<b>14,943</b>	<b>10,110</b>	<b>852</b>	<b>10,962</b>
SAUM	13,757	7,740	966	8,706
UAM	13,757	7,770	1,240	9,010
<b>LEVEL 5 GROUP AVERAGE</b>	<b>13,757</b>	<b>7,755</b>	<b>1,103</b>	<b>8,858</b>
UAPB	11,921	8,220	1,256	9,476
UAFS	11,921	8,820	1,180	10,000
<b>LEVEL 6 GROUP AVERAGE</b>	<b>11,921</b>	<b>8,520</b>	<b>1,218</b>	<b>9,738</b>

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

\* ADHE staff has estimated the 2009-10 SREB tuition fee amounts using a four year average increase of the median SREB annual tuition fee rates.



**TABLE 4**  
**2009-10 Full-time Annualized Fall Tuition and Mandatory Fees**  
**FOUR-YEAR INSTITUTION GRADUATE RESIDENT**

INSTITUTION	ADHE ESTIMATE OF 2009-10 SREB AVERAGE TUITION & FEES	2009-10 ANNUAL TUITION	2009-10 ANNUAL FEES	2009-10 TUITION & FEES
UAF	6,979	7,072	1,117	8,189
<b>LEVEL 1 GROUP AVERAGE</b>	<b>6,979</b>	<b>7,072</b>	<b>1,117</b>	<b>8,189</b>
ASUJ	5,447	4,992	1,198	6,190
UALR	5,447	5,652	1,039	6,691
UCA	5,447	5,136	1,225	6,361
<b>LEVEL 3 GROUP AVERAGE</b>	<b>5,447</b>	<b>5,260</b>	<b>1,154</b>	<b>6,414</b>
ATU	5,625	4,584	536	5,120
HSU	5,625	5,064	1,003	6,067
<b>LEVEL 4 GROUP AVERAGE</b>	<b>5,625</b>	<b>4,824</b>	<b>770</b>	<b>5,594</b>
SAUM	4,453	5,064	770	5,834
UAM	4,453	4,152	984	5,136
<b>LEVEL 5 GROUP AVERAGE</b>	<b>4,453</b>	<b>4,608</b>	<b>877</b>	<b>5,485</b>
UAPB	5,227	3,624	1,040	4,664
<b>LEVEL 6 GROUP AVERAGE</b>	<b>5,227</b>	<b>3,624</b>	<b>1,040</b>	<b>4,664</b>

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

INSTITUTION	ADHE ESTIMATE OF 2009-10 SREB AVERAGE TUITION & FEES	2009-10 ANNUAL TUITION	2009-10 ANNUAL FEES	2009-10 TUITION & FEES
UAF	18,322	16,731	1,117	17,848
<b>LEVEL 1 GROUP AVERAGE</b>	<b>18,322</b>	<b>16,731</b>	<b>1,117</b>	<b>17,848</b>
ASUJ	14,115	12,720	1,198	13,918
UALR	14,115	12,720	1,039	13,759
UCA	14,115	10,272	1,225	11,497
<b>LEVEL 3 GROUP AVERAGE</b>	<b>14,115</b>	<b>11,904</b>	<b>1,154</b>	<b>13,058</b>
ATU	15,107	9,168	536	9,704
HSU	15,107	10,128	1,003	11,131
<b>LEVEL 4 GROUP AVERAGE</b>	<b>15,107</b>	<b>9,648</b>	<b>770</b>	<b>10,418</b>
SAUM	11,694	7,440	770	8,210
UAM	11,694	9,144	984	10,128
<b>LEVEL 5 GROUP AVERAGE</b>	<b>11,694</b>	<b>8,292</b>	<b>877</b>	<b>9,169</b>
UAPB	13,711	8,376	1,040	9,416
<b>LEVEL 6 GROUP AVERAGE</b>	<b>13,711</b>	<b>8,376</b>	<b>1,040</b>	<b>9,416</b>

\* ADHE staff has estimated the 2009-10 SREB tuition fee amounts using a four year average increase of the median SREB annual tuition fee rates.

**TABLE 4**

**2009-10 Full-time Annualized Fall Tuition and Mandatory Fees**

**PROFESSIONAL UNDERGRADUATE**

INSTITUTION	ADHE ESTIMATE OF 2009-10 SREB AVERAGE TUITION & FEES	2009-10 ANNUAL TUITION	2009-10 ANNUAL FEES	2009-10 TUITION & FEES
<b>RESIDENT</b>				
UAMS - HRP	N/A	5,670	241	5,911
UAMS- NURSING	N/A	4,992	241	5,233
<b>NONRESIDENT</b>				
UAMS - HRP	N/A	13,740	241	13,981
UAMS- NURSING	N/A	12,456	241	12,697

**PROFESSIONAL GRADUATE**

INSTITUTION	ADHE ESTIMATE OF 2009-10 SREB AVERAGE TUITION & FEES	2009-10 ANNUAL TUITION	2009-10 ANNUAL FEES	2009-10 TUITION & FEES
<b>RESIDENT</b>				
UAF-LAW	15,222	7,423	1,194	8,617
UALR-LAW	15,222	7,816	1,303	9,119
UAMS-MEDICINE	19,277	17,124	827	17,951
UAMS-PHARMACY	17,098	10,120	243	10,363
UAMS-GRADUATE	N/A	5,840	241	6,081
<b>NONRESIDENT</b>				
UAF-LAW	28,370	15,957	1,194	17,151
UALR-LAW	28,370	17,132	1,303	18,435
UAMS-MEDICINE	40,480	34,248	827	35,075
UAMS-PHARMACY	30,517	20,240	243	20,483
UAMS-GRADUATE	N/A	12,540	241	12,781

\* ADHE staff has estimated the 2009-10 SREB tuition fee amounts using a four year average increase of the median SREB annual tuition fee rates.

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## ARKANSAS STATE UNIVERSITY-SYSTEM

### 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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#### Operating Requests:

The Arkansas State University-System (ASU System) requests additional state appropriations to support increasing needs to support the System administration.

- Increase in Maintenance and Operations to accommodate increased lease costs totaling \$14,831.
- Increase in travel category to accommodate inflationary increases in travel expenses totaling \$1,335.

#### Personnel Request:

The Arkansas State University-System (ASU System) requests \$79,285 in additional state appropriations for the following personnel needs:

- Salary Increases of 3% on the base;
- An additional non-classified position (Project/Program Specialist) and additional personnel funding to accommodate the expansion of the internal audit function to the two-year schools (ASU-Beebe, ASU-Mountain Home, and ASU-Newport)

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# ARKANSAS STATE UNIVERSITY-JONESBORO

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### Operating Requests:

Arkansas State University-Jonesboro is a formula driven entity and did not make a request for general revenue.

Arkansas State University-Jonesboro is not requesting additional cash appropriation at this time.

### Personnel Request:

#### **Research:**

Arkansas State University-Jonesboro has continued to embark upon increased levels of research activity and will be expanding and focusing resources both budgetary and personnel to support this growth. To provide continued support and expansion of the research efforts at Arkansas State University-Jonesboro, the following new positions have been requested:

- Director of Sponsored Programs
- Director of Research Computing
- Director of Laboratory Safety, Compliance and Training
- (3) Grant Writers

#### **Enrollment Growth:**

Arkansas State University-Jonesboro has embarked upon a very aggressive recruitment effort in the international student arena and has experienced substantial enrollment growth in the last two years. To provide sufficient numbers of faculty positions to support this growth in enrollment Arkansas State University-Jonesboro requests 15 additional 12-month faculty positions.

#### **Competitive Market Rates for Faculty/Additional Faculty Positions:**

Arkansas State University-Jonesboro requests an additional 20 faculty positions and higher line item maximums for all faculty to provide recruitment opportunities of the best and brightest faculty members within all colleges. The additional 20 faculty positions within the College of Business are to support the emphasis on International Business.

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# ARKANSAS STATE UNIVERSITY-ARKANSAS BIOSCIENCES INSTITUTE (ABI)

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### Operating Requests:

Arkansas Biosciences Institute (ABI) resources are generated from the annual tobacco settlement allocation. The allocation of resources from the tobacco settlement generally occurs during late July of any given fiscal year, well after the Legislative session has ended. The 2010-11 budget request includes sufficient appropriation to cover the actual forecasted revenues for fiscal year 2009-10 as well as an annual increase of 15% in all categories. To accommodate the normal cycle of funding for ABI, a contingency line has been added as well. This contingency line item category will provide sufficient appropriation to cover any additional forecasted revenues during any given fiscal year.

### Personnel Request:

No additional positions or line item maximum adjustments were requested for ABI for 2010-11.



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# ARKANSAS STATE UNIVERSITY-ARKANSAS HERITAGE SITES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### Operating Requests:

The Arkansas Heritage SITES program includes three Delta heritage sites, a coordinating office on the Arkansas State University-Jonesboro campus, and support from the Arkansas State University Museum. These rural heritage sites include the Hemingway-Pfeiffer Museum and Educational Center at Piggott, the Southern Tenant Farmers Museum at Tyronza, and the Lakeport Plantation at Lake Village. These programs serve as educational laboratories for students in the Heritage Studies Ph.D. program as well as other graduate and undergraduate programs, and professional development programs for teachers. In addition, the Heritage SITES program serve as an economic catalyst for rural Arkansas communities by providing technical support for natural and cultural heritage tourism and preservation-based economic development strategies. Requested funding in the amount of \$2,119,284 will provide for ongoing operation of existing sites, development of educational programming at each site, and field services for rural Arkansas communities. Administrative staff members also will have teaching responsibilities in the Heritage Studies Ph.D. program.

### Personnel Request:

The Arkansas Heritage SITES program requests no additional positions at this time.

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION ARKANSAS STATE UNIVERSITY

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	61,254,376		62,572,914		65,678,281		75,334,828		65,213,585	
2 CASH	118,029,130		237,174,683		237,174,683		237,174,683		237,174,683	
3 ARKANSAS BIOSCIENCES INSTITUTE	3,504,197		3,496,605		3,496,605		4,966,145		4,966,145	
4										
5										
6										
7										
8										
9										
10										
11 TOTAL	\$182,787,703	2,145	\$303,244,202	2,001	\$306,349,569	2,032	\$317,475,656	1,268	\$307,354,413	1,262
<b>FUNDING SOURCES</b>		<b>%</b>		<b>%</b>				<b>%</b>		<b>%</b>
12 PRIOR YEAR FUND BALANCE*	64,601	0%	327,550	0%				0%		0%
13 GENERAL REVENUE	55,636,390	30%	56,246,843	19%			69,336,307	22%	59,215,064	19%
14 EDUCATIONAL EXCELLENCE TRUST FUND	5,964,362	3%	5,998,521	2%			5,998,521	2%	5,998,521	2%
15 WORKFORCE 2000	0	0%	0	0%				0%		0%
16 CASH FUNDS	118,029,130	64%	237,174,683	78%			237,174,683	75%	237,174,683	77%
17 SPECIAL REVENUES	0	0%	0	0%				0%		0%
18 FEDERAL FUNDS	0	0%	0	0%				0%		0%
19 TOBACCO SETTLEMENT FUNDS	3,439,596	2%	3,496,605	1%			4,966,145	2%	4,966,145	2%
20 OTHER FUNDS	45,095	0%		0%				0%		0%
21 TOTAL INCOME	\$183,179,174	100%	\$303,244,202	100%			\$317,475,656	100%	\$307,354,413	100%
22 EXCESS (FUNDING)/APPROPRIATION	(\$391,471)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$8,939,501
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$6,884,410
INVENTORIES	\$909,242
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	N/A
INSURANCE DEDUCTIBLES	\$100,000
MAJOR CRITICAL SYSTEMS FAILURES	\$0
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$12,242,084
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	\$0
OTHER (FOOTNOTE BELOW)	\$0
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	(\$11,196,235)

\*Line 12 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 FISCAL YEAR 2011**

ARKANSAS STATE UNIVERSITY-JONESBORO  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	42,774,097	45,596,024	46,507,944
2 RESEARCH	2,141,578	123,041	125,502
3 PUBLIC SERVICE	2,590,359	2,116,356	2,158,683
4 ACADEMIC SUPPORT	14,243,043	14,100,649	14,382,662
5 STUDENT SERVICES	7,553,283	7,039,242	7,180,027
6 INSTITUTIONAL SUPPORT	12,965,789	17,094,845	17,436,742
7 PHYSICAL PLANT M&O	12,398,818	12,334,279	12,580,965
8 SCHOLARSHIPS & FELLOWSHIPS	17,597,147	17,027,033	17,367,574
9			
10			
11			
12			
13 MANDATORY TRANSFERS	2,517,612	3,103,018	3,165,078
14 AUXILIARY TRANSFERS	1,124,400	1,124,400	1,124,400
15 NON-MANDATORY TRANSFERS	11,135,626	1,629,083	1,661,664
16 TOTAL UNREST. E&G EXP.	\$127,041,752	\$121,287,970	\$123,691,241
17 NET LOCAL INCOME	67,747,291	61,143,319	62,864,588
18 PRIOR YEAR BALANCE***		150,639	150,639
STATE FUNDS:			
19 GENERAL REVENUE	53,285,004	53,807,383	54,677,493
20 EDUCATIONAL EXCELLENCE	5,964,362	5,998,521	5,998,521
21 WORKFORCE 2000		0	
22 TOBACCO SETTLEMENT FUNDS		0	
23 OTHER STATE FUNDS **	45,095	188,108	
24 TOTAL SOURCES OF INCOME	\$127,041,752	\$121,287,970	\$123,691,241

FORM 10-2

\* 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:	Actual 2008-2009	Budgeted 2009-2010
Temporary Stimulus Funding	\$ -	\$ 188,108
Tuition Adjustment	38,696	0
M & R Transfer	6,399	0
	<u>\$ 45,095</u>	<u>\$ 188,108</u>

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011(Non-Formula Entities)**

ARKANSAS STATE UNIVERSITY-SYSTEM  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 NON-CLASSIFIED SALARIES	1,447,892	1,392,113	1,317,305	1,255,339
2 CLASSIFIED SALARIES	79,750	113,529	187,282	178,472
3 STAFF BENEFITS	331,535	430,003	430,840	410,573
4 EXTRA HELP	15,000	0	0	0
5 MAINTENANCE & OPERATIONS	364,410	541,566	556,397	530,224
6 CAPITAL OUTLAY	0	0	0	0
7 TRAVEL	152,646	44,500	45,835	43,679
8 DEBT SERVICE	0	0	0	0
9				
10				
11				
12				
13 MANDATORY TRANSFERS				
14 AUXILIARY TRANSFERS				
15 NON-MANDATORY TRANSFERS	169,840			
16 TOTAL UNREST. E&G EXP.	\$2,561,073	\$2,521,711	\$2,537,659	\$2,418,287
17 NET LOCAL INCOME	209,687	145,377		
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE	2,351,386	2,376,334	2,537,659	2,418,287
20 EDUCATIONAL EXCELLENCE				
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$2,561,073	\$2,521,711	\$2,537,659	\$2,418,287

FORM 10-2A

\* 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 FISCAL YEAR 2011(Non-Formula Entities)**

ARKANSAS STATE UNIVERSITY-HERITAGE SITES  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 NON-CLASSIFIED SALARIES	0	0	852,286	852,286
2 CLASSIFIED SALARIES	0	0	181,430	181,430
3 STAFF BENEFITS	0	0	291,257	291,257
4 EXTRA HELP	0	0	48,935	48,935
5 MAINTENANCE & OPERATIONS	0	63,126	560,976	560,976
6 CAPITAL OUTLAY	0	0	154,400	154,400
7 TRAVEL	0	0	30,000	30,000
8 DEBT SERVICE	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	\$63,126	\$2,119,284	\$2,119,284
17 NET LOCAL INCOME				
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE	0	63,126	2,119,284	2,119,284
20 EDUCATIONAL EXCELLENCE				
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$0	\$63,126	\$2,119,284	\$2,119,284

FORM 10-2A

\* 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 FISCAL YEAR 2011**

ARKANSAS STATE UNIVERSITY-JONESBORO  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	61,048,018	54,631,918	56,218,387
2 ALL OTHER FEES	2,687,997	1,497,580	1,539,812
3 OFF-CAMPUS CREDIT	3,296	3,282,532	3,375,099
4 NON-CREDIT INSTRUCTION	8,078	0	
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	670,290	564,900	564,901
6 INVESTMENT INCOME	339,881	400,000	400,000
7 OTHER CASH INCOME:	2,989,731	766,389	766,389
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	67,747,291	61,143,319	62,864,588
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$67,747,291	\$61,143,319	\$62,864,588

FORM 10-3

<b>Other Cash Income:</b>	<b>2008-09 Actual</b>	<b>2009-10 Budgeted</b>
Federal Grants	1,020,537	50,000
State Grants	517,218	50,000
Private & Local Grants	1,188,909	50,000
Rental & Lease Income	149,076	0
Other Miscellaneous Income	113,991	616,389
Total	<u>\$ 2,989,731</u>	<u>\$ 766,389</u>

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

ARKANSAS STATE UNIVERSITY-SYSTEM  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	0	0	0
2 ALL OTHER FEES	0	0	0
3 OFF-CAMPUS CREDIT	0	0	0
4 NON-CREDIT INSTRUCTION	0	0	0
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	0	0	0
6 INVESTMENT INCOME	0	0	0
7 OTHER CASH INCOME:	209,687	145,377	0
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	209,687	145,377	0
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$209,687	\$145,377	\$0

FORM 10-3

**Other Cash Income:**

Private Gifts & Grants  
Transfer from Plant  
Total

	2008-09 Actual	2009-10 Budgeted
	134,827	145,377
	74,860	0
	<u>\$ 209,687</u>	<u>\$ 145,377</u>



**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CKA0000

INSTITUTION ARKANSAS STATE UNIVERSITY

APPROPRIATION 299

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	49,711,754	49,725,828	51,738,238	50,637,891	
2 EXTRA HELP WAGES	72,405	2,686	72,405	72,405	
3 OVERTIME	0	0	0	0	
4 PERSONAL SERVICES MATCHING	5,954,327	6,090,238	6,394,327	5,603,168	
5 OPERATING EXPENSES	3,965,972	6,063,673	6,366,435	6,023,961	
6 CONFERENCE FEES & TRAVEL	56,876	0	56,876	56,876	
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)	0	0	0	0	
8 CAPITAL OUTLAY	986,643	190,489	200,000	200,000	
9 DATA PROCESSING SERVICES	0	0	0	0	
10 FUNDED DEPRECIATION	500,000	500,000	500,000	500,000	
11 M & R EXPENSES	6,399				
12 HERITAGE SITES TOTAL APPROPRIATION			350,000	2,119,284	
13					
14 TOTAL APPROPRIATION	\$61,254,376	\$62,572,914	\$65,678,281	\$65,213,585	\$0
15 PRIOR YEAR FUND BALANCE**		327,550		0	
16 GENERAL REVENUE	55,636,390	56,246,843		59,215,064	
17 EDUCATIONAL EXCELLENCE TRUST FUNI	5,964,362	5,998,521		5,998,521	
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS	45,095				
22 TOTAL INCOME	\$61,645,847	\$62,572,914		\$65,213,585	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$391,471)	\$0		\$0	\$0

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

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

FORM 10-4

**Prior Year Fund Balance =** FY08 State Treasury Carryforward of \$92,420 and FY09 State Treasury Carryforward of \$447,995

<b>Other State Treasury Funds:</b>	<b>2008-09 Actual</b>
Tuition Adjustment	\$ 38,696
M & R Transfer	6,399
Total	<u>\$ 45,095</u>

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND TSF0100

INSTITUTION ARKANSAS STATE UNIVERSITY  
ARKANSAS BIOSCIENCES INSTITUTE

APPROPRIATION 318

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	1,644,743	1,888,536	951,228	1,978,969	
2 EXTRA HELP WAGES	0	15,000	51,000	15,000	
3 OVERTIME	0	0	0	0	
4 PERSONAL SERVICES MATCHING	335,402	442,758	402,307	510,506	
5 OPERATING EXPENSES	1,111,166	1,045,311	1,502,702	1,812,170	
6 CONFERENCE FEES & TRAVEL		0	0	0	
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)	0	0	0	0	
8 CAPITAL OUTLAY	412,886	105,000	589,368	149,500	
9 DATA PROCESSING SERVICES	0	0	0	0	
10 FUNDED DEPRECIATION	0	0	0	0	
11 M & R TRANSFER	0	0	0	0	
12					
13 CONTINGENCY				500,000	
14 TOTAL APPROPRIATION	\$3,504,197	\$3,496,605	\$3,496,605	\$4,966,145	\$0
15 PRIOR YEAR FUND BALANCE**	64,601				
16 GENERAL REVENUE					
17 EDUCATIONAL EXCELLENCE TRUST FUND					
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS	3,439,596	3,496,605		4,966,145	
21 OTHER STATE TREASURY FUNDS					
22 TOTAL INCOME	\$3,504,197	\$3,496,605		\$4,966,145	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2050000

INSTITUTION ARKANSAS STATE UNIVERSITY

APPROPRIATION A70

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	19,073,867	22,032,300	22,032,300	22,032,300	
2 EXTRA HELP WAGES	7,532,585	13,551,373	13,551,373	13,551,373	
3 OVERTIME	0	200,000	200,000	200,000	
4 PERSONAL SERVICES MATCHING	12,775,304	14,459,570	14,459,570	14,459,570	
5 OPERATING EXPENSES	40,389,507	45,792,069	45,792,069	45,792,069	
6 CONFERENCE FEES & TRAVEL	117,595	4,029,129	4,029,129	4,029,129	
7 PROFESSIONAL FEES AND SERVICES	4,355,381	10,947,230	10,947,230	10,947,230	
8 DATA PROCESSING	0	8,155,000	8,155,000	8,155,000	
9 CAPITAL OUTLAY	15,105,699	11,710,654	11,710,654	11,710,654	
10 CAPITAL IMPROVEMENTS	16,597,955	93,972,358	93,972,358	93,972,358	
11 DEBT SERVICE	1,890,308	8,000,000	8,000,000	8,000,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENT	0	4,000,000	4,000,000	4,000,000	
13 PROMOTIONAL MATERIALS	190,929	200,000	200,000	200,000	
14 RESALE		125,000	125,000	125,000	
15					
16					
17 TOTAL APPROPRIATION	\$118,029,130	\$237,174,683	\$237,174,683	\$237,174,683	\$0
18 PRIOR YEAR FUND BALANCE***					
19 LOCAL CASH FUNDS					
20 FEDERAL CASH FUNDS					
21 OTHER CASH FUNDS	118,029,130	237,174,683		237,174,683	
22 TOTAL INCOME	\$118,029,130	\$237,174,683		\$237,174,683	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS	NON-CLASSIFIED POSITIONS	LEG REC
	2008-09	2009-10	2009-10	REQUESTED 2010-11	RECOMMENDED 2010-11	2010-11
REGULAR POSITIONS	1,744	1,687	1,984	1,227	1,221	
TOBACCO POSITIONS	41	44	48	41	41	
EXTRA HELP **	2,114	2,114	2,114	2,114	2,114	

FORM 10-5

\*\* 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 FOR FISCAL YEAR 2011**

ARKANSAS STATE UNIVERSITY-JONESBORO  
 (NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *	7,693,284	10,759,959	0	(3,066,675)	8,120,897	10,178,747	0	(2,057,850)
2 RESIDENCE HALL	7,115,442	3,351,972	2,653,845	1,109,625	8,921,098	4,897,943	4,223,201	(200,046)
3 MARRIED STUDENT HOUSING	1,511,649	401,916	947,995	161,738	1,551,307	367,423	946,757	237,127
4 FACULTY HOUSING	134,642	39,808	0	94,834	321,420	142,700	0	178,720
5 FOOD SERVICES	538,012	207,921	0	330,091	350,000	177,834	0	172,166
6 COLLEGE UNION	2,354,573	1,080,726	1,200,476	73,371	2,373,000	1,127,328	1,198,370	47,302
7 BOOKSTORE	222,144	61,124	0	161,020	222,143	68,000	0	154,143
8 STUDENT ORGANIZATIONS AND PUBLICATIONS	156,214	156,214	0	0	172,666	216,666	0	(44,000)
9 STUDENT HEALTH SERVICES	0	0	0	0	0	0	0	0
10 OTHER	4,480,872	3,636,387	538,506	305,979	3,269,737	2,473,343	408,356	388,038
11 SUBTOTAL	\$24,206,832	\$19,696,027	\$5,340,822	(\$830,017)	\$25,302,268	\$19,649,984	\$6,776,684	(\$1,124,400)
12 ATHLETIC TRANSFER **	1,124,400			1,124,400	1,124,400			1,124,400
13 OTHER TRANSFERS ***	(78,455)			(78,455)				0
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$25,252,777	\$19,696,027	\$5,340,822	\$215,928	\$26,426,668	\$19,649,984	\$6,776,684	\$0

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

\*\* 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.

FORM 10-6

**EMPLOYMENT INFORMATION  
IDENTIFICATION BY EMPLOYMENT CLASSIFICATION**

ARKANSAS STATE UNIVERSITY-JONESBORO \_\_\_\_\_  
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2008-09:					<u>1435</u>
(As of November 1, 2008 )					
Nonclassified Administrative Employees:					
White Male:	<u>115</u>	Black Male:	<u>18</u>	Other Male:	<u>10</u>
White Female:	<u>189</u>	Black Female:	<u>24</u>	Other Female:	<u>7</u>
				Total Male:	<u>143</u>
				Total Female:	<u>220</u>
Nonclassified Health Care Employees:					
White Male:	<u>          </u>	Black Male:	<u>          </u>	Other Male:	<u>          </u>
White Female:	<u>          </u>	Black Female:	<u>          </u>	Other Female:	<u>          </u>
				Total Male:	<u>0</u>
				Total Female:	<u>0</u>
Classified Employees:					
White Male:	<u>200</u>	Black Male:	<u>30</u>	Other Male:	<u>6</u>
White Female:	<u>309</u>	Black Female:	<u>48</u>	Other Female:	<u>9</u>
				Total Male:	<u>236</u>
				Total Female:	<u>366</u>
Faculty:					
White Male:	<u>189</u>	Black Male:	<u>11</u>	Other Male:	<u>31</u>
White Female:	<u>196</u>	Black Female:	<u>26</u>	Other Female:	<u>17</u>
				Total Male:	<u>231</u>
				Total Female:	<u>239</u>
Total White Male:	<u>504</u>	Total Black Male:	<u>59</u>	Total Other Male:	<u>47</u>
Total White Female:	<u>694</u>	Total Black Female:	<u>98</u>	Total Other Female:	<u>33</u>
Total White:	<u>1198</u>	Total Black:	<u>157</u>	Total Other:	<u>80</u>
			<b>Total Minority:</b>	<u>237</u>	
				Total Employees:	<u>1435</u>

FORM 10-8

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF Arkansas State University**  
**June 30, 2008**

<i>Finding:</i>	<p><u>Arkansas State University - Jonesboro</u></p> <p>On February 29, 2008, the University executed an initial contract of \$11,838,063 for the construction of the Center for Health Sciences building, substantially funded from private funds. Ark. Code Ann. § 19-4-1413 and § 19-4-1415 stipulate certain requirements for such projects. The University did not comply with the following key provisions:</p> <ul style="list-style-type: none"> <li>A. The University did not adopt the required resolution and procedures setting forth the method of selecting the applicable professionals to construct the building.</li> <li>B. There was no public notice and solicitation granting the opportunity for qualified, licensed professionals to submit proposals on the project.</li> </ul>
<i>University's Response:</i>	<p>The University concurs with the finding. As noted, funding for this project is from private funds. The professionals selected for this project were well-known to the University and highly-qualified and the University filed the appropriate method of finance document with the Arkansas Department of Finance and Administration. The University will endeavor to comply with the cited provisions when undertaking future construction projects.</p>
<i>Finding:</i>	<p>The University disbursed funds for supplies and promotional materials (\$135,316), catering services (\$2,862), and equipment repair (\$1,925) to three businesses in which employees had financial interests which they had not properly reported to the Director of the Department of Finance and Administration as ethics provisions in Ark. Code Ann. §§ 19-11-701-717 require. In addition, the University did not have a procedure in place to provide the Procurement Office with a copy of disclosure forms on which employees reported financial interest in businesses or contracts.</p>
<i>University's Response:</i>	<p>The University concurs with the finding. The University will establish procedures to provide copies of the required employee disclosure forms to the procurement office and insure compliance with the cited provisions.</p>
<i>Finding:</i>	<p>The University Internal Audit Department (IA) reported and this audit verified, instances of misappropriation of assets, totaling \$27,720, involving University-</p>

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF Arkansas State University**  
**June 30, 2008**

	<p>issued procurement cards (P-card) in two departments.</p> <p><u>Center for Learning Technologies</u>          IA reported unaccounted for assets of \$26,553 purchased during the period January 1, 2006 through December 31, 2007 as follows:</p> <ul style="list-style-type: none"> <li>• Belinda Wayman, Secretary I/Secretary II, was custodian of two P-cards on which unaccounted for purchases totaled \$25,289. Ms. Wayman was terminated from employment in September 2007 and the University notified the Prosecuting Attorney of the Second Judicial District about the misuse of P-cards and, as of report date, the Jonesboro Police Department has an ongoing investigation.</li> <li>• Dr. William Allen, Director, was custodian of a P-card on which unaccounted for purchases totaled \$1,264. Dr. Allen, who resigned his position in October 2007 to return to a faculty position, agreed to reimburse the University through payroll deductions and \$550 has been reimbursed as of report date.</li> </ul> <p><u>Education Renewal Zone Program</u>          Barbie Caldwell, former Administrative Assistant, was custodian of a P-card on which unaccounted for purchases totaled \$1,167 during the period of January 1, 2007 through March 31, 2008. Ms. Caldwell returned assets valued at \$194 and reimbursed the remaining \$973.</p>
<p><i>University's Response:</i></p>	<p>The University concurs with the finding. The University has reviewed and strengthened the internal control of its procurement card program and will continue to actively pursue recovery of the misappropriated funds.</p>
<p><i>Finding:</i></p>	<p><b>INFORMATION SYSTEM FINDING</b>          We performed audit procedures on the Oracle Database security and controls for the period June 30, 2008 through November 12, 2008. The following information systems control weakness was noted:</p>

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF Arkansas State University**  
**June 30, 2008**

	Weak password control parameters were present. This condition increases the likelihood that an unauthorized person could gain access to the database.
<i>Recommendation:</i>	Implement strengthened password parameters to decrease the likelihood of unauthorized access to the database.
<i>University's Response:</i>	The University concurs with the finding and has now established strong password parameters on all accounts.
<i>Finding:</i>	One student in our test was enrolled on the eleventh day of the spring semester at a satellite campus; however, was reported as being withdrawn. The error resulted from reporting students as withdrawn, because the satellite campus did not timely submit its enrollment data to the Jonesboro campus.
<i>University's Response:</i>	The University concurs with the finding. The University will review and revise as necessary its procedures for reporting enrollment data.

The Arkansas Department of Finance and Administration (DFA) is tasked with the responsibility of preparing the State's Schedule of Expenditures of Federal Awards (SEFA). In order to ensure timely and accurate reporting, as well as allow for adequate planning of the Single Audit, each State/Educational Agency is required to submit a *Federal Awards Data Collection Workbook* to DFA by a pre-determined date. Upon receipt of the workbook, DFA compiles, reviews and makes the necessary adjustments to prepare the SEFA. A review of this process revealed several late submissions. Arkansas State University – Jonesboro was 25 days late in submitting the Workbook to DFA. A list of the federal programs that were reported late can be found in the Single Audit Report for the year ended June 30, 2008 beginning on page 40.

In reviewing the SEFA DFA also found that Arkansas State University omitted federal expenditures of \$8,288,655 for the Federal Perkins Loan Program Federal Capital Contributions program, CFDA 84.038. Appropriate audit adjustments have subsequently been made by DFA to correct the SEFA.



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# ARKANSAS TECH UNIVERSITY

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### Operating Requests:

Arkansas Tech University is a formula driven entity and did not make a request for general revenue.

The University is requesting an increase in Cash Fund Appropriations for extra labor costs and operating expenses. The requests are directly related to increased student population from 7,498 students in the Fall of 2008 to 8,832 students in the Fall of 2009 and the addition of 79,200 square feet of classrooms, labs and faculty offices.

### Personnel Request:

The University requested a line item maximum increase for assistant athletic trainer. These positions are critical for the health and safety of our intercollegiate student-athletes. The requested increase was based on our employee turnover rate and the national average annual salary for an assistant athletic trainer for men's sports is \$38,533 which is significantly higher than the currently approved line item maximum of \$30,818.

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## ARKANSAS TECH UNIVERSITY - OZARK

### 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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#### Operating Requests:

Arkansas Tech University - Ozark is a formula driven entity and did not make a request for general revenue.

The University is requesting for the Ozark and Russellville campuses an increase in Cash Fund Appropriations for extra labor costs and operating expenses. The requests are directly related to increased student population from 7,498 students in the Fall of 2008 to 8,832 students in the Fall of 2009 and the addition of 79,200 square feet of classrooms, labs and faculty offices.

#### Personnel Request:

No additional positions or changes in the line items maximums are being requested.

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION ARKANSAS TECH UNIVERSITY

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	33,679,964		34,206,435		37,283,466		41,371,134		34,674,965	
2 CASH	51,806,430		110,536,639		110,536,639		113,911,739		113,911,739	
3										
4										
5										
6										
7										
8										
9										
10										
11 TOTAL	\$85,486,394	922	\$144,743,074	965	\$147,820,105	1,218	\$155,282,873	796	\$148,586,704	796
<b>FUNDING SOURCES</b>		%		%				%		%
12 PRIOR YEAR FUND BALANCE*	0	0%	0	0%			0	0%	0	0%
13 GENERAL REVENUE	31,180,825	36%	31,558,016	22%			38,722,715	25%	32,026,546	22%
14 EDUCATIONAL EXCELLENCE TRUST FUND	1,999,294	2%	2,010,745	1%			2,010,745	1%	2,010,745	1%
15 WORKFORCE 2000	677,581	1%	637,674	0%			637,674	0%	637,674	0%
16 CASH FUNDS	51,806,430	60%	110,536,639	76%			113,911,739	73%	113,911,739	77%
17 SPECIAL REVENUES	0	0%	0	0%			0	0%	0	0%
18 FEDERAL FUNDS	0	0%	0	0%			0	0%	0	0%
19 TOBACCO SETTLEMENT FUNDS	0	0%	0	0%			0	0%	0	0%
20 OTHER FUNDS	6,251	0%	0	0%			0	0%	0	0%
21 TOTAL INCOME	\$85,670,381	100%	\$144,743,074	100%			\$155,282,873	100%	\$148,586,704	100%
22 EXCESS (FUNDING)/APPROPRIATION	(\$183,987)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$9,344,758
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$2,428,490
INVENTORIES	\$31,347
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	\$0
INSURANCE DEDUCTIBLES	\$0
MAJOR CRITICAL SYSTEMS FAILURES	\$0
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$6,617,649
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	\$0
OTHER (FOOTNOTE BELOW)	\$0
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	\$267,272

\*Line 12 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

\*\*Includes 26 additional positions approved from the growth pool.

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011**

ARKANSAS TECH UNIVERSITY-RUSSELLVILLE CAMPUS  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	24,568,530	24,851,758	25,381,126
2 RESEARCH	639,134	732,208	747,805
3 PUBLIC SERVICE	5,572	5,630	5,750
4 ACADEMIC SUPPORT	5,527,131	6,393,097	6,529,277
5 STUDENT SERVICES	3,502,868	3,558,861	3,634,668
6 INSTITUTIONAL SUPPORT	9,510,140	9,504,633	9,707,092
7 PHYSICAL PLANT M&O	5,354,320	5,800,163	2,923,713
8 SCHOLARSHIPS & FELLOWSHIPS	11,088,576	10,865,336	11,096,779
9 OTHER	123,576	0	0
10	0	0	0
11	0	0	0
12	0	0	0
13 MANDATORY TRANSFERS	1,957,100	2,704,608	2,762,219
14 AUXILIARY TRANSFERS	1,356,107	1,352,196	1,380,999
15 NON-MANDATORY TRANSFERS	2,308,817	499,423	510,061
16 TOTAL UNREST. E&G EXP.	\$65,941,871	\$66,267,913	\$64,679,489
17 NET LOCAL INCOME	36,492,996	35,113,502	36,107,242
18 PRIOR YEAR BALANCE***	0	0	0
STATE FUNDS:			
19 GENERAL REVENUE	28,798,661	29,143,686	29,561,502
20 EDUCATIONAL EXCELLENCE	1,999,294	2,010,745	2,010,745
21 WORKFORCE 2000	0	0	0
22 TOBACCO SETTLEMENT FUNDS	0	0	0
23 OTHER STATE FUNDS **	6,251	0	
24 TOTAL SOURCES OF INCOME	\$67,297,202	\$66,267,933	\$67,679,489

FORM 10-2

\* 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

Transfer to Ozark Campus	123,552
Fund Deductions	24
Total	123,576

Other State Funds

Contiguous County Tuition Funds	6,251
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**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011**

ARKANSAS TECH UNIVERSITY-OZARK CAMPUS

NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	2,055,562	2,253,409	2,304,531
2 RESEARCH	0	0	0
3 PUBLIC SERVICE	0	0	0
4 ACADEMIC SUPPORT	56,554	64,080	65,534
5 STUDENT SERVICES	245,866	269,082	275,186
6 INSTITUTIONAL SUPPORT	897,482	1,120,294	1,145,709
7 PHYSICAL PLANT M&O	369,414	457,796	468,182
8 SCHOLARSHIPS & FELLOWSHIPS	28,516	22,200	22,704
9			
10			
11			
12			
13 MANDATORY TRANSFERS	53,599	167,160	170,952
14 AUXILIARY TRANSFERS	(55)	0	0
15 NON-MANDATORY TRANSFERS	186,203	0	0
16 TOTAL UNREST. E&G EXP.	\$3,893,141	\$4,354,021	\$4,452,798
17 NET LOCAL INCOME	1,160,551	1,302,016	1,350,080
18 PRIOR YEAR BALANCE***	0	0	0
STATE FUNDS:			
19 GENERAL REVENUE	2,382,165	2,414,331	2,465,044
20 EDUCATIONAL EXCELLENCE	0	0	0
21 WORKFORCE 2000	677,581	637,674	637,674
22 TOBACCO SETTLEMENT FUNDS	0	0	0
23 OTHER STATE FUNDS **	0	0	
24 TOTAL SOURCES OF INCOME	\$4,220,297	\$4,354,021	\$4,452,798

FORM 10-2

\* 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.

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

ARKANSAS TECH UNIVERSITY-RUSSELLVILLE CAMPUS  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	30,682,940	32,950,143	33,943,883
2 ALL OTHER FEES	115,239	83,175	83,175
3 OFF-CAMPUS CREDIT	1,243,817	0	0
4 NON-CREDIT INSTRUCTION	736,679	160,000	160,000
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	1,084,545	627,695	627,695
6 INVESTMENT INCOME	777,286	400,000	400,000
7 OTHER CASH INCOME:	1,852,490	892,489	892,489
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	36,492,996	35,113,502	36,107,242
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES	0		
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$36,492,996	\$35,113,502	\$36,107,242

FORM 10-3

Other

Other Sources Miscellaneous Income	2,752,852	1,411,965	1,411,965
Less Realized Gain/Loss	(5,010)	0	0
Less Investment Income	(26,589)	(400,000)	(400,000)
Less Interest Income	(745,687)	0	0
Less Endowment Income	(419,352)	0	0
Less Student Paper Fee Allocation	(19,634)	(19,618)	(19,618)
Less Student Paper Advertising	(10,178)	(1,200)	(1,200)
Less Athletic/Recreation Facilities Fee Allocation	(78,536)	(79,040)	(79,040)
Less Drill Team Fee Allocation	(14,725)	(19,618)	(19,618)
Endowment Income	419,352	0	0
Private Gifts, Grants, and Contracts	(369)	0	0
Prior Year Correction	366	0	0
Total Other Cash Income	1,852,490	892,489	892,489



**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

ARKANSAS TECH UNIVERSITY-OZARK CAMPUS  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	958,356	1,267,136	1,316,200
2 ALL OTHER FEES	16,162	0	0
3 OFF-CAMPUS CREDIT	0	0	0
4 NON-CREDIT INSTRUCTION	7,845	8,500	8,500
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	18,252	18,900	16,900
6 INVESTMENT INCOME	12,225	3,000	4,000
7 OTHER CASH INCOME:	147,711	4,480	4,480
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	1,160,551	1,302,016	1,350,080
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES	0	0	0
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	1,160,551.00	\$1,302,016	\$1,350,080

FORM 10-3

Other

Other Sources Miscellaneous Income	22,742.00	7,480	8,480
Less Investment and Interest Income	(12,225.00)	(3,000)	(4,000)
Other Additions	122,835.00	0	0
Prior Year Correction	<u>14,359.00</u>	<u>0</u>	<u>0</u>
Total Other Cash Income	147,711.00	4,480.00	4,480.00

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND COA0000

INSTITUTION ARKANSAS TECH UNIVERSITY

APPROPRIATION 567

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	24,224,368	24,823,587	24,870,787	24,961,238	
2 EXTRA HELP WAGES	2,175,000	2,215,000	2,425,000	2,215,000	
3 OVERTIME	0	0	0	0	
4 PERSONAL SERVICES MATCHING	4,450,000	4,591,872	5,186,199	4,636,872	
5 OPERATING EXPENSES	2,452,090	2,202,470	3,738,102	2,483,349	
6 CONFERENCE FEES & TRAVEL	29,625	24,625	29,625	29,625	
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)	0	0	0	0	
8 CAPITAL OUTLAY	0	0	0	0	
9 DATA PROCESSING SERVICES	0	0	0	0	
10 FUNDED DEPRECIATION	348,881	348,881	348,881	348,881	
11					
12					
13					
14 TOTAL APPROPRIATION	\$33,679,964	\$34,206,435	\$36,598,594	\$34,674,965	\$0
15 PRIOR YEAR FUND BALANCE**	0	0		0	
16 GENERAL REVENUE	31,180,825	31,558,016		32,026,546	
17 EDUCATIONAL EXCELLENCE TRUST FUNDS	1,999,294	2,010,745		2,010,745	
18 SPECIAL REVENUES * [WF2000]	677,581	637,674		637,674	
19 FEDERAL FUNDS IN STATE TREASURY	0	0		0	
20 TOBACCO SETTLEMENT FUNDS	0	0		0	
21 OTHER STATE TREASURY FUNDS	6,251	0		0	
22 TOTAL INCOME	\$33,863,951	\$34,206,435		\$34,674,965	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$183,987)	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2100000

INSTITUTION ARKANSAS TECH UNIVERSITY

APPROPRIATION B11

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2010-11	LEGISLATIVE RECOMMENDATION 2010-11
1 REGULAR SALARIES	8,611,675	17,627,480	17,627,480	17,627,480	
2 EXTRA HELP WAGES	1,084,104	2,700,000	2,700,000	3,075,100	
3 OVERTIME	20,515	289,775	289,775	289,775	
4 PERSONAL SERVICES MATCHING	4,650,148	8,422,845	8,422,845	8,422,845	
5 OPERATING EXPENSES	18,237,112	20,229,436	20,229,436	23,229,436	
6 CONFERENCE FEES & TRAVEL	465,084	877,500	877,500	877,500	
7 PROFESSIONAL FEES AND SERVICES	236,404	2,549,603	2,549,603	2,549,603	
8 DATA PROCESSING	0	445,000	445,000	445,000	
9 CAPITAL OUTLAY	1,717,404	15,967,870	15,967,870	15,967,870	
10 CAPITAL IMPROVEMENTS	12,786,016	16,457,440	16,457,440	16,457,440	
11 DEBT SERVICE	3,977,781	7,669,690	7,669,690	7,669,690	
12 FUND TRANSFERS, REFUNDS AND INVESTMENT	0	17,225,000	17,225,000	17,225,000	
13 PROMOTIONAL ITEMS	20,187	75,000	75,000	75,000	
14					
15					
16					
17 TOTAL APPROPRIATION	\$51,806,430	\$110,536,639	\$110,536,639	\$113,911,739	\$0
18 PRIOR YEAR FUND BALANCE***	0	0		0	
19 LOCAL CASH FUNDS	51,806,430	110,536,639		113,911,739	
20 FEDERAL CASH FUNDS	0	0		0	
21 OTHER CASH FUNDS	0	0		0	
22 TOTAL INCOME	\$51,806,430	\$110,536,639		\$113,911,739	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED 2009-10	NON-CLASSIFIED POSITIONS REQUESTED 2010-11	NON-CLASSIFIED POSITIONS RECOMMENDED 2010-11	LEG REC 2010-11
REGULAR POSITIONS	922	965	1,218	796	796	
TOBACCO POSITIONS	0	0	0	0	0	
EXTRA HELP **	958	958	958	958	958	

\*\* 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.

\*Includes 26 additional positions approved from the growth pool.

## AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES FOR FISCAL YEAR 2011

ARKANSAS TECH UNIVERSITY-RUSSELLVILLE CAMPUS  
(NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *	2,284,202	3,218,863	268,896	(1,203,557)	2,222,864	3,082,185	264,879	(1,124,200)
2 RESIDENCE HALL	5,864,047	3,182,284	1,729,043	952,720	5,926,982	4,001,158	1,925,824	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	4,174,156	3,472,514	104,235	597,407	4,419,400	4,313,542	105,858	0
6 COLLEGE UNION	0	0	0	0	0	0	0	0
7 BOOKSTORE	2,874,089	2,685,691	0	188,398	2,866,000	2,866,000	0	0
8 STUDENT ORGANIZATIONS AND PUBLICATIONS	341,928	334,177	0	7,751	368,611	361,191	0	7,420
9 STUDENT HEALTH SERVICES	7,764	158,561	0	(150,797)	214,829	214,829	0	0
10 OTHER	390,569	385,483	0	5,086	0	0	0	0
11 SUBTOTAL	\$15,936,755	\$13,437,573	\$2,102,174	\$397,008	\$16,018,686	\$14,838,905	\$2,296,561	(\$1,116,780)
12 ATHLETIC TRANSFER **	1,124,400			1,124,400	1,124,200			1,124,200
13 OTHER TRANSFERS ***	(341,532)			(341,532)	(7,420)			(7,420)
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$16,719,623	\$13,437,573	\$2,102,174	\$1,179,876	\$17,135,466	\$14,838,905	\$2,296,561	\$0

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

FORM 10-6

\*\* 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	62,834	267,694	0	(204,860)
Music Camp #2	319,483	116,327	0	203,156
Music Camp Private Lessons	2,540	0	0	2,540
G/T Camp #1	127	63	0	64
G/T Camp #2	<u>5,585</u>	<u>1,399</u>	<u>0</u>	<u>4,186</u>
Total Other	390,569	385,483	0	5,086

**AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES FOR FISCAL YEAR 2011**

ARKANSAS TECH UNIVERSITY-OZARK CAMPUS  
 (NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	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	572,052	464,772	0	107,280	503,200	503,200	0	0
8 STUDENT ORGANIZATIONS AND PUBLICATIONS	30,280	30,225	0	55	15,000	15,000	0	0
9 STUDENT HEALTH SERVICES	0	0	0	0	0	0	0	0
10 OTHER	0	(4,283)	0	4,283	0	0	0	0
11 SUBTOTAL	602,332	490,714	0	111,618	518,200	518,200	0	0
12 ATHLETIC TRANSFER **	0			0	0			0
13 OTHER TRANSFERS ***	(55)			(55)	0			0
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	602,277	490,714	0	111,563	518,200	518,200	0	0

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

FORM 10-6

\*\* 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

Prior Year Adjustment	0	(4,283)	0	4,283
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**EMPLOYMENT INFORMATION  
IDENTIFICATION BY EMPLOYMENT CLASSIFICATION**

ARKANSAS TECH UNIVERSITY  
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2008-09:					<u>733</u>
(As of November 1, 2008 )					
Nonclassified Administrative Employees:					
White Male:	<u>75</u>	Black Male:	<u>3</u>	Other Male:	<u>3</u>
White Female:	<u>92</u>	Black Female:	<u>2</u>	Other Female:	<u>2</u>
Total		Total		Total	<u>81</u>
Total		Total		Total	<u>96</u>
Nonclassified Health Care Employees:					
White Male:	<u>0</u>	Black Male:	<u>0</u>	Other Male:	<u>0</u>
White Female:	<u>0</u>	Black Female:	<u>0</u>	Other Female:	<u>0</u>
Total		Total		Total	<u>0</u>
Total		Total		Total	<u>0</u>
Classified Employees:					
White Male:	<u>70</u>	Black Male:	<u>2</u>	Other Male:	<u>3</u>
White Female:	<u>175</u>	Black Female:	<u>3</u>	Other Female:	<u>5</u>
Total		Total		Total	<u>75</u>
Total		Total		Total	<u>183</u>
Faculty:					
White Male:	<u>139</u>	Black Male:	<u>1</u>	Other Male:	<u>14</u>
White Female:	<u>137</u>	Black Female:	<u>2</u>	Other Female:	<u>5</u>
Total		Total		Total	<u>154</u>
Total		Total		Total	<u>144</u>
Total White Male:	<u>284</u>	Total Black Male:	<u>6</u>	Total Other Male:	<u>20</u>
Total White Female:	<u>404</u>	Total Black Female:	<u>7</u>	Total Other Female:	<u>12</u>
Total		Total		Total	<u>310</u>
Total		Total		Total	<u>423</u>
Total White:	<u>688</u>	Total Black:	<u>13</u>	Total Other:	<u>32</u>
				<b>Total Minority:</b>	<u>45</u>
Total		Total		Total	<u>733</u>

FORM 10-8

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF Arkansas Tech University**  
**June 30, 2008**

<i>Finding:</i>	No findings noted
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The Arkansas Department of Finance and Administration (DFA) is tasked with the responsibility of preparing the State's Schedule of Expenditures of Federal Awards (SEFA). In order to ensure timely and accurate reporting, as well as allow for adequate planning of the Single Audit, each State/Educational Agency is required to submit a *Federal Awards Data Collection Workbook* to DFA by a pre-determined date. Upon receipt of the workbook, DFA compiles, reviews and makes the necessary adjustments to prepare the SEFA. A review of this process revealed several late submissions. Arkansas Tech University was 47 days late in submitting the Workbook to DFA. A list of the federal programs that were reported late can be found in the Single Audit Report for the year ended June 30, 2008 beginning on page 40.

# HENDERSON STATE UNIVERSITY

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### Operating Request:

Henderson State University is a formula driven entity and did not make a request for general revenue.

The University is not requesting additional cash appropriation at this time.

### Personnel Request:

The University is not requesting an increase in personnel or any Line Item Maximum revisions at this time.



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**HENDERSON STATE UNIVERSITY  
SOUTHWEST ARKANSAS TECHNOLOGY LEARNING CENTER**

**2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE**

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Operating Request:

Henderson State University, Southwest Arkansas Technology Learning Center is requesting no additional operational appropriation.

Personnel Request:

The University is not requesting an increase in personnel or any Line Item Maximum revisions at this time.

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION HENDERSON STATE UNIVERSITY

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	20,622,249		20,892,985		21,657,640		22,582,215		21,168,768	
2 CASH	38,457,441		246,921,400		246,921,400		246,921,400		246,921,400	
3										
4										
5										
6										
7										
8										
9										
10										
11 TOTAL	\$59,079,690	604	\$267,814,385	611	\$268,579,040	734	\$269,503,615	436	\$268,090,168	436
<b>FUNDING SOURCES</b>		<b>%</b>		<b>%</b>				<b>%</b>		<b>%</b>
12 PRIOR YEAR FUND BALANCE*		0%		0%				0%		0%
13 GENERAL REVENUE	18,672,171	32%	18,812,964	7%			20,502,194	8%	19,088,747	7%
14 EDUCATIONAL EXCELLENCE TRUST FUND	2,068,176	3%	2,080,021	1%			2,080,021	1%	2,080,021	1%
15 WORKFORCE 2000		0%		0%				0%		0%
16 CASH FUNDS	38,457,441	65%	246,921,400	92%			246,921,400	92%	246,921,400	92%
17 SPECIAL REVENUES		0%		0%				0%		0%
18 FEDERAL FUNDS		0%		0%				0%		0%
19 TOBACCO SETTLEMENT FUNDS		0%		0%				0%		0%
20 OTHER FUNDS	2,137	0%		0%				0%		0%
21 TOTAL INCOME	\$59,199,925	100%	\$267,814,385	100%			\$269,503,615	100%	\$268,090,168	100%
22 EXCESS (FUNDING)/APPROPRIATION	(\$120,235)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$1,546,309
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$1,672,982
INVENTORIES	\$151,085
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)	\$3,995,800
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	\$0
OTHER (FOOTNOTE BELOW)	\$0
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	(\$4,507,058)

\*Line 12 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 FISCAL YEAR 2011**

HENDERSON STATE UNIVERSITY

NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	17,135,695	16,875,803	17,551,859
2 RESEARCH	272,175	265,450	270,723
3 PUBLIC SERVICE	94,632	97,523	102,399
4 ACADEMIC SUPPORT	1,225,906	2,296,878	2,311,722
5 STUDENT SERVICES	2,106,391	1,983,754	1,982,942
6 INSTITUTIONAL SUPPORT	5,920,707	5,688,896	5,873,324
7 PHYSICAL PLANT M&O	4,237,314	4,047,718	4,050,104
8 SCHOLARSHIPS & FELLOWSHIPS	7,217,911	7,240,190	7,253,502
9			
10			
11			
12			
13 MANDATORY TRANSFERS	1,372,692	1,392,399	1,704,129
14 AUXILIARY TRANSFERS	840,654	1,527,950	1,527,950
15 NON-MANDATORY TRANSFERS	531,451	211,652	306,943
16 TOTAL UNREST. E&G EXP.	\$40,955,528	\$41,628,213	\$42,935,597
17 NET LOCAL INCOME	21,364,388	20,946,880	21,982,121
18 PRIOR YEAR BALANCE***	0		
STATE FUNDS:			
19 GENERAL REVENUE	18,461,203	18,601,312	18,873,455
20 EDUCATIONAL EXCELLENCE	2,068,176	2,080,021	2,080,021
21 WORKFORCE 2000			
22 TOBACCO SETTLEMENT FUNDS			
23 OTHER STATE FUNDS **	50,000		
24 TOTAL SOURCES OF INCOME	\$41,943,767	\$41,628,213	\$42,935,597

FORM 10-2

\* 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 - General Improvement Funds

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011(Non-Formula Entities)**

HENDERSON STATE UNIVERSITY  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 Southwest Tech Learning Ctr	210,968	211,652	215,885	215,292
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.	\$210,968	\$211,652	\$215,885	\$215,292
17 NET LOCAL INCOME				
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE	210,968	211,652	215,885	215,292
20 EDUCATIONAL EXCELLENCE				
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$210,968	\$211,652	\$215,885	\$215,292

FORM 10-2A

\* 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 FISCAL YEAR 2011**

HENDERSON STATE UNIVERSITY  
 \_\_\_\_\_  
 (NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	19,112,462	17,250,218	18,112,729
2 ALL OTHER FEES	1,443,034	3,091,494	3,246,069
3 OFF-CAMPUS CREDIT			
4 NON-CREDIT INSTRUCTION			
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	9,068	8,000	8,240
6 INVESTMENT INCOME	26,235	22,500	23,175
7 OTHER CASH INCOME:	773,589	574,668	591,908
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	21,364,388	20,946,880	21,982,121
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$21,364,388	\$20,946,880	\$21,982,121

FORM 10-3

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CQA0000

INSTITUTION HENDERSON STATE UNIVERSITY

APPROPRIATION \_\_\_\_\_ 309

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	15,633,179	15,734,849	16,099,503	15,927,897	
2 EXTRA HELP WAGES	25,000	25,000	25,000	25,000	
3 OVERTIME		0			
4 PERSONAL SERVICES MATCHING	2,507,080	2,841,843	3,041,843	2,924,578	
5 OPERATING EXPENSES	1,865,870	1,688,188	1,671,587	1,688,188	
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY	470,745	484,867	484,867	484,867	
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION	118,238	118,238	118,238	118,238	
11 M&R EXPENSE	2,137				
12					
13					
14 TOTAL APPROPRIATION	\$20,622,249	\$20,892,985	\$21,441,038	\$21,168,768	\$0
15 PRIOR YEAR FUND BALANCE**	0	0			
16 GENERAL REVENUE	18,672,171	18,812,964		19,088,747	
17 EDUCATIONAL EXCELLENCE TRUST FUNDS	2,068,176	2,080,021		2,080,021	
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS	2,137				
22 TOTAL INCOME	\$20,742,484	\$20,892,985		\$21,168,768	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$120,235)	\$0		\$0	\$0

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

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

FORM 10-4

Other - M&R Proceeds

**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2090000

INSTITUTION HENDERSON STATE UNIVERSITY

APPROPRIATION A74

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	5,529,949	67,504,800	67,504,800	67,504,800	
2 EXTRA HELP WAGES	878,845	4,000,000	4,000,000	4,000,000	
3 OVERTIME	11,325	750,000	750,000	750,000	
4 PERSONAL SERVICES MATCHING	1,384,494	18,166,600	18,166,600	18,166,600	
5 OPERATING EXPENSES	10,590,724	31,500,000	31,500,000	31,500,000	
6 CONFERENCE FEES & TRAVEL	873,056	3,500,000	3,500,000	3,500,000	
7 PROFESSIONAL FEES AND SERVICES	4,247,990	4,500,000	4,500,000	4,500,000	
8 DATA PROCESSING		2,500,000	2,500,000	2,500,000	
9 CAPITAL OUTLAY	834,248	9,000,000	9,000,000	9,000,000	
10 CAPITAL IMPROVEMENTS	1,129,453	35,000,000	35,000,000	35,000,000	
11 DEBT SERVICE	2,891,498	16,500,000	16,500,000	16,500,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENT	10,085,860	54,000,000	54,000,000	54,000,000	
13					
14					
15					
16					
17 TOTAL APPROPRIATION	\$38,457,441	\$246,921,400	\$246,921,400	\$246,921,400	\$0
18 PRIOR YEAR FUND BALANCE***					
19 LOCAL CASH FUNDS	38,457,441	246,921,400		246,921,400	
20 FEDERAL CASH FUNDS					
21 OTHER CASH FUNDS					
22 TOTAL INCOME	\$38,457,441	\$246,921,400		\$246,921,400	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$0)	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS	NON-CLASSIFIED POSITIONS	LEG REC
	2008-09	2009-10	2009-10	REQUESTED 2010-11	RECOMMENDED 2010-11	2010-11
REGULAR POSITIONS	604	611	734	436	436	
TOBACCO POSITIONS	0	0	0	0	0	
EXTRA HELP **	175	950	950	950	950	

\*\* 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 FOR FISCAL YEAR 2011**

HENDERSON STATE UNIVERSITY  
 (NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *	1,187,800	2,933,381		(1,745,581)	1,183,729	3,172,618		(1,988,889)
2 RESIDENCE HALL	3,377,261	1,592,302	1,236,673	548,286	3,332,155	1,611,117	1,266,505	454,533
3 MARRIED STUDENT HOUSING	0	0		0	0	0		0
4 FACULTY HOUSING	0	0		0	0	0		0
5 FOOD SERVICES	2,516,922	2,160,435		356,487	2,606,570	2,262,305		344,265
6 COLLEGE UNION	227,350	308,284		(80,934)	299,844	299,844		0
7 BOOKSTORE	84,378	0		84,378	75,000	0		75,000
8 STUDENT ORGANIZATIONS AND PUBLICATIONS	114,834	136,615		(21,781)		53,889		(53,889)
9 STUDENT HEALTH SERVICES	373,124	319,882		53,242	343,091	343,091		0
10 OTHER	1,663,662	1,291,722	551,557	(179,617)	1,659,939	1,392,147	588,665	(320,873)
11 SUBTOTAL	\$9,545,331	\$8,742,621	\$1,788,230	(\$985,520)	\$9,500,328	\$9,135,011	\$1,855,170	(\$1,489,853)
12 ATHLETIC TRANSFER **	840,654			840,654	1,124,720			1,124,720
13 OTHER TRANSFERS ***	569,550			569,550	365,133			365,133
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$10,955,535	\$8,742,621	\$1,788,230	\$424,684	\$10,990,181	\$9,135,011	\$1,855,170	\$0

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

FORM 10-6

\*\* 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 23 - Transfer in from Restricted funds-carryover

**EMPLOYMENT INFORMATION  
IDENTIFICATION BY EMPLOYMENT CLASSIFICATION**

HENDERSON STATE UNIVERSITY  
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2008-09:					<u>610</u>
(As of November 1, 2008 )					
Nonclassified Administrative Employees:					
White Male:	<u>36</u>	Black Male:	<u>1</u>	Other Male:	<u>0</u>
White Female:	<u>39</u>	Black Female:	<u>11</u>	Other Female:	<u>0</u>
Total		Total		Total	<u>37</u>
Total		Total		Total	<u>50</u>
Nonclassified Health Care Employees:					
White Male:	<u>    </u>	Black Male:	<u>    </u>	Other Male:	<u>    </u>
White Female:	<u>    </u>	Black Female:	<u>    </u>	Other Female:	<u>    </u>
Total		Total		Total	<u>0</u>
Total		Total		Total	<u>0</u>
Classified Employees:					
White Male:	<u>54</u>	Black Male:	<u>20</u>	Other Male:	<u>0</u>
White Female:	<u>96</u>	Black Female:	<u>35</u>	Other Female:	<u>1</u>
Total		Total		Total	<u>74</u>
Total		Total		Total	<u>132</u>
Faculty:					
White Male:	<u>139</u>	Black Male:	<u>7</u>	Other Male:	<u>9</u>
White Female:	<u>146</u>	Black Female:	<u>11</u>	Other Female:	<u>5</u>
Total		Total		Total	<u>155</u>
Total		Total		Total	<u>162</u>
Total White Male:	<u>229</u>	Total Black Male:	<u>28</u>	Total Other Male:	<u>9</u>
Total White Female:	<u>281</u>	Total Black Female:	<u>57</u>	Total Other Female:	<u>6</u>
Total		Total		Total	<u>266</u>
Total		Total		Total	<u>344</u>
Total White:	<u>510</u>	Total Black:	<u>85</u>	Total Other:	<u>15</u>
				<b>Total Minority:</b>	<u>100</u>
Total		Total		Total	<u>610</u>

FORM 10-8

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF Henderson State University**  
**June 30, 2008**

<i>Finding:</i>	No findings noted
-----------------	-------------------

The Arkansas Department of Finance and Administration (DFA) is tasked with the responsibility of preparing the State's Schedule of Expenditures of Federal Awards (SEFA). In order to ensure timely and accurate reporting, as well as allow for adequate planning of the Single Audit, each State/Educational Agency is required to submit a *Federal Awards Data Collection Workbook* to DFA by a pre-determined date. Upon receipt of the workbook, DFA compiles, reviews and makes the necessary adjustments to prepare the SEFA. A review of this process revealed several late submissions. Henderson State University was 9 days late in submitting the Workbook to DFA. A list of the federal programs that were reported late can be found in the Single Audit Report for the year ended June 30, 2008 beginning on page 40.

# **SOUTHERN ARKANSAS UNIVERSITY**

## **2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE**

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### Operating Requests:

Southern Arkansas University is a formula driven entity and did not make a request for general revenue.

The University is not requesting additional cash appropriation at this time.

### Personnel Request:

The University is not requesting any additional positions or any increases in line item maximums (LIM).

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION SOUTHERN ARKANSAS UNIVERSITY

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	16,503,268		16,883,368		17,600,311		19,178,395		16,976,407	
2 CASH	25,605,006		46,000,000		46,000,000		46,000,000		46,000,000	
3										
4										
5										
6										
7										
8										
9										
10										
11 TOTAL	\$42,108,274	432	\$62,883,368	426	\$63,600,311	504	\$65,178,395	308	\$62,976,407	308
<b>FUNDING SOURCES</b>		%		%				%		%
12 PRIOR YEAR FUND BALANCE*		0%	113,185	0%				0%		0%
13 GENERAL REVENUE	15,390,092	36%	15,540,429	25%			17,948,641	28%	15,746,653	25%
14 EDUCATIONAL EXCELLENCE TRUST FUND	1,222,751	3%	1,229,754	2%			1,229,754	2%	1,229,754	2%
15 WORKFORCE 2000		0%		0%				0%		0%
16 CASH FUNDS	25,605,006	61%	46,000,000	73%			46,000,000	71%	46,000,000	73%
17 SPECIAL REVENUES		0%		0%				0%		0%
18 FEDERAL FUNDS		0%		0%				0%		0%
19 TOBACCO SETTLEMENT FUNDS		0%		0%				0%		0%
20 OTHER FUNDS	(5,170)	0%		0%				0%		0%
21 TOTAL INCOME	\$42,212,679	100%	\$62,883,368	100%			\$65,178,395	100%	\$62,976,407	100%
22 EXCESS (FUNDING)/APPROPRIATION	(\$104,405)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$3,502,003
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$1,816,422
INVENTORIES	\$175,091
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	\$1,042,908
INSURANCE DEDUCTIBLES	\$130,000
MAJOR CRITICAL SYSTEMS FAILURES	\$500,000
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$3,161,612
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	
OTHER (HEALTH INSURANCE)	\$534,254
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	<b>(\$3,858,284)</b>

\*Line 12 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 FISCAL YEAR 2011**

SOUTHERN ARKANSAS UNIVERSITY  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	13,367,691	13,517,787	13,663,072
2 RESEARCH	257,407	273,186	276,122
3 PUBLIC SERVICE	224,661	167,824	169,627
4 ACADEMIC SUPPORT	2,919,207	2,909,179	2,940,446
5 STUDENT SERVICES	2,365,340	2,268,813	2,293,197
6 INSTITUTIONAL SUPPORT	3,502,721	3,814,973	3,855,975
7 PHYSICAL PLANT M&O	3,582,682	4,275,362	4,321,312
8 SCHOLARSHIPS & FELLOWSHIPS	5,336,859	5,898,436	5,989,875
9			
10			
11			
12			
13 MANDATORY TRANSFERS	1,825,965	1,854,369	1,925,450
14 AUXILIARY TRANSFERS	1,124,400	1,124,720	1,124,720
15 NON-MANDATORY TRANSFERS	268,814	28,042	
16 TOTAL UNREST. E&G EXP.	\$34,775,747	\$36,132,691	\$36,559,796
17 NET LOCAL INCOME	17,404,373	19,059,343	19,583,389
18 PRIOR YEAR BALANCE***	753,265	303,165	
STATE FUNDS:			
19 GENERAL REVENUE	15,390,092	15,540,429	15,746,653
20 EDUCATIONAL EXCELLENCE	1,222,751	1,229,754	1,229,754
21 WORKFORCE 2000			
22 TOBACCO SETTLEMENT FUNDS			
23 OTHER STATE FUNDS **	5,266		
24 TOTAL SOURCES OF INCOME	\$34,775,747	\$36,132,691	\$36,559,796

FORM 10-2

\* 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:

OIL AND GAS LEASE 5,266

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

SOUTHERN ARKANSAS UNIVERSITY  
 \_\_\_\_\_  
 (NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	15,472,581	16,898,700	17,410,896
2 ALL OTHER FEES	246,862	257,000	260,000
3 OFF-CAMPUS CREDIT	253,023	253,500	261,350
4 NON-CREDIT INSTRUCTION	41,552	60,000	60,000
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	240,635	259,500	259,500
6 INVESTMENT INCOME	26,646	66,000	66,000
7 OTHER CASH INCOME:	1,123,074	1,264,643	1,265,643
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	17,404,373	19,059,343	19,583,389
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$17,404,373	\$19,059,343	\$19,583,389

FORM 10-3

OTHER CASH INCOME:

GRANTS/GIFTS/ENDOWMENTS	751,570	676,091	700,000
TRAFFIC FINES/PERMITS	101,582	114,000	115,000
SALES & SERVICES	85,900	137,900	140,000
VARIOUS	184,022	337,652	310,643
	<u>1,123,074</u>	<u>1,265,643</u>	<u>1,265,643</u>

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CSA0000

INSTITUTION SOUTHERN ARKANSAS UNIVERSITY

APPROPRIATION 292

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	13,767,493	14,113,184	14,498,310	14,226,407	
2 EXTRA HELP WAGES	24,000	25,000	25,000	25,000	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	2,192,123	2,191,532	2,464,712	2,200,000	
5 OPERATING EXPENSES	266,000	300,000	312,289	275,000	
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY					
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION	253,652	253,652	300,000	250,000	
11					
12					
13					
14 TOTAL APPROPRIATION	\$16,503,268	\$16,883,368	\$17,600,311	\$16,976,407	\$0
15 PRIOR YEAR FUND BALANCE**		113,185			
16 GENERAL REVENUE	15,390,092	15,540,429		15,746,653	
17 EDUCATIONAL EXCELLENCE TRUST FUN	1,222,751	1,229,754		1,229,754	
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS	(5,170)				
22 TOTAL INCOME	\$16,607,673	\$16,883,368		\$16,976,407	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$104,405)	\$0		\$0	\$0

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

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

FORM 10-4

OTHER STATE TREASURY FUNDS:

TUITION ADJUSTMENT	4,733
WORKMAN'S COMP PREM	(5,170)
LEASE BONUS	5,430
CLAIMS COMMISSION	(10,000)
SPECIAL REV. FEES	(163)
	<u>(5,170)</u>



**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2080000

INSTITUTION SOUTHERN ARKANSAS UNIVERSITY

APPROPRIATION A63

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	2009-10	AHECB RECOMMENDATION	RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	2,807,726	7,081,800	7,081,800	5,942,174	
2 EXTRA HELP WAGES	2,062,113	5,400,000	5,400,000	3,900,000	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	2,061,398	4,001,200	4,001,200	3,115,100	
5 OPERATING EXPENSES	9,370,520	16,542,000	16,542,000	12,542,000	
6 CONFERENCE FEES & TRAVEL	224,658	1,200,000	1,200,000	712,863	
7 PROFESSIONAL FEES AND SERVICES	496,397	1,250,000	1,250,000	712,863	
8 DATA PROCESSING	82,417	525,000	525,000	425,000	
9 CAPITAL OUTLAY	3,810,639	3,200,000	3,200,000	4,000,000	
10 CAPITAL IMPROVEMENTS	2,900,816	2,700,000	2,700,000	10,700,000	
11 DEBT SERVICE	1,788,322	2,200,000	2,200,000	2,450,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENTS		1,900,000	1,900,000	1,500,000	
13					
14					
15					
16 CONTINGENCY					
17 TOTAL APPROPRIATION	\$25,605,006	\$46,000,000	\$46,000,000	\$46,000,000	\$0
18 PRIOR YEAR FUND BALANCE***					
19 LOCAL CASH FUNDS	25,605,006	46,000,000		46,000,000	
20 FEDERAL CASH FUNDS					
21 OTHER CASH FUNDS					
22 TOTAL INCOME	\$25,605,006	\$46,000,000		\$46,000,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS	NON-CLASSIFIED POSITIONS	LEG REC
	2008-09	2009-10	2009-10	REQUESTED	2010-11	2010-11
				2010-11		
REGULAR POSITIONS	432	426	504	308	308	
TOBACCO POSITIONS						
EXTRA HELP **	1,008	1,200	1,800	1,800	1,800	

FORM 10-5

\*\* 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 FOR FISCAL YEAR 2011**

SOUTHERN ARKANSAS UNIVERSITY  
 (NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *	898,803	2,646,808	88,591	(1,836,596)	968,724	2,393,026	87,766	(1,512,068)
2 RESIDENCE HALL	3,603,078	2,884,582	579,204	139,292	3,799,345	2,932,327	646,204	220,814
3 MARRIED STUDENT HOUSING				0				0
4 FACULTY HOUSING	24,103	7,696		16,407	24,000	8,172		15,828
5 FOOD SERVICES	2,146,267	1,686,674		459,593	1,966,500	1,415,244		551,256
6 COLLEGE UNION	24,369	245,991	29,503	(251,125)	33,000	259,588	29,737	(256,325)
7 BOOKSTORE	123,983	8,229		115,754	110,000	8,314		101,686
8 STUDENT ORGANIZATIONS AND PUBLICATIONS	358,515	304,261		54,254	337,606	314,211		23,395
9 STUDENT HEALTH SERVICES	164,175	178,993		(14,818)	170,532	166,887		3,645
10 OTHER (POST OFFICE)	99,396	162,986		(63,590)	100,800	162,340		(61,540)
11 SUBTOTAL	\$7,442,689	\$8,126,220	\$697,298	(\$1,380,829)	\$7,510,507	\$7,660,109	\$763,707	(\$913,309)
12 ATHLETIC TRANSFER **	1,124,400			1,124,400	1,124,720			1,124,720
13 OTHER TRANSFERS ***	(59,409)			(59,409)				0
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$8,507,680	\$8,126,220	\$697,298	(\$315,838)	\$8,635,227	\$7,660,109	\$763,707	\$211,411

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

FORM 10-6

\*\* 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 2008-09:					<u>347</u>
(As of November 1, 2008 )					
Nonclassified Administrative Employees:					
White Male:	<u>12</u>	Black Male:	<u>2</u>	Other Male:	<u>          </u>
White Female:	<u>9</u>	Black Female:	<u>2</u>	Other Female:	<u>          </u>
Total		Total		Total	<u>14</u>
Total		Total		Total	<u>11</u>
Nonclassified Health Care Employees:					
White Male:	<u>          </u>	Black Male:	<u>          </u>	Other Male:	<u>          </u>
White Female:	<u>          </u>	Black Female:	<u>          </u>	Other Female:	<u>          </u>
Total		Total		Total	<u>0</u>
Total		Total		Total	<u>0</u>
Classified Employees:					
White Male:	<u>45</u>	Black Male:	<u>4</u>	Other Male:	<u>3</u>
White Female:	<u>82</u>	Black Female:	<u>32</u>	Other Female:	<u>          </u>
Total		Total		Total	<u>52</u>
Total		Total		Total	<u>114</u>
Faculty:					
White Male:	<u>72</u>	Black Male:	<u>8</u>	Other Male:	<u>11</u>
White Female:	<u>55</u>	Black Female:	<u>8</u>	Other Female:	<u>2</u>
Total		Total		Total	<u>91</u>
Total		Total		Total	<u>65</u>
Total White Male:	<u>129</u>	Total Black Male:	<u>14</u>	Total Other Male:	<u>14</u>
Total White Female:	<u>146</u>	Total Black Female:	<u>42</u>	Total Other Female:	<u>2</u>
Total		Total		Total	<u>157</u>
Total		Total		Total	<u>190</u>
Total White:	<u>275</u>	Total Black:	<u>56</u>	Total Other:	<u>16</u>
				<b>Total Minority:</b>	<u>72</u>
Total		Total		Total	<u>Employees: 347</u>

FORM 10-8

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF Southern Arkansas University**  
**June 30, 2008**

<i>Finding:</i>	No findings noted
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The Arkansas Department of Finance and Administration (DFA) is tasked with the responsibility of preparing the State's Schedule of Expenditures of Federal Awards (SEFA). In order to ensure timely and accurate reporting, as well as allow for adequate planning of the Single Audit, each State/Educational Agency is required to submit a *Federal Awards Data Collection Workbook* to DFA by a pre-determined date. Upon receipt of the workbook, DFA compiles, reviews and makes the necessary adjustments to prepare the SEFA. A review of this process revealed several late submissions. Southern Arkansas University was 23 days late in submitting the Workbook to DFA. A list of the federal programs that were reported late can be found in the Single Audit Report for the year ended June 30, 2008 beginning on page 40.

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# UNIVERSITY OF ARKANSAS SYSTEM

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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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

### **Operating Request:**

General revenue request is for continuing level operations.

### **Personnel Request:**

No additional positions over authorized or exceptional line-item adjustments have been requested.

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# UNIVERSITY OF ARKANSAS, FAYETTEVILLE

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **Operating Request:**

The University of Arkansas is a formula driven entity and did not make a request for general revenue. Approximately 45% of the Fayetteville campus's unrestricted Educational and General Budget comes from State appropriations. The University is working diligently to find cost reduction measures that effectively reduce the need for additional resources but experience is that cost avoidance cannot adequately replace the need for additional resources. The classified pay plan, merit raises for faculty and staff, new faculty to meet enrollment increases, and other fixed costs increases such as utilities and compliance costs are funded approximately equally by State appropriations and tuition. In the absence of new State appropriations, any new budget requirements must be met by a disproportionate increase in tuition. The shift in costs of education from the State to the student has been a shift in public policy that will continue as long as the formula is not adequately funded.

Cash appropriation was increased to the level requested in the 2009 Legislative Session. This is consistent with ADHE's recommendation of maintaining between two (2) and three (3) times the amount of appropriation as actual expenditures.

### **Personnel Request:**

The University requested (3) additional Vice Provost titles, and (5) Project/Program Administrator titles. The University additionally requested 2 Associate Vice Chancellor – Student Affairs title changes. These requests were offset by the return of (1) Associate Provost/Dean, (1) Assistant Vice Chancellor, (1) Assistant to the Chancellor, (1) Director of Student Development, (1) 12 month instructor, (1) Research Assistant, and (2) Teaching Assistants. These changes are all related to the restructuring of Student and Academic Affairs. These changes will create more effective and efficient services to both students and academic units on the campus, and will more consistently reflect responsibilities.

The University also requested the addition of one physician with a specialization in psychiatry. Since 2005 the utilization rate for the Health Center has risen approximately 46% with psychiatry visits increasing 20%. This utilization rate is beyond the service level of current staffing.

New legislation has established a separate grouping within the UA Fund for Garvan Woodland Gardens. In order to establish positions, an Executive Director and (13) Project/Program titles need to be established.



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**UA WINTHROP ROCKEFELLER INSTITUTE  
KNOWLEDGE BASED ECONOMIC DEVELOPMENT PROGRAM**

**2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE**

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**Operating Request:**

Support for knowledge-based economic development initiatives and conference is the purpose for this appropriation request to restore funding to the authorized level (\$929,000). 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.

**Personnel Request:**

No additional positions over authorized or exceptional line-item adjustments have been requested.

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# UNIVERSITY OF ARKANSAS GARVAN WOODLAND GARDENS

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **Operating Requests:**

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 126,230 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 restore funding to the authorized level (\$350,000) which will establish a base level of support for the Gardens. 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: 54.6%;
- Average state support as a percentage of the operating budget for other Southeastern university garden costs: 61.0%;
- Average state support as a percentage of the operating budget for university garden costs nationally: 42.0%.

### **Personnel Request:**

Garvan Woodland Gardens requested the establishment of a separate personnel section with 14 positions. GWG positions are currently contained in the University of Arkansas Fayetteville administrative positions. Creating a separate section for GWG will allow for greater accountability. The Director position will be moved from the University of Arkansas, Fayetteville section and a Project Program pool is requested for the remainder of the positions. Existing positions are currently funded from cash funds.

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION UNIVERSITY OF ARKANSAS FUND

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	197,282,991		201,204,300		215,694,607		245,443,473		204,465,068	
2 CASH	404,576,485		840,042,500		840,042,500		1,021,700,000		1,021,700,000	
3 TOBACCO - FAYETTEVILLE	2,127,887		2,025,714		2,375,563		2,375,563		2,375,563	
4 TOBACCO - AGRI EXPERIMENT	1,881,612		2,025,714		2,415,432		2,415,432		2,415,432	
5 CASH - SOILS & TESTING RESEARCH	1,111,063		5,742,264		5,742,264		5,742,264		5,742,264	
6 CASH - AREON	1,794,573		9,654,500		11,654,500		11,654,500		11,654,500	
7 STATE - WINROCK INSTITUTE	0		167,554		929,000		929,000		167,554	
8 STATE - GARVAN WOODLAND GARDENS	0		63,126		350,000		350,000		63,885	
9 STATE - CJI CLANDESTINE METHAMPHETAMINE	150,000		150,000		150,000		150,000		150,000	
10 STATE - LAW SCHOOL	537,207		800,000		800,000		800,000		800,000	
11 TOTAL	\$609,461,818	6,965	\$1,061,875,672	5,081	\$1,080,153,866	7,021	\$1,291,560,232	4,352	\$1,249,534,266	4,352
<b>FUNDING SOURCES</b>		<b>%</b>		<b>%</b>				<b>%</b>		<b>%</b>
12 PRIOR YEAR FUND BALANCE*	173,721	0%	8,654,500	1%				0%		0%
13 GENERAL REVENUE	184,079,079	30%	186,549,931	18%			231,837,424	18%	189,811,458	15%
14 EDUCATIONAL EXCELLENCE TRUST FUND	14,800,284	2%	14,885,049	1%			14,885,049	1%	14,885,049	1%
15 WORKFORCE 2000		0%		0%				0%		0%
16 CASH FUNDS	407,735,720	67%	846,784,764	80%			1,039,096,764	80%	1,039,096,764	83%
17 SPECIAL REVENUES (FILING FEES)	537,207	0%	800,000	0%			800,000	0%	800,000	0%
18 FEDERAL FUNDS		0%		0%				0%		0%
19 TOBACCO SETTLEMENT FUNDS	3,963,372	1%	4,051,428	0%			4,790,995	0%	4,790,995	0%
20 OTHER FUNDS	127,787	0%	150,000	0%			150,000	0%	150,000	0%
21 TOTAL INCOME	\$611,417,170	100%	\$1,061,875,672	100%			\$1,291,560,232	100%	\$1,249,534,266	100%
22 EXCESS (FUNDING)/APPROPRIATION	(\$1,955,352)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$37,609,066
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$13,258,808
INVENTORIES	\$4,726,921
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	
INSURANCE DEDUCTIBLES	
MAJOR CRITICAL SYSTEMS FAILURES	
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$43,367,269
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	
OTHER (FOOTNOTE BELOW)	
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	(\$23,743,932)

\*Line 12 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 FISCAL YEAR 2011(Non-Formula Entities)**

University of Arkansas System Office  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 SALARIES	3,536,518	3,616,193	3,652,355	3,652,355
2 BENEFITS	901,021	875,442	884,482	884,482
3 EXTRA HELP	66,342	147,000	147,000	147,000
4 MAINTENANCE & OPERATIONS	1,011,930	1,245,392	1,268,909	1,264,250
5 DEBT SERVICE	239,180	79,518	79,518	79,518
6				
7				
8				
9				
10				
11				
12				
13 MANDATORY TRANSFERS				
14 AUXILIARY TRANSFERS				
15 NON-MANDATORY TRANSFERS				
16 TOTAL UNREST. E&G EXP.	\$5,754,991	\$5,963,545	\$6,032,264	\$6,027,605
17 NET LOCAL INCOME	2,375,455	2,265,625	2,265,625	2,265,625
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE	3,387,923	3,435,945	3,504,665	3,500,006
20 EDUCATIONAL EXCELLENCE	260,483	261,974	261,974	261,974
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$6,023,861	\$5,963,545	\$6,032,264	\$6,027,605

FORM 10-2A

\* 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.

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011**

**UNIVERSITY OF ARKANSAS, FAYETTEVILLE**  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	104,408,677	103,864,910	112,665,031
2 RESEARCH	16,056,005	13,142,668	14,256,821
3 PUBLIC SERVICE	8,066,496	4,973,397	5,394,835
4 ACADEMIC SUPPORT	25,976,186	24,385,104	26,452,093
5 STUDENT SERVICES	16,594,101	15,981,961	17,335,759
6 INSTITUTIONAL SUPPORT	29,541,437	35,152,136	38,130,638
7 PHYSICAL PLANT M&O	30,476,713	30,585,437	33,177,564
8 SCHOLARSHIPS & FELLOWSHIPS	12,291,528	18,737,337	20,320,990
9 LAW SCHOOL	12,785,039	11,630,339	
10 OTHER ENTITY			
11 OTHER ENTITY			
12 OTHER ENTITY			
13 MANDATORY TRANSFERS	11,433,115	12,250,867	12,250,867
14 AUXILIARY TRANSFERS	189,085	189,016	189,016
15 NON-MANDATORY TRANSFERS	847,083		
16 TOTAL UNREST. E&G EXP.	\$268,665,465	\$270,893,172	\$280,173,614
17 NET LOCAL INCOME	151,436,329	148,562,962	156,015,000
18 PRIOR YEAR BALANCE***			
STATE FUNDS:			
19 GENERAL REVENUE	111,822,137	113,220,558	115,048,962
20 EDUCATIONAL EXCELLENCE	9,057,775	9,109,652	9,109,652
21 WORKFORCE 2000			
22 TOBACCO SETTLEMENT FUNDS			
23 OTHER STATE FUNDS **	537,207		
24 TOTAL SOURCES OF INCOME	\$272,853,448	\$270,893,172	\$280,173,614

FORM 10-2

\* 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.

**Detail on "Other State Funds":**

Act 431 Filing Fees Funds

537,207

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011(Non-Formula Entities)**

**UA WRI KNOWLEDGE BASED ECONOMIC DEVELOPMENT PROGRAM**

NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 Public Service		167,554	929,000	167,554
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.	\$0	\$167,554	\$929,000	\$167,554
17 NET LOCAL INCOME				
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE		167,554	929,000	167,554
20 EDUCATIONAL EXCELLENCE				
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$0	\$167,554	\$929,000	\$167,554

FORM 10-2A

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



**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011(Non-Formula Entities)**

**UA GARVAN WOODLAND GARDENS**  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 Public Service		63,126	350,000	63,885
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.	\$0	\$63,126	\$350,000	\$63,885
17 NET LOCAL INCOME				
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE		63,126	350,000	63,885
20 EDUCATIONAL EXCELLENCE				
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$0	\$63,126	\$350,000	\$63,885

FORM 10-2A

\* 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.

**Note: The operating budget of Garvan Woodland Gardens (GWG) is part of the University of Arkansas, Fayetteville. The total FY2010 operating budget for GWG is \$1.2 Million.**

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

University of Arkansas System Office  
 \_\_\_\_\_  
 (NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
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	145	0	0
7 OTHER CASH INCOME:	2,375,310	2,265,625	2,265,625
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	2,375,455	2,265,625	2,265,625
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$2,375,455	\$2,265,625	\$2,265,625

FORM 10-3

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

**UNIVERSITY OF ARKANSAS, FAYETTEVILLE**

(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	116,071,957	123,506,286	130,900,000
2 ALL OTHER FEES	3,912,750	90,000	90,000
3 OFF-CAMPUS CREDIT	5,703,624	521,000	525,000
4 NON-CREDIT INSTRUCTION			
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS			
6 INVESTMENT INCOME	1,545,980	1,500,000	1,500,000
7 OTHER CASH INCOME:	24,202,018	22,945,676	23,000,000
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	151,436,329	148,562,962	156,015,000
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$151,436,329	\$148,562,962	\$156,015,000

FORM 10-3

**Detail on Line 7:**

**Actual:**

Private Gifts, Grants & Contracts	4,340,244
Endowment Income	1,694,768
Sales & Svcs - Educational Activities	14,018,156
Legal Education Funds	1,343,810
Other - Misc.	<u>2,805,040</u>
<b>Total Actual "Other Cash Income"</b>	<b>24,202,018</b>

**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	<u>13,901,676</u>
<b>Total "Other"</b>	<b>22,945,676</b>

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CAA 0000

INSTITUTION UNIVERSITY OF ARKANSAS FUND

APPROPRIATION 534

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	151,217,260	159,850,000	159,850,000	159,850,000	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	36,537,422	36,000,000	36,000,000	38,240,000	
5 OPERATING EXPENSES	7,451,459	3,277,450	17,036,989	4,298,218	
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY					
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION	2,076,850	2,076,850	2,076,850	2,076,850	
11 ARK.RES.& EDUC. OPTICAL NETWORK			730,768		
12					
13					
14 TOTAL APPROPRIATION	\$197,282,991	\$201,204,300	\$215,694,607	\$204,465,068	\$0
15 PRIOR YEAR FUND BALANCE**	127,594				
16 GENERAL REVENUE	184,079,079	186,319,251		189,580,019	
17 EDUCATIONAL EXCELLENCE TRUST FUND	14,800,284	14,885,049		14,885,049	
18 SPECIAL REVENUES *LAW FILING FEES					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS	(22,213)				
22 TOTAL INCOME	\$198,984,744	\$201,204,300		\$204,465,068	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$1,701,753)	\$0		\$0	\$0

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

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

FORM 10-4

Other State Treasury Funds: Tuition Adjustment Funds \$41,455, Gas lease royalties \$1,148 and Worker's Compensation transfer out \$64,816

Actual expenses are reported higher than what is reflected in AASIS due to an end of the year expense of \$1,246,333 in Personal Services Matching that was incorrectly posted.

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND TSF 0200

INSTITUTION TOBACCO FUNDS - FAYETTEVILLE

APPROPRIATION 319

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	471,236	480,000	480,000	610,322	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	57,060	75,000	75,000	138,360	
5 OPERATING EXPENSES	1,000,803	800,000	800,000	586,622	
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY	598,788	670,714	1,020,563	1,040,259	
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11					
12					
13					
14 TOTAL APPROPRIATION	\$2,127,887	\$2,025,714	\$2,375,563	\$2,375,563	\$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	2,127,887	2,025,714		2,375,563	
21 OTHER STATE TREASURY FUNDS					
22 TOTAL INCOME	\$2,127,887	\$2,025,714		\$2,375,563	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND TSF 0202

INSTITUTION TOBACCO FUNDS - AGRI EXPER. STATION

APPROPRIATION 321

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	APPROPRIATION	AHECB RECOMMENDATION	RECOMMENDATION
			2009-10	2010-11	2010-11
1 REGULAR SALARIES	1,176,195	1,200,000	1,320,000	1,320,000	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	307,786	306,800	350,432	350,432	
5 OPERATING EXPENSES	297,236	316,414	360,000	380,000	
6 CONFERENCE FEES & TRAVEL	16,148	27,500	35,000	38,000	
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)		125,000	150,000	140,000	
8 CAPITAL OUTLAY	84,247	50,000	200,000	187,000	
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11					
12					
13					
14 TOTAL APPROPRIATION	\$1,881,612	\$2,025,714	\$2,415,432	\$2,415,432	\$0
15 PRIOR YEAR FUND BALANCE**	46,127				
16 GENERAL REVENUE					
17 EDUCATIONAL EXCELLENCE TRUST FUND					
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS	1,835,485	2,025,714		2,415,432	
21 OTHER STATE TREASURY FUNDS					
22 TOTAL INCOME	\$1,881,612	\$2,025,714		\$2,415,432	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CAA 0600

INSTITUTION UNIVERSITY OF ARKANSAS FUND -  
WRI-Knowledge Based Economic Development Program

APPROPRIATION 59F

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES			111,000		
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING			27,750		
5 OPERATING EXPENSES			50,000		
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY					
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11 LEADERSHIP DEVELOPMENT PRG			273,875		
12 KNOWLEDGE BASED ECON DEVELOP PRG		167,554	280,775	167,554	
13 RESEARCH BASED INNOVATION PRG			185,600		
14 TOTAL APPROPRIATION	\$0	\$167,554	\$929,000	\$167,554	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE		167,554		167,554	
17 EDUCATIONAL EXCELLENCE TRUST FUND					
18 SPECIAL REVENUES *LAW FILING FEES	0				
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS					
22 TOTAL INCOME	\$0	\$167,554		\$167,554	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CAA 0500

INSTITUTION UNIVERSITY OF ARKANSAS FUND -  
GARVAN WOODLAND GARDENS

APPROPRIATION 59G

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 Garvan Woodland Gardens Operations	0	63,126	350,000	63,885	
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
14 TOTAL APPROPRIATION	\$0	\$63,126	\$350,000	\$63,885	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE		63,126		63,885	
17 EDUCATIONAL EXCELLENCE TRUST FUND					
18 SPECIAL REVENUES *LAW FILING FEES	0				
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS					
22 TOTAL INCOME	\$0	\$63,126		\$63,885	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4



**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CAA 0100

INSTITUTION UNIVERSITY OF ARKANSAS FUND - CJI

APPROPRIATION 534A

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 CJI - Clandestine Methamphetamine Education and Training	150,000	150,000	150,000	150,000	
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
14 TOTAL APPROPRIATION	\$150,000	\$150,000	\$150,000	\$150,000	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE					
17 EDUCATIONAL EXCELLENCE TRUST FUND					
18 SPECIAL REVENUES *LAW FILING FEES					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS	150,000	150,000		150,000	
22 TOTAL INCOME	\$150,000	\$150,000		\$150,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

\*\*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

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CAA 0300

INSTITUTION UNIVERSITY OF ARKANSAS FUND - LAW SCHOOL

APPROPRIATION 534

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 University of Arkansas School of Law Expenses	537,207	800,000	800,000	800,000	
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
14 TOTAL APPROPRIATION	\$537,207	\$800,000	\$800,000	\$800,000	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE					
17 EDUCATIONAL EXCELLENCE TRUST FUND					
18 SPECIAL REVENUES *LAW FILING FEES	537,207	800,000		800,000	
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS					
22 TOTAL INCOME	\$537,207	\$800,000		\$800,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2000000 INSTITUTION UNIVERSITY OF ARKANSAS FUND APPROPRIATION B03

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	2009-10	AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	128,977,126	178,024,600	178,024,600	216,000,000	
2 EXTRA HELP WAGES	20,580,211	27,285,500	27,285,500	33,000,000	
3 OVERTIME	1,343,356	5,900,000	5,900,000	7,700,000	
4 PERSONAL SERVICES MATCHING	23,104,217	44,535,200	44,535,200	55,000,000	
5 OPERATING EXPENSES	123,300,063	160,200,000	160,200,000	194,000,000	
6 CONFERENCE FEES & TRAVEL	19,228,444	47,000,000	47,000,000	58,000,000	
7 PROFESSIONAL FEES AND SERVICES	17,305,541	55,000,000	55,000,000	66,000,000	
8 DATA PROCESSING					
9 CAPITAL OUTLAY	13,542,684	58,000,000	58,000,000	70,500,000	
10 CAPITAL IMPROVEMENTS	56,324,637	246,597,200	246,597,200	300,000,000	
11 DEBT SERVICE	808,933	4,000,000	4,000,000	5,000,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENTS		13,500,000	13,500,000	16,500,000	
13 PROMOTIONAL ITEMS	61,273				
14					
15					
16 CONTINGENCY					
17 TOTAL APPROPRIATION	\$404,576,485	\$840,042,500	\$840,042,500	\$1,021,700,000	\$0
18 PRIOR YEAR FUND BALANCE***					
19 LOCAL CASH FUNDS	404,576,485	840,042,500		1,021,700,000	
20 FEDERAL CASH FUNDS					
21 OTHER CASH FUNDS					
22 TOTAL INCOME	\$404,576,485	\$840,042,500		\$1,021,700,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS REQUESTED	NON-CLASSIFIED POSITIONS RECOMMENDED	LEG REC
	2008-09	2009-10	2009-10	2010-11	2010-11	2010-11
REGULAR POSITIONS	6,934	5,081	7,021	4,352	4,352	
TOBACCO POSITIONS						
EXTRA HELP **	3,927	3,808	3,808	3,808	3,808	

FORM 10-5

\*\* 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  
FISCAL YEAR 2011**

FUND 200000 INSTITUTION U OF A SOILS TESTING AND RESEARCH APPROPRIATION B76

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	2009-10	AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	560,822	881,219	881,219	900,000	
2 EXTRA HELP WAGES	40,575	143,990	143,990	100,000	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	143,912	194,555	194,555	225,000	
5 OPERATING EXPENSES	352,378	1,076,000	1,076,000	1,100,000	
6 CONFERENCE FEES & TRAVEL	9,571	85,000	85,000	85,000	
7 PROFESSIONAL FEES AND SERVICES		85,000	85,000	82,264	
8 DATA PROCESSING		16,500	16,500		
9 CAPITAL OUTLAY	3,805	608,000	608,000	600,000	
10 CAPITAL IMPROVEMENTS		1,805,000	1,805,000	1,800,000	
11 DEBT SERVICE					
12 FUND TRANSFERS, REFUNDS AND INVESTMENTS		847,000	847,000	850,000	
13					
14					
15					
16					
17 TOTAL APPROPRIATION	\$1,111,063	\$5,742,264	\$5,742,264	\$5,742,264	\$0
18 PRIOR YEAR FUND BALANCE***					
19 LOCAL CASH FUNDS	1,111,063	5,742,264		5,742,264	
20 FEDERAL CASH FUNDS					
21 OTHER CASH FUNDS					
22 TOTAL INCOME	\$1,111,063	\$5,742,264		\$5,742,264	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	REQUESTED	LEGISLATIVE RECOMMENDATION
	2008-09	2009-10	2009-10	2010-11	2010-11
REGULAR POSITIONS					
TOBACCO POSITIONS					
EXTRA HELP **					

FORM 10-5

\*\* 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  
FISCAL YEAR 2011**

FUND 2000400

INSTITUTION ARKANSAS RES.& EDUC. OPTICAL NETWORK

APPROPRIATION B03B

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION 2010-11	LEGISLATIVE RECOMMENDATION 2010-11
1 REGULAR SALARIES		695,000	695,000	695,000	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING		208,500	208,500	208,500	
5 OPERATING EXPENSES	851,095	1,700,000	1,700,000	1,700,000	
6 CONFERENCE FEES & TRAVEL	50,529	51,000	51,000	51,000	
7 PROFESSIONAL FEES AND SERVICES	790,847	1,000,000	1,000,000	1,000,000	
8 DATA PROCESSING					
9 CAPITAL OUTLAY	102,102	1,000,000	1,000,000	1,000,000	
10 CAPITAL IMPROVEMENTS		5,000,000	7,000,000	7,000,000	
11 DEBT SERVICE					
12 FUND TRANSFERS, REFUNDS AND INVESTMENTS					
13					
14					
15					
16 CONTINGENCY					
17 TOTAL APPROPRIATION	\$1,794,573	\$9,654,500	\$11,654,500	\$11,654,500	\$0
18 PRIOR YEAR FUND BALANCE***	0	8,654,500			
19 LOCAL CASH FUNDS	2,048,172	1,000,000		11,654,500	
20 FEDERAL CASH FUNDS					
21 OTHER CASH FUNDS					
22 TOTAL INCOME	\$2,048,172	\$9,654,500		\$11,654,500	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$253,599)	\$0		\$0	\$0

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

	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED 2009-10	REQUESTED 2010-11	LEGISLATIVE RECOMMENDATION 2010-11
REGULAR POSITIONS					
TOBACCO POSITIONS					
EXTRA HELP **					

FORM 10-5

\*\* 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 FOR FISCAL YEAR 2011

UNIVERSITY OF ARKANSAS, FAYETTEVILLE

(NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *	54,527,050	45,933,620	6,781,496	1,811,934	57,688,475	49,994,115	7,694,360	0
2 RESIDENCE HALL	26,676,678	15,417,266	7,092,410	4,167,002	24,376,626	16,604,305	7,772,321	0
3 MARRIED STUDENT HOUSING				0				0
4 FACULTY HOUSING				0				0
5 FOOD SERVICES				0				0
6 COLLEGE UNION	3,075,202	2,705,248	926,142	(556,188)	2,541,345	2,070,428	470,917	0
7 BOOKSTORE	14,147,207	14,335,449		(188,242)	16,652,118	16,652,118		0
8 STUDENT ORGANIZATIONS AND PUBLICATIONS	1,319,805	1,269,302	218,435	(167,932)	1,705,558	1,705,558		0
9 STUDENT HEALTH SERVICES	5,560,979	4,804,006	284,663	472,310	5,000,000	4,618,638	381,362	0
10 OTHER	7,433,604	4,006,356	2,101,590	1,325,658	9,357,741	7,072,109	2,285,632	0
11 SUBTOTAL	\$112,740,525	\$88,471,247	\$17,404,736	\$6,864,542	\$117,321,863	\$98,717,271	\$18,604,592	\$0
12 ATHLETIC TRANSFER **				0				0
13 OTHER TRANSFERS	1,147,685	9,215,308		(8,067,623)	189,016			189,016
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$113,888,210	\$97,686,555	\$17,404,736	(\$1,203,081)	\$117,510,879	\$98,717,271	\$18,604,592	\$189,016

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

\*\* 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.

FORM 10-6

<u>Details on "Other":</u>	<u>Income</u>	<u>Expense</u>	<u>Debt Service</u>	<u>Income</u>	<u>Expense</u>	<u>Debt Service</u>
Transit & Parking	6,985,486	3,050,044	2,101,590	6,807,090	4,697,458	2,109,632
Other Auxiliary Enterprises	448,118	956,312		2,550,651	2,374,651	176,000
<b>Total "Other"</b>	<b>7,433,604</b>	<b>4,006,356</b>	<b>2,101,590</b>	<b>9,357,741</b>	<b>7,072,109</b>	<b>2,285,632</b>

**EMPLOYMENT INFORMATION  
IDENTIFICATION BY EMPLOYMENT CLASSIFICATION**

University of Arkansas  
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2008-09:				<u>4408</u>			
(As of November 1, 2008 )							
Nonclassified Administrative Employees:							
White Male:	<u>793</u>	Black Male:	<u>57</u>	Other Male:	<u>108</u>	Total Male:	<u>958</u>
White Female:	<u>747</u>	Black Female:	<u>75</u>	Other Female:	<u>86</u>	Total Female:	<u>908</u>
Nonclassified Health Care Employees:							
White Male:	<u>2</u>	Black Male:	<u>0</u>	Other Male:	<u>0</u>	Total Male:	<u>2</u>
White Female:	<u>11</u>	Black Female:	<u>0</u>	Other Female:	<u>1</u>	Total Female:	<u>12</u>
Classified Employees:							
White Male:	<u>553</u>	Black Male:	<u>31</u>	Other Male:	<u>36</u>	Total Male:	<u>620</u>
White Female:	<u>759</u>	Black Female:	<u>65</u>	Other Female:	<u>62</u>	Total Female:	<u>886</u>
Faculty:							
White Male:	<u>551</u>	Black Male:	<u>22</u>	Other Male:	<u>104</u>	Total Male:	<u>677</u>
White Female:	<u>278</u>	Black Female:	<u>14</u>	Other Female:	<u>53</u>	Total Female:	<u>345</u>
Total White Male:	<u>1899</u>	Total Black Male:	<u>110</u>	Total Other Male:	<u>248</u>	Total Male:	<u>2257</u>
Total White Female:	<u>1795</u>	Total Black Female:	<u>154</u>	Total Other Female:	<u>202</u>	Total Female:	<u>2151</u>
Total White:	<u>3694</u>	Total Black:	<u>264</u>	Total Other:	<u>450</u>	Total Employees:	<u>4408</u>
				<b>Total Minority:</b>	<u>714</u>		

FORM 10-8

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas - Fayetteville**  
**June 30, 2008**

<p><i>Finding:</i></p>	<p><b>INFORMATION SYSTEM FINDING</b>  <b>UNIVERSITY OF ARKANSAS, FAYETTEVILLE (UAF)</b>  <b>Data Access Security Section - Integrated Student Information System Student Financial (SF) and Financial Aid</b>  Effective data access security requires passwords to lock user account after three unsuccessful logon attempts.</p> <p>Passwords are not locked until after 100 unsuccessful logon attempts and automatically resets after 30 minutes.</p> <p>Failure to establish proper password controls increases the likelihood that an unauthorized person could gain access to the system.</p> <p>A similar finding was reported in 2007.</p>
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<p><i>Recommendation:</i></p>	<p>The University implement strengthened password controls.</p>
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<p><i>University's Response:</i></p>	<p>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 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.</p> <p>A compensating control has been implemented to stop brute force programming attacks. An automatic lockout of the account happens after 100 unsuccessful logon attempts. When a lockout occurs, an e-mail is sent to the user of the account, the ISIS Director, the Technical Lead on the ISIS Project, and campus security team's listserv. The</p>
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**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas - Fayetteville**  
**June 30, 2008**

	<p>account is automatically unlocked 30 minutes later.</p> <p>To detect a knowledgeable insider from making multiple attempts at guessing a password, the following compensating control is being tested and will be placed into production after testing is completed. After 15 unsuccessful logon attempts, an e-mail notification will be sent to the user of the account, the ISIS Director, the ISIS Project Technical Lead and the campus security team's listserv.</p> <p>The ISIS Director will initiate an investigation into any incidents.</p>
<p><i>Finding:</i></p>	<p><b>INFORMATION SYSTEM FINDING</b>  <b>UNIVERSITY OF ARKANSAS, FAYETTEVILLE (UAF)</b>  <b>Data Access Security Section - Integrated Student Information System Student Financial (SF) and Financial Aid</b></p> <p>Effective data access security requires passwords to meet minimum standards. (BASIS) DART, P-CARD and AIMS</p> <p>The AIMS (BASIS) passwords meet all the minimum standards with the exception of password reset. AIMS (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.</p> <p>Failure to establish proper password controls increases the likelihood that an unauthorized person could gain access to the system.</p>
<p><i>Recommendation:</i></p>	<p>Either the AIMS (BASIS) accounts remain locked until reset by security administrator or that all UARK accounts limit unsuccessful logon attempts to a reasonable number.</p>

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas - Fayetteville**  
**June 30, 2008**

<p><i>University's Response:</i></p>	<p>We agree. The UARK ID and password parameters meet the Arkansas state security standards promulgated by the Office of Information Technology and the CIO Council. Our recommended approach to combating compromised account credentials focuses on the attacker rather than the victim by implementing a program of network, system and application event monitoring, detection, response and analysis. We recommend blocking the IP address of the attacking host(s) preventing their continued attempts to guess the password, and detect other anomalous authentication behavior followed by human intervention to analyze and respond to the situation. This compensating security control is a more sophisticated approach which would appropriately detect brute force attacks and also respond to 'low-and-slow' attacks by knowledgeable insiders. Additionally, this approach will minimize the denial of service concerns which the lockout mechanism as recommended by the auditors could cause.</p>
<p><i>Finding:</i></p>	<p><b>INFORMATION SYSTEM FINDING</b>  <b>UNIVERSITY OF ARKANSAS FAYETTEVILLE (UAF)</b>  <b>Disaster Recovery or Business Continuity - DART and P-Card AIMS (BASIS)</b></p> <p>Any entity running a computerized application(s) should have a written, approved and tested Disaster Recovery Plan (DRP) in place that will allow recovery from any major interruption or disaster. A DRP includes procedures for providing hardware, software, supplies and personnel to operate the backup computer facilities or restore the primary computer facilities in the event of a major interruption or disaster.</p> <p>UAF's Computing Services Department has developed a Disaster Recovery Contingency Plan for its Data Center which can be viewed at <a href="http://www.UARK.edu/drp">www.UARK.edu/drp</a>. The University has constructed an alternate site for the University's server based applications. As previously reported in</p>

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas - Fayetteville**  
**June 30, 2008**

	<p>2007 and currently in 2008, the University has a physical site but is without the necessary hardware to restore mainframe operations. Although the agreement has not been signed, the University is currently working on a reciprocal agreement with the Arkansas Department of Information Systems to act as its alternate ‘hot site’ located in Little Rock. In addition, there are no documented manual procedures to follow in the absence of the AIMS application.</p> <p>Without the necessary hardware to restore mainframe operations and an adequately tested plan the University could be without critical application processing for an extended period of time in the event of a major interruption or disaster. In addition, the lack of documented manual procedures for the AIMS application could result in no set course of action to guide business processes in the interim.</p>
<p><i>Recommendation:</i></p>	<p>That Computing Services Management secure an alternative processing site. We further recommend that the DRP be tested on a periodic (at a minimum yearly) basis and that alternative manual procedures be developed and documented for the AIMS application.</p>
<p><i>University's Response:</i></p>	<p>We agree. The reciprocal service agreement for the Mainframe Disaster Recovery Plan with the State of Arkansas DIS is in the final stages of legal review by the respective attorneys. As soon as the agreement is approved and executed, the plan will be implemented for the alternate “hot site”.</p> <p>With regards to the AIMS application, Financial Affairs staff will develop alternative manual procedures to ensure that asset inventory management could continue in the event that the AIMS application was not available. We will also prepare a document that details the manual procedures to be used as a permanent reference.</p>

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas - Fayetteville**  
**June 30, 2008**

The Arkansas Department of Finance and Administration (DFA) is tasked with the responsibility of preparing the State's Schedule of Expenditures of Federal Awards (SEFA). In order to ensure timely and accurate reporting, as well as allow for adequate planning of the Single Audit, each State/Educational Agency is required to submit a *Federal Awards Data Collection Workbook* to DFA by a pre-determined date. Upon receipt of the workbook, DFA compiles, reviews and makes the necessary adjustments to prepare the SEFA. A review of this process revealed several late submissions. The University of Arkansas - Fayetteville was 11 days late in submitting the Workbook to DFA. A list of the federal programs that were reported late can be found in the Single Audit Report for the year ended June 30, 2008 beginning on page 40.

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# ARKANSAS RESEARCH AND EDUCATION OPTICAL NETWORK

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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ARE-ON, a statewide optical network managed by a consortium of the Arkansas public four-year institutions, is critical infrastructure as higher education moves forward to drive economic development in Arkansas. ARE-ON represents major progress in capacity, capability, and cost-effective innovation for member institutions.

ARE-ON will develop and focus advanced resources on four core agendas.

1. Basic and Applied Research;
2. Academic enhancement/improvement;
3. Telemedicine and telehealth;
4. Emergency Preparedness, Response, and Recovery.

### **Cash Appropriation:**

There is no request for additional appropriation beyond current authorized levels.

### **Personnel Request:**

No additional positions over authorized or exceptional line-item adjustments have been requested.

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011(Non-Formula Entities)**

**ARKANSAS RESEARCH & EDUCATION OPTICAL NETWORK**

NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 Research	1,794,573	9,654,500	12,068,114	11,654,500
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.	\$1,794,573	\$9,654,500	\$12,068,114	\$11,654,500
17 NET LOCAL INCOME	2,048,172	9,654,500	11,654,500	11,654,500
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE			413,614	0
20 EDUCATIONAL EXCELLENCE				
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$2,048,172	\$9,654,500	\$12,068,114	\$11,654,500

FORM 10-2A

\* 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.

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

**ARKANSAS RESEARCH & EDUCATION OPTICAL NETWORK**  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
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:	2,048,172	9,654,500	11,654,500
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	2,048,172	9,654,500	11,654,500
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$2,048,172	\$9,654,500	\$11,654,500

FORM 10-3



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# University of Arkansas Division of Agriculture

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### General Revenue Operating Request

**Program Enhancement:**

Base Program Support for the Division of Agriculture

**Funding Request: \$5,838,354**

**Description:**

The Division of Agriculture is a statewide organization in the University of Arkansas System and is composed of the Arkansas Cooperative Extension Service and the Arkansas Agricultural Experiment Station. Its basic mission is to conduct research targeted towards the needs of Arkansas and to make that research available through Extension education. The primary program areas include agriculture, natural resources, community development, family and consumer sciences and 4-H and youth development. This combined research and development process is accomplished by faculty and staff located on five university campuses, at five research and extension centers, on eight research stations and through Extension offices in all 75 counties in the state. The partnership with local, state and federal governments assures that local solutions to regional and national problems can be developed. The model of the land grant university as exemplified in the Division is recognized world-wide as the best way to create lifelong learning opportunities based on sound research addressing the relevant needs of people. Through extensive involvement of all stakeholders, the Division stays current in its program directions and adapts to changing needs of our clientele. Through extensive linkages with other land grant universities, the Division is capable of taking research information developed elsewhere and adapting it to Arkansas' needs. That national and international network is a major strength provided by the Division.

**Justification:**

Arkansas is a very diverse state for agriculture. Other much larger states like California, Texas and Florida have great diversity, but, given its relative size, Arkansas outstrips these states. Arkansas annually ranks around No. 10 in the nation in farm gate receipts, a major indicator of agricultural productivity. Agriculture contributes nearly \$16 Billion to our state's economy each year and represents the highest percentage of the Gross State Product of any other state. One job in five is created by agriculture in our state. Seventeen of the commodities we produce rank in the top twenty nationwide. Arkansas Secretary of Agriculture Richard Bell has very correctly stated that agriculture is entering a new era and is evolving into a new paradigm. Support for the Division of Agriculture is essential as it represents the major research and development engine for these important industries.

A major concern is that our state investment in agriculture, as represented by resources provided to the Division, ranks last among the southern states and in the bottom third nationally. Federal support continues to erode with threats to base funds and reduced competitive grant opportunities. The Division is people intensive and fixed costs are a continuing management challenge. New technologies are increasingly costly to initiate. With a weakening economy, critical support for our most extensive industry is threatened. The Division does not receive nor benefit from tuition, fees, and auxiliary as other parts of higher education do. Support for the base programs, coupled with planned, appropriate redirection in those programs to meet emerging needs is essential.

# University of Arkansas Division of Agriculture

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### General Revenue Operating Request

**Program Enhancement:**

**Biofuels and Other Biomass Products**

**Funding Request: \$3,172,144**

**Description:**

The Division of Agriculture has expanded its involvement in research and education on biomass issues, especially biofuels. New faculty have been hired and others have redirected their efforts (i.e. plant breeding for alternative feedstock opportunities). The Division dedicated the recent higher education bond monies for capitol improvements for new construction and renovation of the Rice Research and Extension Center at Stuttgart. Two laboratories in that facility have been designated as field biofuel laboratories. New resources are needed to expand both our Research and Extension output in these areas. We need capacity to work on byproducts and coproducts (as example, increased uses for glycerin, a byproduct from biodiesel production), new feedstocks, application of cellulosic technologies, marketing strategies, and policy information support systems. Support is needed for field stations to adapt to these changing crops in their research and education systems.

**Justification:**

Continued uncertainty and skyrocketing prices in fossil fuels clearly demonstrate a need for the development of alternative energy sources. Arkansas' agriculture and forestry industries are uniquely positioned to take advantage of this need with great potential to provide a variety of feedstocks. However, problems exist with implementation of technologies in a profitable mode, availability of affordable feedstocks, distribution and marketing systems, policy issues of "food vs. fuel", and a host of other new opportunities. Also, given that we are dealing with living systems, all of the basic needs for production that currently exist for traditional crops will be there for new biofuel crops (pest control, fertility, water needs, harvest technologies, etc.). During the 2007 Regular Session of the General Assembly, appropriations bills were passed to support research and extension in these areas. However, none of them were funded. The Division earmarked \$1M from its general appropriation for this important area, but reductions in the FY09 forecast caused us to redirect those funds to operational issues. In order to continue to move our biofuel/biomass programs forward, new resources will be needed.

# University of Arkansas Division of Agriculture

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### General Revenue Operating Request

**Program Enhancement:** Biofuels and Other Biomass Products

**Funding Request:** \$1,850,966

**Description:**

Concerns about issues like water quality, water availability, security of our food and fiber industries and the ability of agricultural industries and rural communities to attain sustainable productivity have caused the Division to seek new resources and redirect others to meet these emerging critical needs. Where we once thought of fertility recommendations only from a production standpoint, today we also need data to demonstrate scientifically that recommendations are environmentally sound. We are in the process of reviewing and conducting new research on soil fertility recommendations for all areas. New data bases need to be developed that not only provide the information necessary for scientifically sound practices but also those which will sustain our agricultural industries. We are implementing security measures to protect the integrity of individual producers with respect to soil analysis. The needs in this program include additional agronomic research coupled with extension verification programs. Our scientists and agents need to work closely with regulatory personnel and other decision makers to provide them with the best choices. While these issues need to especially be addressed in the water arena, they actually cut across all practices that are part of the agricultural industries in our state. The information we are producing will be tested against new standards for years to come. The Division is positioning itself to guide the emerging standards for “sustainable” agriculture and food systems by providing a science foundation to the best practices that enhance environmental stewardship.

**Justification:**

The terms environmental quality, biosecurity and sustainability have taken on new and broader meanings over the last decade. The pressures of global economies on Arkansas coupled with societal issues still being influenced by 9-11 require our state to change the way we deal with these new challenges. Water quality issues transcend state boundaries. Biosecurity has taken on a newer, more ominous meaning. Sustainability is not just a buzzword, but rather is evolving into a matrix of decision-making that will likely permeate our entire economic community and generate new challenges for the food and fiber sectors of our society. Sustainability initiatives will increase demands on efficient use of energy and water in agricultural food supply chains. In the face of these rapidly changing situations, our research capacity and the ability to interpret and implement that research quickly, will be severely tested. A new way of doing business, including greater flexibility in staffing and funding, is going to be required if Arkansas is to remain competitive and able to experience the economic development that is desired by our citizens.

# University of Arkansas Division of Agriculture

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### General Revenue Operating Request

**Program Enhancement:** Food Systems – Quality, Safety and Human Nutrition

**Funding Request:** \$1,170,333

**Description:**

Several years ago, the Division obtained federal funds to establish the Institute of Food Science and Engineering. The Institute consists of three major centers—The Center for Food Science and Engineering, The Center for Food Safety and The Center for Human Nutrition. Established as a research and extension entity, the Institute has served as a focal point for industry collaborations. Faculties from several disciplines participate in the Institute. The presence of the Institute has enabled the Department of Food Science to rank in the top 10 nationally for two years in a row. The Division is also a member of the three state (Iowa, Kansas and Arkansas) Food Safety Consortium which further strengthens these programs. In addition, the Division houses the secretariat of the National Alliance for Food Safety, a coalition of 17 universities and agencies working on food safety/food quality problems. Research in the Institute has been further strengthened by funding from the Arkansas Bioscience Institute which brings researchers dedicated to human health together under one banner. The Division is uniquely positioned to take these research findings directly to the people of the state through extension programs in every county. These programs focus on providing knowledge and skills to adults and youth to promote healthy dietary and activity patterns that last a lifetime. However, despite all of these good efforts, greater emphasis must be placed on this critical area of research and education. These issues are important all along the food chain, from the farm to the table.

**Justification:**

Land Grant Institutions play a unique and important role in addressing the research and education needs in the entire food system. Product quality and safety begins at the farm or ranch and courses through the entire post harvest continuum. Recent incidences with episodes of food contamination have continued the public awareness of the importance of protecting our food supply. This has greatly accelerated with concerns about imported foods from China and other countries where regulations and handling practices are not at the level of those in the United States. Here in Arkansas, nutrition issues such as both adult and childhood obesity are epidemic. Obesity in children is especially serious as those individuals are much more likely to develop chronic diseases as adults. This is not only a human health issue; it is also a major economic issue for our state. As we strive to enhance the economic condition of our state, we are facing obstacles from poor nutrition. Every scientific breakthrough and every educational success contributes to the economic development of Arkansas.

# University of Arkansas Division of Agriculture

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### General Revenue Operating Request

**Program Enhancement:** Economic Development and Public Policy

**Funding Request: \$1,158,104**

**Description:**

The purpose of this initiative is to assist Arkansas communities, including the agricultural sector, develop and implement strategies that create new economic opportunities. These practices can include reducing risk in farming operations, adding value to agricultural products, and creating a business climate that compliments and helps sustain rural values. Revenue can be expanded through crop diversification including alternative crops like fruits, vegetables and bioenergy feedstocks. A major component of the sustainability concept is to provide opportunities close to the source of the commodities. In biofuels, a major need is the development of a distribution/marketing infrastructure for Arkansas processors. Additional value added industries can be developed to support rural community development. Both research and extension education will provide communities with more tools to broaden their economic bases.

**Justification:**

Higher education is clearly a stimulus for economic development in any state. Educating the citizens of the state provides a stronger workforce and gives employers the opportunity to create higher paying jobs. However, graduating students is only one part of the equation. A strong research base coupled with an extension outreach capacity is essential to helping our state meet these challenges. We remain predominantly a rural state and our efforts must help those small communities develop appropriate strategies to deal with problems they face in the absence of a diversified infrastructure. One need frequently overlooked is a strong education program on how to develop and deal with public policy that targets the majority of the citizens in an area.

## University of Arkansas Division of Agriculture

### 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

---

#### **Personnel Request**

We have requested a change to the LIM on a small number of faculty titles to be consistent with the LIM for like titles in the Fayetteville Campus appropriation.

Additionally, we have requested to essentially swap out 10 Project/Program Administrator titles for 10 Program Associates. This is an effort to use titles that better describe position responsibilities.

Lastly, we have requested to exchange two Faculty positions for Associate Director titles to reflect the administrative roles that those personnel perform.

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011(Non-Formula Entities)**

UNIVERSITY OF ARKANSAS DIVISION OF AGRICULTURE  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 Salaries - Nonclassified	45,715,570	45,117,758	53,521,610	45,885,913
2 Salaries - Classified	10,510,624	10,714,642	11,482,019	10,961,078
3 Staff Benefits	15,011,950	14,142,563	16,620,733	14,396,211
4 Operating Expenses	12,982,742	15,732,355	18,535,945	15,732,355
5				
6				
7				
8				
9				
10				
11				
12				
13 MANDATORY TRANSFERS	100,456	100,456	100,456	100,456
14 AUXILIARY TRANSFERS				
15 NON-MANDATORY TRANSFERS	1,200,000	1,200,000	1,200,000	1,200,000
16 TOTAL UNREST. E&G EXP.	\$85,521,342	\$87,007,774	\$101,460,763	\$88,276,013
17 NET LOCAL INCOME	18,227,896	18,444,964	18,444,964	18,444,964
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE	62,473,065	63,178,886	77,631,875	64,447,125
20 EDUCATIONAL EXCELLENCE	5,353,265	5,383,924	5,383,924	5,383,924
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$86,054,226	\$87,007,774	\$101,460,763	\$88,276,013

FORM 10-2A

\* 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 FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS DIVISION OF AGRICULTURE \_\_\_\_\_  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
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	1,360	1,000	1,000
7 OTHER CASH INCOME:	18,226,536	18,443,964	18,443,964
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	18,227,896	18,444,964	18,444,964
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$18,227,896	\$18,444,964	\$18,444,964

FORM 10-3

Other Cash Income Consists of:  
Federal Appropriations  
County Appropriations  
Other Sales/Services  
Private Gifts

# University of Arkansas, Arkansas Archeological Survey

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

---

The University of Arkansas, Arkansas Archeological Survey operates a state-wide program of archeological research, site preservation, and public education. The Survey is has eleven (11) Research Stations and a Coordinating Office. The Research Stations are strategically located in all parts of Arkansas and are responsible for archeological research and public outreach. They provide technical assistance to state and federal agencies, and to private landowners in need of preservation services. The Coordinating Office maintains archeological site records, publishes technical and popular reports, administers contracts and grants, maintains computer systems, and provides remote sensing services. The Survey also provides preservation services to local cemetery associations across the state. No other agency in the state provides this service.

To accomplish its mission, the Survey works closely with the Arkansas Archeological Society, a state-wide amateur organization, the Department of Arkansas Heritage, Arkansas Department of Parks and Tourism, and the Arkansas Highway and Transportation Department.

**General Revenue Request:** The Arkansas Archeological Survey is requesting an increase of \$535,376 for non-classified salary increases. Of this request, the Arkansas Higher Education Coordinating Board recommended an increase of \$46,000 (1.9% increase).

Non-classified salaries are 30% below market value for Ph.D. and MA level archeologists. These figures were obtained through a detailed comparison of Survey salaries with those of comparable positions at Arkansas universities, state and federal agencies, and private consulting firms. It is difficult to recruit and retain quality personnel and, indeed, the Survey experiences unusually high levels of turnover in certain job categories. Non-classified Survey employees have not had cost-of-living adjustments in their base salaries since FY08.

**Personnel:** No additional positions are requested. There are no line-item adjustments beyond the recommended cost of living adjustment level.

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011(Non-Formula Entities)**

ARKANSAS ARCHEOLOGICAL SURVEY  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 Non-Classified Salaries	1,454,499	1,528,247	1,990,915	1,557,284
2 Classified Salaries	158,818	126,878	129,416	129,289
3 Fringe Benefits	408,170	395,575	506,760	403,090
4 Maintenance	396,753	356,378	363,502	363,149
5 Survey Publications	30,000	30,000	30,600	30,000
6 Contingency	11,158	62,767	62,767	63,633
7				
8				
9				
10				
11				
12				
13 MANDATORY TRANSFERS				
14 AUXILIARY TRANSFERS				
15 NON-MANDATORY TRANSFERS				
16 TOTAL UNREST. E&G EXP.	\$2,459,398	\$2,499,845	\$3,083,960	\$2,546,445
17 NET LOCAL INCOME	30,000	30,000	30,000	30,000
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE	2,300,636	2,340,346	2,924,461	2,386,946
20 EDUCATIONAL EXCELLENCE	128,762	129,499	129,499	129,499
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$2,459,398	\$2,499,845	\$3,083,960	\$2,546,445

FORM 10-2A

\* 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 FISCAL YEAR 2011**

ARKANSAS ARCHEOLOGICAL SURVEY  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
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:	30,000	30,000	30,000
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	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	\$30,000	\$30,000	\$30,000

\* Survey Publications

FORM 10-3

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**UNIVERSITY OF ARKANSAS  
CLINTON SCHOOL OF PUBLIC SERVICE**

**2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE**

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The UA Clinton School is requesting a 2% increase in general revenue to support continuing operations.

The UA Clinton School is not requesting any position changes nor LIM revisions.

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011(Non-Formula Entities)**

UNIVERSITY OF ARKANSAS CLINTON SCHOOL \_\_\_\_\_  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 Salaries & Wages	781,525	1,265,986	1,291,306	1,291,306
2 Fringe Benefits	198,146	317,073	323,414	323,414
3 Scholarships	477,384	415,200	415,200	415,200
4 Maintenance & Operations	562,309	808,878	823,362	806,803
5				
6				
7				
8				
9				
10				
11				
12				
13 MANDATORY TRANSFERS				
14 AUXILIARY TRANSFERS				
15 NON-MANDATORY TRANSFERS	600,000			
16 TOTAL UNREST. E&G EXP.	\$2,619,364	\$2,807,137	\$2,853,282	\$2,836,723
17 NET LOCAL INCOME	386,110	499,900	499,900	499,900
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE	2,279,055	2,307,237	2,353,382	2,336,823
20 EDUCATIONAL EXCELLENCE				
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$2,665,165	\$2,807,137	\$2,853,282	\$2,836,723

FORM 10-2A

\* 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 FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS CLINTON SCHOOL  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	354,900	469,900	469,900
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:	31,210	30,000	30,000
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	386,110	499,900	499,900
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$386,110	\$499,900	\$499,900

Line 7 Other Cash Income comprised of UA Foundation reimbursements and book signings.

FORM 10-3



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## Criminal Justice Institute—University of Arkansas System

### 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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The Criminal Justice Institute (CJI), a division of the University of Arkansas System, enhances the professional and technical effectiveness of Arkansas' law enforcement community by offering education and training in the fields of management, forensic sciences, computer applications, and other specialized areas of law enforcement, and also providing research and technical assistance.

CJI will continue to collaborate with more than 20 colleges and universities across the State to expand the accessibility of affordable higher education opportunities for Arkansas law enforcement professionals. Through two unique programs—Crime Scene Investigation and Law Enforcement Administration—law enforcement personnel can obtain Certificates of Proficiency, Technical Certificates, and Associate of Applied Science Degrees in these fields of study specific to the law enforcement profession.

CJI will continue to design, enhance, and implement curricula in management, forensic sciences, computer applications, and other specialized areas that meet the unique education and training needs of today's Arkansas law enforcement community. CJI is committed to offering quality law enforcement education and training free of charge and at accessible locations to allow this vitally important group to more effectively and efficiently serve their community.

#### **General Revenue Request:**

Funds in the amount of \$350,000 were requested to increase the availability of the Law Enforcement Certificate Degree program to rural law enforcement agencies across the state.

#### **Personnel Request:**

The Criminal Justice Institute is not requesting additional positions or LIM revisions at this time.

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011(Non-Formula Entities)**

UNIVERSITY OF ARKANSAS SYSTEM - CRIMINAL JUSTICE INSTITUTE  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 Public Service	2,340,968	2,544,879	2,832,205	2,469,357
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13 MANDATORY TRANSFERS				
14 AUXILIARY TRANSFERS				
15 NON-MANDATORY TRANSFERS	260,400			
16 TOTAL UNREST. E&G EXP.	\$2,601,368	\$2,544,879	\$2,832,205	\$2,469,357
17 NET LOCAL INCOME****	508,180	558,600	459,200	459,200
18 PRIOR YEAR BALANCE***	165,096			
STATE FUNDS:				
19 GENERAL REVENUE	1,816,263	1,836,279	2,223,005	1,860,157
20 EDUCATIONAL EXCELLENCE				
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **	150,000	150,000	150,000	150,000
24 TOTAL SOURCES OF INCOME	\$2,639,539	\$2,544,879	\$2,832,205	\$2,469,357

FORM 10-2A

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

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

\*\* Special State Asset Forfeiture Funds

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS SYSTEM - CRIMINAL JUSTICE INSTITUTE  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
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:*	508,180	558,600	459,200
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	508,180	558,600	459,200
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$508,180	\$558,600	\$459,200

FORM 10-3

\*Indirect Cost Recovery

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# ARKANSAS SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **Operating Requests:**

The Arkansas School for Mathematics, Sciences and the Arts is a non-formula entity. The School requested an increase of \$400,000 in state funding for various program enhancements. These included enhancements in the Arts program, the Engineering program, and capital outlay for scientific equipment.

The School is requesting an additional \$10 million in cash appropriation for anticipated construction of a new residential facility.

### **Personnel Request:**

The School is not requesting additional positions at this time.

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	8,076,084		8,222,494		8,269,705		8,644,875		8,338,804	
2 CASH	2,055,527		9,447,492		13,965,000		30,850,000		30,850,000	
3										
4										
5										
6										
7										
8										
9										
10										
11 TOTAL	\$10,131,611	109	\$17,669,986	110	\$22,234,705	130	\$39,494,875	130	\$39,188,804	130
<b>FUNDING SOURCES</b>		<b>%</b>		<b>%</b>				<b>%</b>		<b>%</b>
12 PRIOR YEAR FUND BALANCE*		0%		0%				0%		0%
13 GENERAL REVENUE	1,018,481	10%	1,119,158	6%			1,541,540	4%	1,235,469	3%
14 EDUCATIONAL EXCELLENCE TRUST FUND	7,062,885	68%	7,103,335	40%			7,103,335	18%	7,103,335	18%
15 WORKFORCE 2000		0%		0%				0%		0%
16 CASH FUNDS	1,406,548	14%	9,447,492	53%			30,850,000	78%	30,850,000	79%
17 SPECIAL REVENUES		0%		0%				0%		0%
18 FEDERAL FUNDS	405,142	4%		0%				0%		0%
19 TOBACCO SETTLEMENT FUNDS		0%		0%				0%		0%
20 OTHER FUNDS	481,315	5%		0%				0%		0%
21 TOTAL INCOME	\$10,374,370	100%	\$17,669,986	100%			\$39,494,875	100%	\$39,188,804	100%
22 EXCESS (FUNDING)/APPROPRIATION	(\$242,760)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$512,086
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$38,096
INVENTORIES	
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	\$162,771
INSURANCE DEDUCTIBLES	
MAJOR CRITICAL SYSTEMS FAILURES	
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$944,846
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	
OTHER (FOOTNOTE BELOW)	
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	(\$633,626)

\*Line 12 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 FISCAL YEAR 2011(Non-Formula Entities)**

AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 INSTRUCTION	3,972,814	4,167,950	4,364,554	4,230,069
2 ACADEMIC SUPPORT	1,092,663	1,070,564	1,121,416	1,086,622
3 STUDENT SERVICES	1,150,846	1,178,306	1,234,276	1,195,981
4 INSTITUTIONAL SUPPORT	913,791	1,212,885	1,270,497	1,231,078
5 OPERATION & MAINT OF PLANT	1,788,230	1,817,787	1,904,132	1,845,054
6				
7				
8				
9				
10				
11				
12				
13 MANDATORY TRANSFERS	(40,000)			
14 AUXILIARY TRANSFERS				
15 NON-MANDATORY TRANSFERS	692,900			
16 TOTAL UNREST. E&G EXP.	\$9,571,244	\$9,447,492	\$9,894,875	\$9,588,804
17 NET LOCAL INCOME	1,507,343	1,225,000	1,250,000	1,250,000
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE	1,018,481	1,119,158	1,541,540	1,235,469
20 EDUCATIONAL EXCELLENCE	7,062,885	7,103,335	7,103,335	7,103,335
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$9,588,709	\$9,447,494	\$9,894,875	\$9,588,804

FORM 10-2A

\* 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 FISCAL YEAR 2011**

AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES			
2 ALL OTHER FEES	39,695	25,000	25,000
3 OFF-CAMPUS CREDIT	1,406,548	1,200,000	1,200,000
4 NON-CREDIT INSTRUCTION			
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS			
6 INVESTMENT INCOME	28,609	0	25,000
7 OTHER CASH INCOME:	32,491	0	0
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	1,507,343	1,225,000	1,250,000
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$1,507,343	\$1,225,000	\$1,250,000

FORM 10-3

Other Cash Income in "Actual" column  
 Student Assessments  
 Contract Income-NPCC  
 Equipment Rental  
 Expense Reimbursements  
 Vending Income  
 Miscellaneous Revenues

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CMS0000

INSTITUTION AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS

APPROPRIATION 2FD

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	3,930,000	4,000,000	4,000,000	4,500,000	
2 EXTRA HELP WAGES	15,165	10,000	10,000	10,000	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	1,139,700	1,120,000	1,120,000	1,300,000	
5 OPERATING EXPENSES	2,270,163	2,897,494	2,934,705	2,348,804	
6 CONFERENCE FEES & TRAVEL	90,000	50,000	50,000	75,000	
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)	466,056	20,000	20,000	15,000	
8 CAPITAL OUTLAY	165,000	125,000	125,000	90,000	
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11 CONSTRUCTION			10,000		
12					
13					
14 TOTAL APPROPRIATION	\$8,076,084	\$8,222,494	\$8,269,705	\$8,338,804	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE	1,018,481	1,119,158		1,235,469	
17 EDUCATIONAL EXCELLENCE TRUST FUND	7,062,885	7,103,335		7,103,335	
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS					
22 TOTAL INCOME	\$8,081,366	\$8,222,494		\$8,338,804	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$5,282)	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2000300

INSTITUTION AR SCHOOL FOR MATHEMATICS, SCIENCES AND THE ARTS

APPROPRIATION

B03

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION	LEGISLATIVE LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	395,881	4,000,000	4,000,000	5,500,000	
2 EXTRA HELP WAGES		10,000	100,000	100,000	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	84,431	1,000,000	1,000,000	1,500,000	
5 OPERATING EXPENSES	349,873	2,987,492	2,990,000	4,000,000	
6 CONFERENCE FEES & TRAVEL	36,598	125,000	125,000	250,000	
7 PROFESSIONAL FEES AND SERVICES	843	25,000	275,000	1,500,000	
8 DATA PROCESSING					
9 CAPITAL OUTLAY	1,183,136	1,000,000	5,000,000	1,000,000	
10 CAPITAL IMPROVEMENTS				4,000,000	
11 DEBT SERVICE		300,000	450,000	1,000,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENTS					
13 PROMOTIONAL ITEMS	4,765		25,000		
14 CONSTRUCTION				10,000,000	
15					
16 CONTINGENCY				2,000,000	
17 TOTAL APPROPRIATION	\$2,055,527	\$9,447,492	\$13,965,000	\$30,850,000	\$0
18 PRIOR YEAR FUND BALANCE***					
19 LOCAL CASH FUNDS	1,406,548	9,447,492		30,850,000	
20 FEDERAL CASH FUNDS	405,142	0			
21 OTHER CASH FUNDS	481,315	0			
22 TOTAL INCOME	\$2,293,004	\$9,447,492		\$30,850,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$237,477)	\$0		\$0	\$0

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

	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED 2009-10	NON-CLASSIFIED POSITIONS REQUESTED 2010-11	NON-CLASSIFIED POSITIONS RECOMMENDED 2010-11	LEG REC 2010-11
REGULAR POSITIONS	109	110	130	130	130	
TOBACCO POSITIONS						
EXTRA HELP **	4	4	10	10	10	

\*\* 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 ART:  
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2008-09: <u>115</u>								
(As of November 1, 2008 )								
Nonclassified Administrative Employees:					Total	Male:	<u>18</u>	
White Male:	<u>16</u>	Black Male:	<u>1</u>	Other Male:	<u>1</u>	Total	Female:	<u>33</u>
White Female:	<u>24</u>	Black Female:	<u>8</u>	Other Female:	<u>1</u>			
Nonclassified Health Care Employees:					Total	Male:	<u>0</u>	
White Male:	<u>          </u>	Black Male:	<u>          </u>	Other Male:	<u>          </u>	Total	Female:	<u>0</u>
White Female:	<u>          </u>	Black Female:	<u>          </u>	Other Female:	<u>          </u>			
Classified Employees:					Total	Male:	<u>0</u>	
White Male:	<u>          </u>	Black Male:	<u>          </u>	Other Male:	<u>          </u>	Total	Female:	<u>0</u>
White Female:	<u>          </u>	Black Female:	<u>          </u>	Other Female:	<u>          </u>			
Faculty:					Total	Male:	<u>28</u>	
White Male:	<u>27</u>	Black Male:	<u>          </u>	Other Male:	<u>1</u>	Total	Female:	<u>36</u>
White Female:	<u>28</u>	Black Female:	<u>1</u>	Other Female:	<u>7</u>	Total		
Total White Male:	<u>43</u>	Total Black Male:	<u>1</u>	Total Other Male:	<u>2</u>	Total	Male:	<u>46</u>
Total White Female:	<u>52</u>	Total Black Female:	<u>9</u>	Total Other Female:	<u>8</u>	Total	Female:	<u>69</u>
Total White:	<u>95</u>	Total Black:	<u>10</u>	Total Other:	<u>10</u>	Total	Employees:	<u>115</u>
				<b>Total Minority:</b>	<u>20</u>			

FORM 10-8

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## UNIVERSITY OF ARKANSAS – FORT SMITH

### 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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#### Operating Requests:

The University of Arkansas – Fort Smith is a formula driven entity and did not make a request for general revenue. The University is not requesting additional cash appropriation at this time.

#### Personnel Request:

The University is not requesting additional positions or LIM revisions.

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION UNIVERSITY OF ARKANSAS - FORT SMITH

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	23,048,066		23,482,552		24,832,586		28,232,381		23,653,795	
2 CASH	40,447,352		147,555,289		147,555,289		147,555,289		147,555,289	
3										
4										
5										
6										
7										
8										
9										
10										
11 TOTAL	\$63,495,418	729	\$171,037,841	749	\$172,387,875	1,110	\$175,787,670	856	\$171,209,084	856
<b>FUNDING SOURCES</b>		%		%				%		%
12 PRIOR YEAR FUND BALANCE*	1,766,263	3%	192,026	0%				0%		0%
13 GENERAL REVENUE	19,988,947	31%	20,242,712	12%			25,184,567	14%	20,605,981	12%
14 EDUCATIONAL EXCELLENCE TRUST FUND	3,030,458	5%	3,047,814	2%			3,047,814	2%	3,047,814	2%
15 WORKFORCE 2000		0%		0%				0%		0%
16 CASH FUNDS	36,807,827	%	146,185,685	85%			147,555,289	84%	147,555,289	86%
17 SPECIAL REVENUES		0%		0%				0%		0%
18 FEDERAL FUNDS	1,873,262	3%	1,369,604	1%				0%		0%
19 TOBACCO SETTLEMENT FUNDS		0%		0%				0%		0%
20 OTHER FUNDS**	226,719	0%		0%				0%		0%
21 TOTAL INCOME	\$63,693,476	42%	\$171,037,841	100%			\$175,787,670	100%	\$171,209,084	100%
22 EXCESS (FUNDING)/APPROPRIATION	(\$198,058)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$2,970,386
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$2,708,827
INVENTORIES	\$67,251
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	\$730,581
INSURANCE DEDUCTIBLES	\$80,000
MAJOR CRITICAL SYSTEMS FAILURES	
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$5,045,000
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	
OTHER (FOOTNOTE BELOW)	
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	<b>(\$5,661,273)</b>

\*\*Tuition Adjustment

\*Line 12 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Other Funds

\*\*Tuition Adjustment

226,719

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS - FORT SMITH  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	19,762,827	21,547,009	22,624,359
2 RESEARCH			
3 PUBLIC SERVICE	345,328	392,834	412,476
4 ACADEMIC SUPPORT	6,468,410	6,887,067	7,231,420
5 STUDENT SERVICES	3,234,581	3,627,913	3,809,309
6 INSTITUTIONAL SUPPORT	7,530,044	8,540,113	8,967,119
7 PHYSICAL PLANT M&O	5,639,044	5,478,209	5,920,996
8 SCHOLARSHIPS & FELLOWSHIPS	3,229,256	2,812,657	3,326,134
9			
10			
11			
12			
13 MANDATORY TRANSFERS	4,062,126	3,856,205	4,055,635
14 AUXILIARY TRANSFERS			
15 NON-MANDATORY TRANSFERS	2,507,793	1,232,445	54,241
16 TOTAL UNREST. E&G EXP.	\$52,779,409	\$54,374,452	\$56,401,689
17 NET LOCAL INCOME	29,266,186	31,083,926	32,747,894
18 PRIOR YEAR BALANCE***	267,099		
STATE FUNDS:			
19 GENERAL REVENUE	19,988,947	20,242,712	20,605,981
20 EDUCATIONAL EXCELLENCE	3,030,458	3,047,814	3,047,814
21 WORKFORCE 2000			
22 TOBACCO SETTLEMENT FUNDS			
23 OTHER STATE FUNDS **	226,719		
24 TOTAL SOURCES OF INCOME	\$52,779,409	\$54,374,452	\$56,401,689

FORM 10-2

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

\*\* Tuition Adjustment

\*\*\*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 FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS - FORT SMITH  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	21,712,008	23,064,268	25,601,338
2 ALL OTHER FEES	157,874	143,331	159,097
3 OFF-CAMPUS CREDIT			
4 NON-CREDIT INSTRUCTION	563,463	1,221,512	563,463
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	21,193	32,322	21,193
6 INVESTMENT INCOME	167,074	132,810	107,810
7 OTHER CASH INCOME:	6,644,574	6,489,683	6,294,993
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	29,266,186	31,083,926	32,747,894
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$29,266,186	\$31,083,926	\$32,747,894

FORM 10-3

Footnotes for line 8:

County Sales Tax	5,753,284	5,700,000	5,640,000
Grants and Contracts	422,290	485,352	242,676
Other Sources	<u>469,000</u>	<u>304,331</u>	<u>412,317</u>
	6,644,574	6,489,683	6,294,993

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CWW0000

INSTITUTION UNIVERSITY OF ARKANSAS - FORT SMITH

APPROPRIATION 568

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	16,297,894	16,007,131	17,272,165	16,419,126	
2 EXTRA HELP WAGES	610,000	616,500	701,500	625,748	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	3,646,225	3,799,876	3,799,876	3,799,876	
5 OPERATING EXPENSES	2,476,487	3,041,585	3,041,585	2,791,585	
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY					
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION	17,460	17,460	17,460	17,460	
11					
12					
13					
14 TOTAL APPROPRIATION	\$23,048,066	\$23,482,552	\$24,832,586	\$23,653,795	\$0
15 PRIOR YEAR FUND BALANCE**		192,026			
16 GENERAL REVENUE	19,988,947	20,242,712		20,605,981	
17 EDUCATIONAL EXCELLENCE TRUST FUNDS	3,030,458	3,047,814		3,047,814	
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS***	226,719				
22 TOTAL INCOME	\$23,246,124	\$23,482,552		\$23,653,795	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$198,058)	\$0		\$0	\$0

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

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

FORM 10-4

Other Funds

\*\*Tuition Adjustment

226,719

**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2160000

INSTITUTION UNIVERSITY OF ARKANSAS - FORT SMITH

APPROPRIATION B12

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	12,088,854	22,454,470	22,454,470	23,121,953	
2 EXTRA HELP WAGES	693,887	4,091,326	4,091,326	4,091,326	
3 OVERTIME	4,514,087	763,518	763,518	763,518	
4 PERSONAL SERVICES MATCHING	219,237	9,703,679	9,703,679	9,703,679	
5 OPERATING EXPENSES	11,155,122	22,599,757	22,599,757	22,599,757	
6 CONFERENCE FEES & TRAVEL	498,204	952,034	952,034	952,034	
7 PROFESSIONAL FEES AND SERVICES	747,730	4,084,019	4,084,019	4,084,019	
8 DATA PROCESSING		1,519,962	1,519,962	1,519,962	
9 CAPITAL OUTLAY	1,197,853	31,904,470	31,904,470	8,799,909	
10 CAPITAL IMPROVEMENTS	3,402,951	8,799,909	8,799,909	31,904,470	
11 DEBT SERVICE		9,723,118	9,723,118	9,055,635	
12 FUND TRANSFERS, REFUNDS AND INVESTMENT	5,783,773	30,784,027	30,784,027	30,784,027	
13 PROMOTIONAL ITEMS	145,654	175,000	175,000	175,000	
14					
15					
16					
17 TOTAL APPROPRIATION	\$40,447,352	\$147,555,289	\$147,555,289	\$147,555,289	\$0
18 PRIOR YEAR FUND BALANCE***	1,766,263				
19 LOCAL CASH FUNDS	36,807,827	146,185,685		147,555,289	
20 FEDERAL CASH FUNDS	1,873,262	1,369,604			
21 OTHER CASH FUNDS					
22 TOTAL INCOME	\$40,447,352	\$147,555,289		\$147,555,289	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS	NON-CLASSIFIED POSITIONS	LEG REC
	2008-09	2009-10	2009-10	REQUESTED 2010-11	RECOMMENDED 2010-11	2010-11
REGULAR POSITIONS	729	749	1,110	856	856	
TOBACCO POSITIONS	0	0	0	0	0	
EXTRA HELP **	236	229	910	910	910	

\*\* 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 FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS - FORT SMITH  
(NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *	1,837,973	2,550,412		(712,439)	2,159,355	3,079,182		(919,827)
2 RESIDENCE HALL	2,380,256	1,165,470	1,273,739	(58,953)	2,371,574	995,460	1,269,065	107,049
3 MARRIED STUDENT HOUSING				0				0
4 FACULTY HOUSING				0				0
5 FOOD SERVICES	63,446	45,064		18,382	25,000	25,000		0
6 COLLEGE UNION		44,421		(44,421)		101,675		(101,675)
7 BOOKSTORE	2,123,861	1,686,179		437,682	400,000	5,000		395,000
8 STUDENT ORGANIZATIONS AND PUBLICATIONS	2,368,870	1,383,529		985,341	2,423,614	1,538,038		885,576
9 STUDENT HEALTH SERVICES				0				0
10 OTHER	81,899	33,321		48,579	81,000	30,000		51,000
11 SUBTOTAL	\$8,856,306	\$6,908,397	\$1,273,739	\$674,170	\$7,460,543	\$5,774,355	\$1,269,065	\$417,123
12 ATHLETIC TRANSFER **				0				0
13 OTHER TRANSFERS ***	(10,000)			(10,000)	(417,123)			(417,123)
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$8,846,306	\$6,908,397	\$1,273,739	\$664,170	\$7,043,420	\$5,774,355	\$1,269,065	\$0

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

FORM 10-6

\*\* 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 Transfers

Transfers of auxiliary funds to plant funds to  
cover auxiliary capital obligations

(10,000)

(417,123)

**EMPLOYMENT INFORMATION  
IDENTIFICATION BY EMPLOYMENT CLASSIFICATION**

UNIVERSITY OF ARKANSAS - FORT SMITH  
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2008-09:						<u>532</u>
(As of November 1, 2008 )						
Nonclassified Administrative Employees:						
White Male:	<u>18</u>	Black Male:	<u>1</u>	Other Male:	<u>0</u>	Total Male: <u>19</u>
White Female:	<u>11</u>	Black Female:	<u>1</u>	Other Female:	<u>0</u>	Total Female: <u>12</u>
Nonclassified Health Care Employees:						
White Male:	<u>0</u>	Black Male:	<u>0</u>	Other Male:	<u>0</u>	Total Male: <u>0</u>
White Female:	<u>0</u>	Black Female:	<u>0</u>	Other Female:	<u>0</u>	Total Female: <u>0</u>
Classified Employees:						
White Male:	<u>79</u>	Black Male:	<u>6</u>	Other Male:	<u>10</u>	Total Male: <u>95</u>
White Female:	<u>157</u>	Black Female:	<u>7</u>	Other Female:	<u>25</u>	Total Female: <u>189</u>
Faculty:						
White Male:	<u>103</u>	Black Male:	<u>3</u>	Other Male:	<u>8</u>	Total Male: <u>114</u>
White Female:	<u>89</u>	Black Female:	<u>4</u>	Other Female:	<u>10</u>	Total Female: <u>103</u>
Total White Male:	<u>200</u>	Total Black Male:	<u>10</u>	Total Other Male:	<u>18</u>	Total Male: <u>228</u>
Total White Female:	<u>257</u>	Total Black Female:	<u>12</u>	Total Other Female:	<u>35</u>	Total Female: <u>304</u>
Total White:	<u>457</u>	Total Black:	<u>22</u>	Total Other:	<u>53</u>	Total Employees: <u>532</u>
				<b>Total Minority:</b>	<u>75</u>	

FORM 10-8

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas – Fort Smith**  
**June 30, 2008**

<i>Finding:</i>	No findings noted
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The Arkansas Department of Finance and Administration (DFA) is tasked with the responsibility of preparing the State's Schedule of Expenditures of Federal Awards (SEFA). In order to ensure timely and accurate reporting, as well as allow for adequate planning of the Single Audit, each State/Educational Agency is required to submit a *Federal Awards Data Collection Workbook* to DFA by a pre-determined date. Upon receipt of the workbook, DFA compiles, reviews and makes the necessary adjustments to prepare the SEFA. A review of this process revealed several late submissions. The University of Arkansas – Fort Smith was 39 days late in submitting the Workbook to DFA. A list of the federal programs that were reported late can be found in the Single Audit Report for the year ended June 30, 2008 beginning on page 40.

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# UNIVERSITY OF ARKANSAS AT LITTLE ROCK

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **Appropriation Request**

UALR is a formula driven entity and did not make a request for general revenue.

### **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.

The largest and most important request is for permanent funding for the Nanotechnology Center.

Created by action of the Arkansas General Assembly in 2005, the Nanotechnology Center at UALR (NCUALR) is a state-of-the-art, user-oriented facility focused on education, research, and economic development. An initial investment of \$5.9 million by the State of Arkansas provided the funds to purchase the state-of-the-art instrumentation and staff the center with the caliber of personnel that is helping the NCUALR become a regional center in the central part of the U.S. for innovative nanotechnology research. Additionally, UALR has received \$1.6 million from the state through a grant from the Arkansas Science and Technology Authority and \$285,000 GIF appropriation that has provided operational funds for the period of 2007 to the present. The investment of the State of Arkansas has already helped to leverage over \$10 million in new research funding will continue to bring in more resources that will deepen and expand research and outreach efforts of the center and enhance the economic development potential of the state.

Successes of the center to date include the development of a significant research portfolio which includes the areas of:

- Nanostructured materials for biomedical purposes (with emphases on tissue engineering and cancer detection and therapy),
- Development of organic solar panels and green energy solutions,
- Creation of customized nanomaterials for specific applications,
- Production of carbon nanotubes, and



# UNIVERSITY OF ARKANSAS AT LITTLE ROCK

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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- Anti-de-icing technologies

In addition to the research conducted in-house at the NCUALR, the work of the center focuses heavily on serving industries in perfecting their products and conducting crucial research and development work to increase their market viability. Industries partnering with the center include Almatix, SpacePhotonics, and Mesolight. Another focus of the Center is to grow companies in Arkansas is another focus of the center. To date, three companies have formed out of research being conducted at the center. Over 20 patent applications have been filed in the various research areas listed above.

Outreach of the center focuses primarily on generating the scientists of the future through partnerships with educational institutions including K-12 schools. Undergraduate students and high school students, including many from the Arkansas School for Math, Science and the Arts, have been provided research internships in the center. A summer training camp is being developed for high school students and students of 2-year colleges. The center's Affiliate Science program includes partnerships with faculty and staff (about 50 in all) from Arkansas 2- and 4-year colleges and universities (including Arkansas State, Henderson State, UCA, UAMS, Arkansas Tech, and SAU). Other scientists partnering with the center on a variety of research projects come from entities including Louisiana State University, Kansas State University, Kennedy Space Center, National Renewable Energy Laboratory, NCTR, Department of Defense Cold Regions Research Lab, U.S. Army Telemedicine and Advanced Technology Research Center, Romanian Institute of Nano-Medicine, and the Marie Curie Institute in France among others.

The requested budget would provide base operations for the center including the core personnel (Director/Chief Scientist, Director of Instrumentation, researchers, project managers, a grant writer, post-docs, and support staff), graduate assistants, and general maintenance. In addition, it would provide for research equipment – bio-transmission electron microscopes, a nano-manipulator, and a scanning tunneling microscope. It would also include infrastructure for commercialization of the research.

# UNIVERSITY OF ARKANSAS AT LITTLE ROCK

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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For RAPS/Nanotechnology UALR requested additional dollars for the following:

- Permanent operating funding for Nanotechnology (\$2,519,836)
- Technology and Marketing Business Assistance through two business extension specialists for the ASBTDC (\$101,405)
- A Center for Regional Cooperation and Development (\$326,690)
- A Regional Economic Analyst (\$138,936)
- An Institute for Racial Studies (\$469,313)

### **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 unit in the State of Arkansas with a statewide mission in economic development. The university needs a senior position for 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, UALR requests the establishment of an economic forecaster position. The establishment of this position will add a significant economic asset to our state.

### **Request for Increase in Line Item Maximum**

Dean of Engineering – EIT – 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 universities across the U.S. UALR will need a Dean with credentials in higher education, private sector business, and the federal government. 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 competitive salary level.

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION UNIVERSITY OF ARKANSAS AT LITTLE ROCK

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	64,135,547		66,355,285		71,902,175		81,919,689		68,772,110	
3 LAW SCHOOL	535,449		800,000		800,000		800,000		800,000	
3 CASH	110,830,324		371,200,000		371,200,000		371,200,000		371,200,000	
4										
5										
6										
7										
8										
9										
10										
11 TOTAL	\$175,501,320	1,953	\$438,355,285	2,198	\$443,102,175	2,203	\$453,919,689	1,644	\$440,772,110	1,644
<b>FUNDING SOURCES</b>		<b>%</b>		<b>%</b>				<b>%</b>		<b>%</b>
12 PRIOR YEAR FUND BALANCE*	1,096,167	1%	939,078	0%				0%		0%
13 GENERAL REVENUE	59,420,134	34%	60,133,981	14%			76,637,463	17%	63,489,884	14%
14 EDUCATIONAL EXCELLENCE TRUST FUND	5,252,146	3%	5,282,226	1%			5,282,226	1%	5,282,226	1%
15 WORKFORCE 2000		0%		0%				0%		0%
16 CASH FUNDS	109,734,157	62%	371,200,000	85%			371,200,000	82%	371,200,000	84%
17 SPECIAL REVENUES		0%		0%				0%		0%
18 FEDERAL FUNDS		0%		0%				0%		0%
19 TOBACCO SETTLEMENT FUNDS		0%		0%				0%		0%
20 OTHER FUNDS	537,207	0%	800,000	0%			800,000	0%	800,000	0%
21 TOTAL INCOME	\$176,039,811	100%	\$438,355,285	100%			\$453,919,689	100%	\$440,772,110	100%
22 EXCESS (FUNDING)/APPROPRIATION	(\$538,491)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$10,009,406
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$7,496,859
INVENTORIES	\$157,101
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	
INSURANCE DEDUCTIBLES	\$50,000
MAJOR CRITICAL SYSTEMS FAILURES	
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$15,008,200
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	
OTHER (FOOTNOTE BELOW)	
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	<b>(\$12,702,754)</b>

\*Line 12 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 FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS AT LITTLE ROCK  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	50,087,705	52,567,673	52,978,239
2 RESEARCH	3,251,483	2,841,757	2,863,952
3 PUBLIC SERVICE	650,136	295,380	297,687
4 ACADEMIC SUPPORT	14,686,602	15,492,750	15,613,752
5 STUDENT SERVICES	6,011,501	6,158,359	6,206,457
6 INSTITUTIONAL SUPPORT	10,848,111	10,935,405	11,020,813
7 PHYSICAL PLANT M&O	11,258,803	10,290,232	10,370,601
8 SCHOLARSHIPS & FELLOWSHIPS	9,801,979	8,093,298	8,156,509
9 OTHER ENTITY - LAW	9,582,855	9,940,324	10,011,712
10			
11			
12			
13 MANDATORY TRANSFERS	3,670,491	3,655,113	3,683,660
14 AUXILIARY TRANSFERS	2,279,417	1,673,042	1,686,109
15 NON-MANDATORY TRANSFERS	4,532,135	2,270,954	2,288,691
16 TOTAL UNREST. E&G EXP.	\$126,661,218	\$124,214,287	\$125,178,182
17 NET LOCAL INCOME	64,868,208	61,606,688	61,606,688
18 PRIOR YEAR BALANCE***			
STATE FUNDS:			
19 GENERAL REVENUE	55,848,493	56,525,373	57,489,268
20 EDUCATIONAL EXCELLENCE	5,252,146	5,282,226	5,282,226
21 WORKFORCE 2000			
22 TOBACCO SETTLEMENT FUNDS			
23 OTHER STATE FUNDS **	737,207	800,000	800,000
24 TOTAL SOURCES OF INCOME	\$126,706,054	\$124,214,287	\$125,178,182

FORM 10-2

\* 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 Actual include:

UALR - Law School Legal Education (CEA0100)  
AR Strive Appropriation (Fund CEA0000)

\*\*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 FISCAL YEAR 2011(Non-Formula Entities)**

UNIVERSITY OF ARKANSAS AT LITTLE ROCK - RAPS/NANOTECHNOLOGY  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 INSTRUCTION	13,658			
2 RESEARCH	810,298	914,538	1,559,987	968,943
3 PUBLIC SERVICE	2,881,538	2,694,070	3,319,980	2,748,286
4 ACADEMIC SUPPORT	189,473			
5 SCHOLARSHIPS	1,069			
6 NANOTECHNOLOGY/RESEARCH	2,215,031	1,894,246	2,519,836	2,319,387
7 NANOTECHNOLOGY/ACADEMIC S	1,575			
8 NANOTECHNOLOGY/SCHOLARSH	25,074			
9				
10				
11				
12				
13 MANDATORY TRANSFERS	97,976			
14 AUXILIARY TRANSFERS				
15 NON-MANDATORY TRANSFERS	(955,636)			
16 TOTAL UNREST. E&G EXP.	\$5,280,056	\$5,502,854	\$7,399,803	\$6,036,616
17 NET LOCAL INCOME	908,415		36,000	36,000
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE	3,571,641	3,608,608	7,363,803	6,000,616
20 EDUCATIONAL EXCELLENCE				
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **	800,000	1,894,246		
24 TOTAL SOURCES OF INCOME	\$5,280,056	\$5,502,854	\$7,399,803	\$6,036,616

FORM 10-2A

\* 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 include GIF (2005 appropriation for Nano center) and \$800,000 from ASTA.

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS AT LITTLE ROCK  
 \_\_\_\_\_  
 (NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	42,187,330	42,518,343	42,518,343
2 ALL OTHER FEES	2,378,315	1,933,285	1,933,285
3 OFF-CAMPUS CREDIT	14,586,315	14,549,505	14,549,505
4 NON-CREDIT INSTRUCTION			
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	1,164,626	913,997	913,997
6 INVESTMENT INCOME	370,314		
7 OTHER CASH INCOME:**	4,181,308	1,691,558	1,691,558
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	64,868,208	61,606,688	61,606,688
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$64,868,208	\$61,606,688	\$61,606,688

FORM 10-3

\*\*Sources of Other Cash Income:

- Indirect Cost Recovery
- Gifts
- Parking Income & Violations
- Contract Income
- Facility Rental
- Service Charges
- Internal Income
- Educational Activity Income

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CEA0000

INSTITUTION UNIVERSITY OF ARKANSAS AT LITTLE ROCK

APPROPRIATION \_\_\_\_\_ 297

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	53,485,639	54,860,290	59,607,180	57,653,814	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	10,649,908	11,494,995	11,494,995	11,118,296	
5 OPERATING EXPENSES					
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY					
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11					
12					
13					
14 TOTAL APPROPRIATION	\$64,135,547	\$66,355,285	\$71,102,175	\$68,772,110	\$0
15 PRIOR YEAR FUND BALANCE**		939,078			
16 GENERAL REVENUE	59,420,134	60,133,981		63,489,884	
17 EDUCATIONAL EXCELLENCE TRUST FUNDS	5,252,146	5,282,226		5,282,226	
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS					
22 TOTAL INCOME	\$64,672,280	\$66,355,285		\$68,772,110	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$536,733)	\$0		\$0	\$0

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

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

FORM 10-4

Line 11, actual column includes expenses for operating and conferences fees and travel

Other State Treasury Funds include Legal Education

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CEA01000

INSTITUTION UNIVERSITY OF ARKANSAS AT LITTLE ROCK  
LAW SCHOOL

APPROPRIATION 297

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	APPROPRIATION	AHECB RECOMMENDATION	RECOMMENDATION
			2009-10	2010-11	2010-11
1 WILLIAM H. BOWEN SCHOOL OF LAW	535,449	800,000	800,000	800,000	
12					
13					
14 TOTAL APPROPRIATION	\$535,449	\$800,000	\$800,000	\$800,000	\$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	537,207	800,000		800,000	
22 TOTAL INCOME	\$537,207	\$800,000		\$800,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$1,758)	\$0		\$0	\$0

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

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

Line 11, actual column includes expenses for operating and conferences fees and travel

Other State Treasury Funds include Legal Education



**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2010000

INSTITUTION UNIVERSITY OF ARKANSAS AT LITTLE ROCK

APPROPRIATION A68

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	39,117,019	72,828,000	72,828,000	72,828,000	
2 EXTRA HELP WAGES	3,097,118	12,000,000	12,000,000	12,000,000	
3 OVERTIME		1,000,000	1,000,000	1,000,000	
4 PERSONAL SERVICES MATCHING	10,188,477	20,808,000	20,808,000	20,808,000	
5 OPERATING EXPENSES	26,164,909	39,800,000	39,900,000	39,900,000	
6 CONFERENCE FEES & TRAVEL	3,758,058	5,000,000	5,000,000	5,000,000	
7 PROFESSIONAL FEES AND SERVICES	3,079,034	10,000,000	10,000,000	10,000,000	
8 DATA PROCESSING		1,000,000	1,000,000	1,000,000	
9 CAPITAL OUTLAY	15,888,461	35,000,000	35,000,000	35,000,000	
10 CAPITAL IMPROVEMENTS		123,264,000	123,264,000	123,264,000	
11 DEBT SERVICE	9,470,227	10,000,000	10,000,000	10,000,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENT	67,021	40,000,000	40,000,000	40,000,000	
13 PROMOTIONAL ITEMS		500,000	400,000	400,000	
14					
15					
16 CONTINGENCY					
17 TOTAL APPROPRIATION	\$110,830,324	\$371,200,000	\$371,200,000	\$371,200,000	\$0
18 PRIOR YEAR FUND BALANCE***	1,096,167				
19 LOCAL CASH FUNDS	109,734,157	371,200,000		371,200,000	
20 FEDERAL CASH FUNDS					
21 OTHER CASH FUNDS					
22 TOTAL INCOME	\$110,830,324	\$371,200,000		\$371,200,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS	NON-CLASSIFIED POSITIONS	LEG REC
	2008-09	2009-10	2009-10	REQUESTED 2010-11	RECOMMENDED 2010-11	2010-11
REGULAR POSITIONS	1,953	2,198	2,203	1,644	1,644	
TOBACCO POSITIONS						
EXTRA HELP **	465	1,330	1,330	1,330	1,330	

\*\* 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.

FORM 10-5

\*\*\*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 FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS AT LITTLE ROCK  
(NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *	5,007,911	6,020,951		(1,013,040)	5,331,909	6,294,014		(962,105)
2 RESIDENCE HALL	2,777,820	1,144,141	1,465,505	168,174	2,654,753	1,138,193	1,516,559	1
3 MARRIED STUDENT HOUSING				0				0
4 FACULTY HOUSING				0				0
5 FOOD SERVICES		11,151		(11,151)				0
6 COLLEGE UNION	1,188,529	1,825,322	176,977	(813,770)	916,284	1,603,133	235,969	(922,818)
7 BOOKSTORE				0				0
8 STUDENT ORGANIZATIONS AND PUBLICATIONS	639,362	610,988		28,374	655,367	655,367		0
9 STUDENT HEALTH SERVICES				0				0
10 OTHER	1,370,224	911,990	172,191	286,043	1,921,305	1,535,818		385,487
11 SUBTOTAL	\$10,983,846	\$10,524,543	\$1,814,673	(\$1,355,370)	\$11,479,618	\$11,226,525	\$1,752,528	(\$1,499,435)
12 ATHLETIC TRANSFER **	1,013,040			1,013,040	962,105			962,105
13 OTHER TRANSFERS ***	390,469			390,469	537,330			537,330
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$12,387,355	\$10,524,543	\$1,814,673	\$48,139	\$12,979,053	\$11,226,525	\$1,752,528	\$0

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

FORM 10-6

\*\* 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
- Food service

**EMPLOYMENT INFORMATION  
IDENTIFICATION BY EMPLOYMENT CLASSIFICATION**

UNIVERSITY OF ARKANSAS AT LITTLE ROCK \_\_\_\_\_  
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2008-09:					<u>1319</u>
(As of November 1, 2008 )					
Nonclassified Administrative Employees:					
White Male:	<u>166</u>	Black Male:	<u>28</u>	Other Male:	<u>13</u>
White Female:	<u>202</u>	Black Female:	<u>47</u>	Other Female:	<u>13</u>
				Total Male:	<u>207</u>
				Total Female:	<u>262</u>
Nonclassified Health Care Employees:					
White Male:	<u>0</u>	Black Male:	<u>0</u>	Other Male:	<u>0</u>
White Female:	<u>0</u>	Black Female:	<u>0</u>	Other Female:	<u>0</u>
				Total Male:	<u>0</u>
				Total Female:	<u>0</u>
Classified Employees:					
White Male:	<u>91</u>	Black Male:	<u>63</u>	Other Male:	<u>6</u>
White Female:	<u>103</u>	Black Female:	<u>110</u>	Other Female:	<u>11</u>
				Total Male:	<u>160</u>
				Total Female:	<u>224</u>
Faculty:					
White Male:	<u>219</u>	Black Male:	<u>12</u>	Other Male:	<u>38</u>
White Female:	<u>161</u>	Black Female:	<u>18</u>	Other Female:	<u>18</u>
				Total Male:	<u>269</u>
				Total Female:	<u>197</u>
Total White Male:	<u>476</u>	Total Black Male:	<u>103</u>	Total Other Male:	<u>57</u>
Total White Female:	<u>466</u>	Total Black Female:	<u>175</u>	Total Other Female:	<u>42</u>
Total White:	<u>942</u>	Total Black:	<u>278</u>	Total Other:	<u>99</u>
			<b>Total Minority:</b>	<u>377</u>	
				Total Employees:	<u>1319</u>

FORM 10-8

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas- Little Rock**  
**June 30, 2008**

<p><i>Finding:</i></p>	<p><b>UNIVERSITY OF ARKANSAS AT LITTLE ROCK</b>          After University Purchasing Department personnel detected unauthorized purchases, the University of Arkansas System's Internal Audit Office (IAO) in conjunction with the University Police Department, conducted an investigation relating to misappropriation of funds with the purchasing card (P-card) program, in the Department of Earth Sciences, during the period May 2005 through December 2007. According to IAO, the Department's administrative secretary, Tammy Starks, used the Department's P-card for personal purchases of \$16,004. The IAO recommended management review and revise the P-card program policies and obtain reimbursement from Ms. Starks, whose employment terminated on January 8, 2008. Ms. Starks' final paycheck of \$2,130 was applied to the balance owed, leaving \$13,874 due the University.</p>
<p><i>Recommendation:</i></p>	<p>The University continue to seek repayment of the balance owed the University.</p>
<p><i>University's Response:</i></p>	<p>Within hours of detecting the fraudulent use of the purchasing card, UALR had cancelled the card, met with the department supervisor and had started the process of gathering supporting evidence. Immediately following, UALR Public Safety initiated a formal investigation into the matter and quickly recovered from Mrs. Starks some of the unused items purchased with the P-Card. The investigation included researching prior financial activity involving Mrs. Starks in a reverse chronological order until all suspected items were identified. Upon completion of the investigation, it appeared that Mrs. Starks started infrequent personal use of the card as early as 2005 with this activity gradually increasing over the following two and one-half years, with a dramatic increase in the last few months of her employment. As a means to fully address the situation, the University then implemented both corrective and preventive actions. Corrective actions: UALR terminated Mrs. Starks and filed five felony warrants against her with the Pulaski County Sheriff's Office. Later, a receivable for the entire \$16,004 was recorded on the University's books and her last paycheck in the amount of \$2,130 was receipted against this receivable. Preventive actions: UALR conducted a thorough review of the P-Card policies and procedures to identify areas of weakness. After</p>

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas- Little Rock**  
**June 30, 2008**

	addressing these weaknesses, there was a Chancellor led initiative to conduct mandatory P-Card training for card holder and their supervisors as a means to fully communicate the new procedures and the role each plays in the University's internal control process. This training is now required annually for all users and approvers.
--	--

The Arkansas Department of Finance and Administration (DFA) is tasked with the responsibility of preparing the State's Schedule of Expenditures of Federal Awards (SEFA). In order to ensure timely and accurate reporting, as well as allow for adequate planning of the Single Audit, each State/Educational Agency is required to submit a *Federal Awards Data Collection Workbook* to DFA by a pre-determined date. Upon receipt of the workbook, DFA compiles, reviews and makes the necessary adjustments to prepare the SEFA. A review of this process revealed several late submissions. The University of Arkansas – Little Rock was 13 days late in submitting the Workbook to DFA. A list of the federal programs that were reported late can be found in the Single Audit Report for the year ended June 30, 2008 beginning on page 40.

# UNIVERSITY OF ARKANSAS AT MONTICELLO

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **University of Arkansas at Monticello**

#### Operating Requests:

The University of Arkansas at Monticello is a formula driven entity and did not make a request for general revenue.

The University is not requesting additional cash appropriation at this time.

#### Personnel Requests:

The University is not requesting additional positions at this time.

### **University of Arkansas at Monticello-Crossett**

#### Operating Requests:

The University of Arkansas at Monticello-Crossett (UAM-Crossett) is a formula driven entity and did not make a request for general revenue.

UAM-Crossett is not requesting additional cash appropriation at this time.

#### Personnel Requests:

UAM-Crossett is not requesting additional positions at this time.

### **University of Arkansas at Monticello-McGehee**

#### Operating Requests:

The University of Arkansas at Monticello-McGehee (UAM-McGehee) is a formula driven entity and did not make a request for general revenue.

UAM-McGehee is not requesting additional cash appropriation at this time.

#### Personnel Requests:

UAM-McGehee is not requesting additional positions at this time.

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION UNIVERSITY OF ARKANSAS AT MONTICELLO

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	17,874,346		18,423,167		19,226,850		19,059,335		18,688,310	
2 CASH	25,920,007		28,858,000		59,050,000		59,050,000		59,050,000	
3										
4										
5										
6										
7										
8										
9										
10										
11 TOTAL	\$43,794,353	390	\$47,281,167	404	\$78,276,850	610	\$78,109,335	412	\$77,738,310	412
<b>FUNDING SOURCES</b>		%		%				%		%
12 PRIOR YEAR FUND BALANCE*	1,019,489	2%		0%				0%		0%
13 GENERAL REVENUE	15,751,801	36%	15,917,783	34%			16,553,951	21%	16,182,926	21%
14 EDUCATIONAL EXCELLENCE TRUST FUND	1,055,273	2%	1,061,316	2%			1,061,316	1%	1,061,316	1%
15 WORKFORCE 2000	1,162,538	3%	1,094,068	2%			1,094,068	1%	1,094,068	1%
16 CASH FUNDS	16,573,138	38%	17,916,905	38%			28,750,000	37%	28,750,000	37%
17 SPECIAL REVENUES		0%		0%				0%		0%
18 FEDERAL FUNDS	8,327,380	19%	10,941,095	23%			30,300,000	39%	30,300,000	39%
19 TOBACCO SETTLEMENT FUNDS		0%		0%				0%		0%
20 OTHER FUNDS**		0%	350,000	1%			350,000	0%	350,000	0%
21 TOTAL INCOME	\$43,889,619	100%	\$47,281,167	100%			\$78,109,335	100%	\$77,738,310	100%
22 EXCESS (FUNDING)/APPROPRIATION	(\$95,266)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$3,985,638
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$1,022,967
INVENTORIES	\$204,081
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	\$78,336
INSURANCE DEDUCTIBLES	
MAJOR CRITICAL SYSTEMS FAILURES	
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$3,214,918
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	
OTHER (FOOTNOTE BELOW)	
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	<b>(\$534,664)</b>

\*Line 12 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

\*\*Other State Treasury Funds include Timber Severance Tax Funds.

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS AT MONTICELLO  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	10,862,912	10,954,484	11,112,625
2 RESEARCH	27,892	14,700	14,700
3 PUBLIC SERVICE	150,102	156,427	156,427
4 ACADEMIC SUPPORT	1,663,469	1,647,989	1,700,702
5 STUDENT SERVICES	1,389,383	1,413,324	1,413,324
6 INSTITUTIONAL SUPPORT	3,431,421	4,200,020	4,200,020
7 PHYSICAL PLANT M&O	3,307,364	3,124,933	3,124,933
8 SCHOLARSHIPS & FELLOWSHIPS	3,193,683	2,807,716	2,807,716
9			
10			
11			
12			
13 MANDATORY TRANSFERS	332,876	437,942	437,942
14 AUXILIARY TRANSFERS	650,000	594,403	594,403
15 NON-MANDATORY TRANSFERS	846,151		
16 TOTAL UNREST. E&G EXP.	\$25,855,253	\$25,351,938	\$25,562,792
17 NET LOCAL INCOME	10,853,600	10,916,622	10,916,622
18 PRIOR YEAR BALANCE***	1,019,489		
STATE FUNDS:			
19 GENERAL REVENUE	12,926,891	13,024,000	13,234,854
20 EDUCATIONAL EXCELLENCE	1,055,273	1,061,316	1,061,316
21 WORKFORCE 2000			
22 TOBACCO SETTLEMENT FUNDS			
23 OTHER STATE FUNDS **		350,000	350,000
24 TOTAL SOURCES OF INCOME	\$25,855,253	\$25,351,938	\$25,562,792

FORM 10-2

\* 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.



**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011**

UAM-CROSSETT

NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	1,066,584	1,155,128	1,179,055
2 RESEARCH			
3 PUBLIC SERVICE			
4 ACADEMIC SUPPORT	48,042	54,438	54,438
5 STUDENT SERVICES	164,165	167,085	167,085
6 INSTITUTIONAL SUPPORT	414,500	457,378	457,378
7 PHYSICAL PLANT M&O	195,175	200,432	200,432
8 SCHOLARSHIPS & FELLOWSHIPS	27,846	33,399	33,399
9			
10			
11			
12			
13 MANDATORY TRANSFERS	47,530	47,877	47,877
14 AUXILIARY TRANSFERS	38,323	53,840	53,840
15 NON-MANDATORY TRANSFERS			
16 TOTAL UNREST. E&G EXP.	\$2,002,165	\$2,169,577	\$2,193,504
17 NET LOCAL INCOME	510,395	481,963	481,963
18 PRIOR YEAR BALANCE***			
STATE FUNDS:			
19 GENERAL REVENUE	1,141,355	1,160,504	1,184,431
20 EDUCATIONAL EXCELLENCE			
21 WORKFORCE 2000	560,098	527,110	527,110
22 TOBACCO SETTLEMENT FUNDS			
23 OTHER STATE FUNDS **			
24 TOTAL SOURCES OF INCOME	\$2,211,848	\$2,169,577	\$2,193,504

FORM 10-2

\* 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.

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011**

UAM-MCGEHEE

NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	1,431,228	1,657,754	1,688,116
2 RESEARCH			
3 PUBLIC SERVICE	65,962	63,386	63,386
4 ACADEMIC SUPPORT	14,386	18,052	18,052
5 STUDENT SERVICES	135,767	141,572	141,572
6 INSTITUTIONAL SUPPORT	518,253	620,800	620,800
7 PHYSICAL PLANT M&O	226,518	241,696	241,696
8 SCHOLARSHIPS & FELLOWSHIPS	10,865	9,471	9,471
9			
10			
11			
12			
13 MANDATORY TRANSFERS	63,391	63,853	63,853
14 AUXILIARY TRANSFERS	55,445	109,690	109,690
15 NON-MANDATORY TRANSFERS	5,000		
16 TOTAL UNREST. E&G EXP.	\$2,526,815	\$2,926,274	\$2,956,636
17 NET LOCAL INCOME	632,929	626,037	626,037
18 PRIOR YEAR BALANCE***			
STATE FUNDS:			
19 GENERAL REVENUE	1,683,555	1,733,279	1,763,641
20 EDUCATIONAL EXCELLENCE			
21 WORKFORCE 2000	602,440	566,958	566,958
22 TOBACCO SETTLEMENT FUNDS			
23 OTHER STATE FUNDS **			
24 TOTAL SOURCES OF INCOME	\$2,918,924	\$2,926,274	\$2,956,636

FORM 10-2

\* 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.

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS AT MONTICELLO  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	10,590,318	10,418,897	10,418,897
2 ALL OTHER FEES	136,755	66,475	66,475
3 OFF-CAMPUS CREDIT			
4 NON-CREDIT INSTRUCTION			
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	3,992	4,000	4,000
6 INVESTMENT INCOME	(397,294)	95,000	95,000
7 OTHER CASH INCOME:*	519,829	332,250	332,250
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	10,853,600	10,916,622	10,916,622
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$10,853,600	\$10,916,622	\$10,916,622

FORM 10-3

* Detail of Line 7 Other Cash Income	Actual	Budgeted	Estimated Income
Sales and Services	130,442	71,000	71,000
Traffic Fines	51,680	40,000	40,000
Library Fines and Book Replacement	1,738	4,250	4,250
Administrative/Indirect Cost	106,967	105,000	105,000
Testing Services	14,570	10,000	10,000
University License Fee	17,224	8,000	8,000
Band Camps	87,057	75,000	75,000
Breakage and Key Replacement	20,045	15,000	15,000
Library Holdings Funds	15,000		
Insurance Proceeds	60,000		
Royalties	5,524		
Other Sources Fees and Charges	9,582	4,000	4,000
	<u>519,829</u>	<u>332,250</u>	<u>332,250</u>

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

UAM-CROSSETT  
\_\_\_\_\_  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	490,661	466,013	466,013
2 ALL OTHER FEES	5,140	5,950	5,950
3 OFF-CAMPUS CREDIT			
4 NON-CREDIT INSTRUCTION		1,000	1,000
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS			
6 INVESTMENT INCOME	10,218	8,000	8,000
7 OTHER CASH INCOME:*	4,376	1,000	1,000
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	510,395	481,963	481,963
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$510,395	\$481,963	\$481,963

FORM 10-3

\* Detail of Line 7 Other Cash Income  
M&R Sales  
Miscellaneous

	Actual	Budgeted	Estimated Income
	89		
	4,287	1,000	1,000
	<u>4,376</u>		

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

UAM-MCGEHEE  
\_\_\_\_\_  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	588,553	578,612	578,612
2 ALL OTHER FEES	8,560	9,675	9,675
3 OFF-CAMPUS CREDIT			
4 NON-CREDIT INSTRUCTION	23,753	32,750	32,750
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS			
6 INVESTMENT INCOME	8,782	4,000	4,000
7 OTHER CASH INCOME:*	3,281	1,000	1,000
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	632,929	626,037	626,037
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$632,929	\$626,037	\$626,037

FORM 10-3

\* Detail of Line 7 Other Cash Income  
M&R Sales  
Miscellaneous

	Actual	Budgeted	Estimated Income
	3,188		
	93	1,000	1,000
	<u>3,281</u>		

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CIA0000

INSTITUTION UNIVERSITY OF ARKANSAS AT MONTICELLO

APPROPRIATION 298

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	11,317,495	11,200,000	11,750,000	11,300,000	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	960,000	995,000	995,000	995,000	
5 OPERATING EXPENSES	1,604,434	2,165,316	2,081,250	2,276,170	
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY	50,000	75,000	75,000	75,000	
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11					
12					
13					
14 TOTAL APPROPRIATION	\$13,931,929	\$14,435,316	\$14,901,250	\$14,646,170	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE	12,926,891	13,024,000		13,234,854	
17 EDUCATIONAL EXCELLENCE TRUST FUND	1,055,273	1,061,316		1,061,316	
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS***		350,000		350,000	
22 TOTAL INCOME	\$13,982,164	\$14,435,316		\$14,646,170	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$50,235)	\$0		\$0	\$0

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

\*\*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 include Timber Severance Tax Funds.

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CIA0000

INSTITUTION UAM-CROSSETT

APPROPRIATION 1MG

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	1,080,000	1,140,000	1,120,000	1,140,000	
2 EXTRA HELP WAGES	100,000	100,000	100,000	100,000	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	225,000	225,000	240,000	225,000	
5 OPERATING EXPENSES	292,689	222,614	338,898	246,541	
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY					
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11					
12					
13					
14 TOTAL APPROPRIATION	\$1,697,689	\$1,687,614	\$1,798,898	\$1,711,541	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE	1,141,355	1,160,504		1,184,431	
17 EDUCATIONAL EXCELLENCE TRUST FUND					
18 SPECIAL REVENUES * [WF2000]	560,098	527,110		527,110	
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS					
22 TOTAL INCOME	\$1,701,453	\$1,687,614		\$1,711,541	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$3,764)	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CIA0000

INSTITUTION UAM-MCGEHEE

APPROPRIATION 1MF

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	1,490,000	1,570,000	1,605,000	1,570,000	
2 EXTRA HELP WAGES	100,000	110,000	100,000	110,000	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	285,000	270,000	320,000	270,000	
5 OPERATING EXPENSES	369,728	350,237	501,702	380,599	
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY					
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11					
12					
13					
14 TOTAL APPROPRIATION	\$2,244,728	\$2,300,237	\$2,526,702	\$2,330,599	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE	1,683,555	1,733,279		1,763,641	
17 EDUCATIONAL EXCELLENCE TRUST FUND					
18 SPECIAL REVENUES * [WF2000]	602,440	566,958		566,958	
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS					
22 TOTAL INCOME	\$2,285,995	\$2,300,237		\$2,330,599	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$41,267)	\$0		\$0	\$0

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

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

FORM 10-4



**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2030000

INSTITUTION UNIVERSITY OF ARKANSAS AT MONTICELLO

APPROPRIATION A69

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	2009-10	AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	3,227,191	3,500,000	10,698,960	10,698,960	
2 EXTRA HELP WAGES	1,083,371	1,000,000	2,250,000	2,250,000	
3 OVERTIME			50,000	50,000	
4 PERSONAL SERVICES MATCHING	1,072,986	1,000,000	3,080,800	3,080,800	
5 OPERATING EXPENSES	6,765,086	7,000,000	12,000,000	12,000,000	
6 CONFERENCE FEES & TRAVEL	84,412	100,000	650,000	650,000	
7 PROFESSIONAL FEES AND SERVICES	222,099	250,000	1,650,000	1,650,000	
8 DATA PROCESSING	547		50,000	50,000	
9 CAPITAL OUTLAY	1,054,774	1,000,000	6,000,000	6,000,000	
10 CAPITAL IMPROVEMENTS	2,062,069	2,500,000	7,082,620	7,082,620	
11 DEBT SERVICE			1,150,000	1,150,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENTS	8,919,313	10,000,000	10,500,000	10,500,000	
13 PROMOTIONAL ITEMS	36,346				
14					
15					
16 CONTINGENCY					
17 TOTAL APPROPRIATION	\$24,528,194	\$26,350,000	\$55,162,380	\$55,162,380	\$0
18 PRIOR YEAR FUND BALANCE***	1,019,489				
19 LOCAL CASH FUNDS	10,853,600	10,916,622		10,916,622	
20 FEDERAL CASH FUNDS	8,149,888	9,941,095		28,500,000	
21 OTHER CASH FUNDS	4,505,217	5,492,283		15,745,758	
22 TOTAL INCOME	\$24,528,194	\$26,350,000		\$55,162,380	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS REQUESTED	NON-CLASSIFIED POSITIONS RECOMMENDED	LEG REC
	2008-09	2009-10	2009-10	2010-11	2010-11	2010-11
REGULAR POSITIONS	314	335	488	315	315	
TOBACCO POSITIONS						
EXTRA HELP **	65	65	790	790	790	

\*\* 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.

FORM 10-5

\*\*\*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  
FISCAL YEAR 2011**

FUND 2030000

INSTITUTION UAM-CROSSETT

APPROPRIATION B83

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES		400,000	774,240	774,240	
2 EXTRA HELP WAGES		70,000	75,000	75,000	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	165,945	200,000	258,080	258,080	
5 OPERATING EXPENSES	448,796	461,963	725,000	725,000	
6 CONFERENCE FEES & TRAVEL	419		25,000	25,000	
7 PROFESSIONAL FEES AND SERVICES	8,076		50,000	50,000	
8 DATA PROCESSING					
9 CAPITAL OUTLAY		50,000	50,000	50,000	
10 CAPITAL IMPROVEMENTS					
11 DEBT SERVICE			50,000	50,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENTS					
13					
14					
15					
16 CONTINGENCY					
17 TOTAL APPROPRIATION	\$623,236	\$1,181,963	\$2,007,320	\$2,007,320	\$0
18 PRIOR YEAR FUND BALANCE***					
19 LOCAL CASH FUNDS	510,395	481,963		481,963	
20 FEDERAL CASH FUNDS	80,601	500,000		900,000	
21 OTHER CASH FUNDS	32,240	200,000		625,357	
22 TOTAL INCOME	\$623,236	\$1,181,963		\$2,007,320	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS	NON-CLASSIFIED POSITIONS	LEG REC
	2008-09	2009-10	2009-10	REQUESTED 2010-11	RECOMMENDED 2010-11	2010-11
REGULAR POSITIONS	34	30	52	45	45	
TOBACCO POSITIONS						
EXTRA HELP **	19	19	36	1,330	1,330	

\*\* 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.

FORM 10-5

\*\*\*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  
FISCAL YEAR 2011**

FUND 2030000

INSTITUTION UAM-MCGEHEE

APPROPRIATION B82

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES		400,000	744,240	744,240	
2 EXTRA HELP WAGES		75,000	75,000	75,000	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	184,075	200,000	196,060	196,060	
5 OPERATING EXPENSES	545,436	601,037	740,000	740,000	
6 CONFERENCE FEES & TRAVEL	8,363		25,000	25,000	
7 PROFESSIONAL FEES AND SERVICES	4,367		50,000	50,000	
8 DATA PROCESSING					
9 CAPITAL OUTLAY	26,336	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	\$768,577	\$1,326,037	\$1,880,300	\$1,880,300	\$0
18 PRIOR YEAR FUND BALANCE***					
19 LOCAL CASH FUNDS	632,929	626,037		626,037	
20 FEDERAL CASH FUNDS	96,891	500,000		900,000	
21 OTHER CASH FUNDS	38,757	200,000		354,263	
22 TOTAL INCOME	\$768,577	\$1,326,037		\$1,880,300	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS	NON-CLASSIFIED POSITIONS	LEG REC
	2008-09	2009-10	2009-10	REQUESTED 2010-11	RECOMMENDED 2010-11	2010-11
REGULAR POSITIONS	42	39	70	52	52	
TOBACCO POSITIONS						
EXTRA HELP **	10	10	36	36	36	

\*\* 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.

FORM 10-5

\*\*\*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 FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS AT MONTICELLO  
(NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *	679,949	2,454,433	126,783	(1,901,267)	657,705	2,416,120	127,706	(1,886,121)
2 RESIDENCE HALL	1,167,129	447,986	413,885	305,258	1,144,059	412,614	414,938	316,507
3 MARRIED STUDENT HOUSING	40,936	4,840		36,096	45,705	3,375		42,330
4 FACULTY HOUSING	11,645	4,689		6,956	7,500	5,965		1,535
5 FOOD SERVICES	1,194,314	998,831		195,483	1,152,115	950,912		201,203
6 COLLEGE UNION				0				0
7 BOOKSTORE	1,626,067	1,413,290		212,777	1,550,300	1,359,865		190,435
8 STUDENT ORGANIZATIONS AND PUBLICATIONS				0				0
9 STUDENT HEALTH SERVICES				0				0
10 OTHER	664,218	142,299		521,919	644,941	105,233		539,708
11 SUBTOTAL	\$5,384,258	\$5,466,368	\$540,668	(\$622,778)	\$5,202,325	\$5,254,084	\$542,644	(\$594,403)
12 ATHLETIC TRANSFER **	650,000			650,000	594,403			594,403
13 OTHER TRANSFERS ***				0				0
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$6,034,258	\$5,466,368	\$540,668	\$27,222	\$5,796,728	\$5,254,084	\$542,644	\$0

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

FORM 10-6

\*\* 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 FOR FISCAL YEAR 2011**

UAM-CROSSETT

(NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	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	162,884	185,990		(23,106)	100,000	142,427		(42,427)
8 STUDENT ORGANIZATIONS AND PUBLICATIONS				0				0
9 STUDENT HEALTH SERVICES				0				0
10 OTHER	5,475	20,692		(15,217)	7,200	18,613		(11,413)
11 SUBTOTAL	\$168,359	\$206,682	\$0	(\$38,323)	\$107,200	\$161,040	\$0	(\$53,840)
12 ATHLETIC TRANSFER **				0				0
13 OTHER TRANSFERS ***	38,323			38,323	53,840			53,840
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$206,682	\$206,682	\$0	\$0	\$161,040	\$161,040	\$0	\$0

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

FORM 10-6

\*\* 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 FOR FISCAL YEAR 2011**

UAM-MCGEHEE

(NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	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	237,254	190,219		47,035	123,000	118,706		4,294
8 STUDENT ORGANIZATIONS AND PUBLICATIONS				0				0
9 STUDENT HEALTH SERVICES				0				0
10 OTHER	42,320	154,134		(111,814)	42,200	156,184		(113,984)
11 SUBTOTAL	\$279,574	\$344,353	\$0	(\$64,779)	\$165,200	\$274,890	\$0	(\$109,690)
12 ATHLETIC TRANSFER **				0				0
13 OTHER TRANSFERS ***	55,445			55,445	109,690			109,690
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$335,019	\$344,353	\$0	(\$9,334)	\$274,890	\$274,890	\$0	\$0

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

FORM 10-6

\*\* 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 2008-09:						<u>390</u>
						(As of November 1, 2008 )
Nonclassified Administrative Employees:						
White Male:	<u>40</u>	Black Male:	<u>3</u>	Other Male:	<u>        </u>	Total Male: <u>43</u>
White Female:	<u>53</u>	Black Female:	<u>14</u>	Other Female:	<u>1</u>	Total Female: <u>68</u>
Nonclassified Health Care Employees:						
White Male:	<u>        </u>	Black Male:	<u>        </u>	Other Male:	<u>        </u>	Total Male: <u>0</u>
White Female:	<u>        </u>	Black Female:	<u>        </u>	Other Female:	<u>        </u>	Total Female: <u>0</u>
Classified Employees:						
White Male:	<u>37</u>	Black Male:	<u>8</u>	Other Male:	<u>        </u>	Total Male: <u>45</u>
White Female:	<u>62</u>	Black Female:	<u>26</u>	Other Female:	<u>        </u>	Total Female: <u>88</u>
Faculty:						
White Male:	<u>68</u>	Black Male:	<u>4</u>	Other Male:	<u>6</u>	Total Male: <u>78</u>
White Female:	<u>61</u>	Black Female:	<u>6</u>	Other Female:	<u>1</u>	Total Female: <u>68</u>
Total White Male:	<u>145</u>	Total Black Male:	<u>15</u>	Total Other Male:	<u>6</u>	Total Male: <u>166</u>
Total White Female:	<u>176</u>	Total Black Female:	<u>46</u>	Total Other Female:	<u>2</u>	Total Female: <u>224</u>
Total White:	<u>321</u>	Total Black:	<u>61</u>	Total Other:	<u>8</u>	Total Employees: <u>390</u>
				<b>Total Minority:</b>	<u>69</u>	

FORM 10-8

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas – Monticello**  
**June 30, 2008**

<p><i>Finding:</i></p>	<p><b>INFORMATION SYSTEM FINDING</b>  <b>Data Integrity Controls - POISE Payroll and Student Billing</b>  Generic user identifications (ID) have access to financial, student billing and payroll screens.</p> <p>The use of generic IDs by more than one individual prevents knowing who in fact used the IDs to access the system; therefore, user accountability cannot be established.</p>
<p><i>Recommendation:</i></p>	<p>The University establish a process to ensure generic IDs are limited and access monitored. Each user needing access to the system should be assigned a unique user ID and password that provides accountability for each user's actions.</p>
<p><i>University's Response:</i></p>	<p>The University has terminated all accounts with generic user identifications that have access to financial, student billing and payroll information. The users of these terminated accounts were issued user IDs and passwords that are unique, thus providing accountability for each individual user's actions on the network. Accounts issued to all future users of UAM's network will follow this new procedure.</p>

The Arkansas Department of Finance and Administration (DFA) is tasked with the responsibility of preparing the State's Schedule of Expenditures of Federal Awards (SEFA). In order to ensure timely and accurate reporting, as well as allow for adequate planning of the Single Audit, each State/Educational Agency is required to submit a *Federal Awards Data Collection Workbook* to DFA by a pre-determined date. Upon receipt of the workbook, DFA compiles, reviews and makes the necessary adjustments to prepare the SEFA. A review of this process revealed several late submissions. The University of Arkansas – Monticello was 12 days late in submitting the Workbook to DFA. A list of the federal programs that were reported late can be found in the Single Audit Report for the year ended June 30, 2008 beginning on page 40.



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## UNIVERSITY OF ARKANSAS AT PINE BLUFF

### 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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#### Operating Requests:

The University of Arkansas at Pine Bluff is a formula driven entity and did not make a request for general revenue.

The University is not requesting additional cash appropriation at this time.

#### Personnel Request:

The University is not requesting any other revisions to LIM other than what has already been proposed by ADHE.

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# UNIVERSITY OF ARKANSAS AT PINE BLUFF NON-FORMULA

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### Operating Requests:

The University of Arkansas at Pine Bluff as a Land Grant Institution is charged with helping alleviate societal challenges. Consequently, over five decades ago the Legislature of Arkansas effected a relationship between the then A.M. & N. College and Jenkins Center that required cooperative programs designed to assist in the maximum development of the Jenkins Center Clients who are either physically and/or mentally challenged. The University does this through the provision of instructional and advisory support.

The second non-formula allocation is required by the Congress of the United States. Specifically, the state is charged with matching the federal appropriation or returning the unmatched portion to be used by other states. The appropriations assist the institution in serving the needs of the agrarian practitioners through teaching, research and extension. Through the program the university is empowered to serve the Aquacultural industry and the limited resource farmers of the state especially in the Delta Region.

The University is not requesting additional cash appropriation at this time.

### Personnel Request:

The University of Arkansas at Pine Bluff did not request additional positions or LIM revisions other than what has already been proposed by ADHE.

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION UNIVERSITY OF ARKANSAS AT PINE BLUFF

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	27,179,226		27,201,023		28,037,506		28,518,081		28,096,211	
2 CASH	55,236,273		110,000,000		110,000,000		110,000,000		110,000,000	
3										
4										
5										
6										
7										
8										
9										
10										
11 TOTAL	\$82,415,499	681	\$137,201,023	717	\$138,037,506	928	\$138,518,081	517	\$138,096,211	517
<b>FUNDING SOURCES</b>		%		%				%		%
12 PRIOR YEAR FUND BALANCE*		0%		0%				0%		0%
13 GENERAL REVENUE	25,247,282	31%	25,358,601	18%			26,675,659	19%	26,253,789	19%
14 EDUCATIONAL EXCELLENCE TRUST FUND	1,831,931	2%	1,842,422	1%			1,842,422	1%	1,842,422	1%
15 WORKFORCE 2000		0%		0%				0%		0%
16 CASH FUNDS	18,305,875	22%	50,000,000	36%			50,000,000	36%	50,000,000	36%
17 SPECIAL REVENUES		0%		0%				0%		0%
18 FEDERAL FUNDS	36,930,398	45%	60,000,000	44%			60,000,000	43%	60,000,000	43%
19 TOBACCO SETTLEMENT FUNDS		0%		0%				0%		0%
20 OTHER FUNDS	148,620	0%		0%				0%		0%
21 TOTAL INCOME	\$82,464,106	100%	\$137,201,023	100%			\$138,518,081	100%	\$138,096,211	100%
22 EXCESS (FUNDING)/APPROPRIATION	(\$48,607)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$5,078,613
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$2,460,641
INVENTORIES	\$28,722
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	
INSURANCE DEDUCTIBLES	\$50,000
MAJOR CRITICAL SYSTEMS FAILURES	
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$4,305,958
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	
OTHER (FOOTNOTE BELOW)	
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	(\$1,766,708)

\*Line 12 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

\*Arkansas Geographical Critical Needs \$148,620

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS AT PINE BLUFF

NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	11,787,572	11,749,001	11,913,487
2 RESEARCH	181,884	168,617	170,978
3 PUBLIC SERVICE	346,134	164,248	166,547
4 ACADEMIC SUPPORT	3,834,933	3,417,227	3,465,068
5 STUDENT SERVICES	3,299,813	3,326,300	3,372,868
6 INSTITUTIONAL SUPPORT	4,469,808	5,922,412	5,888,561
7 PHYSICAL PLANT M&O	5,765,348	6,582,953	6,675,114
8 SCHOLARSHIPS & FELLOWSHIPS	4,294,779	4,449,432	4,449,432
9			0
10			0
11			
12			
13 MANDATORY TRANSFERS	1,414,157	1,552,820	1,552,820
14 AUXILIARY TRANSFERS	1,262,446	1,262,446	1,262,446
15 NON-MANDATORY TRANSFERS	1,871,789		
16 TOTAL UNREST. E&G EXP.	\$38,528,663	\$38,595,456	\$38,917,321
17 NET LOCAL INCOME	18,305,875	15,060,684	15,060,684
18 PRIOR YEAR BALANCE***			
STATE FUNDS:			
19 GENERAL REVENUE	21,589,191	21,692,350	22,014,215
20 EDUCATIONAL EXCELLENCE	1,831,931	1,842,422	1,842,422
21 WORKFORCE 2000			
22 TOBACCO SETTLEMENT FUNDS			
23 OTHER STATE FUNDS **			
24 TOTAL SOURCES OF INCOME	\$41,726,997	\$38,595,456	\$38,917,321

FORM 10-2

\* 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.

**SUMMARY OF UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND EXPENDITURES AND INCOME  
AND AHECB GENERAL REVENUE RECOMMENDATIONS  
FOR FISCAL YEAR 2011(Non-Formula Entities)**

**UNIVERSITY OF ARKANSAS AT PINE BLUFF NON-FORMULA**

NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 Research	1,911,773	1,845,844	2,132,505	2,132,505
2 Public Service	1,746,318	1,820,407	2,107,069	2,107,069
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.	\$3,658,091	\$3,666,251	\$4,239,574	\$4,239,574
17 NET LOCAL INCOME				
18 PRIOR YEAR BALANCE***				
STATE FUNDS:				
19 GENERAL REVENUE	3,658,091	3,666,251	4,239,574	4,239,574
20 EDUCATIONAL EXCELLENCE				
21 WORKFORCE 2000				
22 TOBACCO SETTLEMENT FUNDS				
23 OTHER STATE FUNDS **				
24 TOTAL SOURCES OF INCOME	\$3,658,091	\$3,666,251	\$4,239,574	\$4,239,574

FORM 10-2A

\* 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 FISCAL YEAR 2011**

**UNIVERSITY OF ARKANSAS AT PINE BLUFF**

(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	16,518,333	14,322,684	14,322,684
2 ALL OTHER FEES	33,464	139,000	139,000
3 OFF-CAMPUS CREDIT	99,328	79,000	79,000
4 NON-CREDIT INSTRUCTION	733,939		
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	115,371	145,000	145,000
6 INVESTMENT INCOME	31,202	10,000	10,000
7 OTHER CASH INCOME:	774,238	365,000	365,000
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	18,305,875	15,060,684	15,060,684
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$18,305,875	\$15,060,684	\$15,060,684

FORM 10-3

**Other Cash Income (Indirect Cost Recovery, Trademarks, M&R & Vending)**



**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CGA0000

INSTITUTION UNIVERSITY OF ARKANSAS AT PINE BLUFF

APPROPRIATION 616

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	16,713,163	16,475,097	17,311,580	17,017,293	
2 EXTRA HELP WAGES	794,764	823,864	823,864	850,977	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	4,492,844	4,657,340	4,657,340	4,810,613	
5 OPERATING EXPENSES	3,888,455	3,996,043	3,996,043	4,127,553	
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)	240,000	248,787	248,787	256,975	
8 CAPITAL OUTLAY					
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION	1,000,000	999,892	999,892	1,032,799	
11 OTHER EXPENDITURES	50,000				
12					
13					
14 TOTAL APPROPRIATION	\$27,179,226	\$27,201,023	\$28,037,506	\$28,096,211	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE	25,247,282	25,358,601		26,253,789	
17 EDUCATIONAL EXCELLENCE TRUST FUND	1,831,931	1,842,422		1,842,422	
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS	148,620				
22 TOTAL INCOME	\$27,227,833	\$27,201,023		\$28,096,211	\$0
23 EXCESS (FUNDING)/APPROPRIATION	(\$48,607)	\$0		\$0	\$0

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

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

FORM 10-4

\*Arkansas Geographical Critical Needs \$148,620

**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2020000

INSTITUTION UNIVERSITY OF ARKANSAS AT PINE BLUFF

APPROPRIATION B13

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	9,973,955	26,701,216	26,701,216	26,701,216	
2 EXTRA HELP WAGES	1,771,388	4,000,000	4,000,000	4,000,000	
3 OVERTIME		4,200,000	4,200,000	4,200,000	
4 PERSONAL SERVICES MATCHING	2,081,138	8,498,784	8,498,784	8,498,784	
5 OPERATING EXPENSES	15,442,679	13,200,000	13,200,000	13,200,000	
6 CONFERENCE FEES & TRAVEL	534,103	2,150,000	2,150,000	2,150,000	
7 PROFESSIONAL FEES AND SERVICES	2,299,803	2,150,000	2,150,000	2,150,000	
8 DATA PROCESSING		2,900,000	2,900,000	2,900,000	
9 CAPITAL OUTLAY	8,835,701	13,150,000	13,150,000	13,150,000	
10 CAPITAL IMPROVEMENTS		20,600,000	20,600,000	20,600,000	
11 DEBT SERVICE	331,984	3,350,000	3,350,000	3,350,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENT	13,965,522	9,000,000	9,000,000	9,000,000	
13 PROMOTIONAL ITEMS		100,000	100,000	100,000	
14					
15					
16					
17 TOTAL APPROPRIATION	\$55,236,273	\$110,000,000	\$110,000,000	\$110,000,000	\$0
18 PRIOR YEAR FUND BALANCE***					
19 LOCAL CASH FUNDS	18,305,875	50,000,000		50,000,000	
20 FEDERAL CASH FUNDS	36,930,398	60,000,000		60,000,000	
21 OTHER CASH FUNDS					
22 TOTAL INCOME	\$55,236,273	\$110,000,000		\$110,000,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS	NON-CLASSIFIED POSITIONS	LEG REC
	2008-09	2009-10	2009-10	REQUESTED 2010-11	RECOMMENDED 2010-11	2010-11
REGULAR POSITIONS	681	717	928	517	517	
TOBACCO POSITIONS	0	0	0	0	0	
EXTRA HELP **	363	382	924	924	924	

\*\* 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 FOR FISCAL YEAR 2011**

**UNIVERSITY OF ARKANSAS AT PINE BLUFF**  
(NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *	3,503,228	5,158,870	889,857	(2,545,499)	4,405,453	5,097,766	760,000	(1,452,313)
2 RESIDENCE HALL	4,781,038	3,135,821	617,974	1,027,243	4,019,447	2,745,672	992,789	280,986
3 MARRIED STUDENT HOUSING				0				0
4 FACULTY HOUSING				0				0
5 FOOD SERVICES	3,919,589	2,525,365		1,394,224	2,669,421	2,398,051		271,370
6 COLLEGE UNION	105	351,108		(351,003)		300,835		(300,835)
7 BOOKSTORE	178,907	-447		179,354	130,000			130,000
8 STUDENT ORGANIZATIONS AND PUBLICATIONS				0				0
9 STUDENT HEALTH SERVICES				0				0
10 OTHER	327,581	999,586		(672,005)	267,500	459,154		(191,654)
11 SUBTOTAL	\$12,710,448	\$12,170,303	\$1,507,831	(\$967,686)	\$11,491,821	\$11,001,478	\$1,752,789	(\$1,262,446)
12 ATHLETIC TRANSFER **	1,078,234			1,078,234	1,078,234			1,078,234
13 OTHER TRANSFERS ***	(115,788)			(115,788)	184,212			184,212
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$13,672,894	\$12,170,303	\$1,507,831	(\$5,240)	\$12,754,267	\$11,001,478	\$1,752,789	\$0

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

FORM 10-6

\*\* 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: TRAFFIC FINES, DECALS, TRANSIT FEES AND SPECIAL EVENTS**

**\*\*\* Other Tansfers: Transfer In \$184,212 transfer to Student Union and Transfer Out-Plant (\$-300,000); Net \$115,788)**

**EMPLOYMENT INFORMATION  
IDENTIFICATION BY EMPLOYMENT CLASSIFICATION**

**UNIVERSITY OF ARKANSAS AT PINE BLUFF**  
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2008-09:					<u>619</u>
(As of November 1, 2008 )					
Nonclassified Administrative Employees:					
White Male:	<u>3</u>	Black Male:	<u>18</u>	Other Male:	<u>0</u>
White Female:	<u>1</u>	Black Female:	<u>40</u>	Other Female:	<u>0</u>
Total		Total		Total	<u>21</u>
Total		Total		Total	<u>41</u>
Nonclassified Health Care Employee					
White Male:	<u>0</u>	Black Male:	<u>0</u>	Other Male:	<u>0</u>
White Female:	<u>0</u>	Black Female:	<u>0</u>	Other Female:	<u>0</u>
Total		Total		Total	<u>0</u>
Total		Total		Total	<u>0</u>
Classified Employees:					
White Male:	<u>8</u>	Black Male:	<u>100</u>	Other Male:	<u>1</u>
White Female:	<u>4</u>	Black Female:	<u>170</u>	Other Female:	<u>0</u>
Total		Total		Total	<u>109</u>
Total		Total		Total	<u>174</u>
Faculty:					
White Male:	<u>57</u>	Black Male:	<u>80</u>	Other Male:	<u>21</u>
White Female:	<u>29</u>	Black Female:	<u>79</u>	Other Female:	<u>8</u>
Total		Total		Total	<u>158</u>
Total		Total		Total	<u>116</u>
Total White Male:	<u>68</u>	Total Black Male:	<u>198</u>	Total Other Male:	<u>22</u>
Total White Female:	<u>34</u>	Total Black Female:	<u>289</u>	Total Other Female:	<u>8</u>
Total		Total		Total	<u>288</u>
Total		Total		Total	<u>331</u>
Total White:	<u>102</u>	Total Black:	<u>487</u>	Total Other:	<u>30</u>
				<b>Total Minority:</b>	<u>517</u>
Total		Total		Total	<u>619</u>

FORM 10-8

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas – Pine Bluff**  
**June 30, 2008**

<p><i>Finding:</i></p>	<p>The University solicited contributions from private donors to be used as matching funds for a 1987 Title III Endowment Challenge Grant. These funds were originally deposited with the University of Arkansas Foundation, Inc., but during the 1993 fiscal year the funds were transferred to the University. Federal regulations governing these grants specify these funds could be used for any educational purpose at the end of the 20 year investment period, which was completed in September 2006. In a letter dated January 3, 2007, the U.S. Department of Education notified the Chancellor that these funds had been released to the University. During the 2008 fiscal year these funds totaling \$297,429 (representing original donations plus related income earned) were returned to the University of Arkansas Foundation, Inc. We recommend the University seek an Attorney General's opinion to determine if the donations and related income earned that had been held by the University are considered public funds and whether or not these funds can be given to the foundation.</p>
<p><i>Recommendation:</i></p>	<p>The University seek an Attorney General's opinion to determine if the donations and related interest can be given to the Foundation after it has been held by the University.</p>
<p><i>University's Response:</i></p>	<p>In connection with a Title III matching program for strengthening endowment under 20 U.S.C. § 1065(a)(2)(b), UAPB solicited private donations which were made to The University of Arkansas Foundation, Inc. and for matching purposes were transferred to UAPB. The fund was invested in accordance with federal regulations as an endowment fund for a period of 20 years after which time the regulations as to the use and restriction of these funds expired. UAPB received an opinion from the General Counsel of the University of Arkansas System that those funds which were originally donated to the Foundation from private sources together with accrued interest on that amount could be returned to the Foundation and 95% of such funds were unrestricted as to use although the law requires that they be used "for any educational purpose." The remaining 5% were deposited into named endowed scholarship accounts. This was consistent with the fact that 95% of the funds originally donated were unrestricted and the remaining 5% was to the two named endowments.</p>

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas – Pine Bluff**  
**June 30, 2008**

	<p>UAPB maintains under A.C.A. 19-4-803 such funds represented “endowments...and donations made to any State agency other than for normal operation of the agency” and were exempt from the definition of “cash funds.” Since such funds were neither general revenues nor cash funds and were derived from private donations, UAPB contends there that this is no restriction on the transfer of such funds to the UAPB account in the University of Arkansas Foundation. UAPB does not dispute that cash funds are public funds, but maintains that these funds are not “cash funds.”</p>
<p><i>Finding:</i></p>	<p>The University terminated employment of its head football coach on November 19, 2007. The coach’s employment agreement with the University stipulated upon termination the coach was entitled to “. . . all remaining base salary over the remaining term of this agreement by a financially responsible third party. . . .” Subsequently, the University paid \$175,000 to “UAPB/AM&amp;N National Alumni Assn.”, a non-profit corporation, which appears to violate the “public purpose” doctrine. According to University personnel, this transfer of funds to the alumni association was to satisfy the termination provisions of the coach’s employment contract. By indirectly paying severance benefits, the University expended public funds apparently without statutory authority. In addition, the Attorney General has opined using public funds for private purposes likely violates the “public purpose” doctrine, and thus the “illegal exaction” provision of the Arkansas Constitution.</p>
<p><i>Recommendation:</i></p>	<p>The University consult its legal counsel regarding reimbursement of \$175,000 from the alumni association.</p>
<p><i>University’s Response:</i></p>	<p>Under an Employment Agreement dated as February 1, 2004, Maurice Forte was employed as Head Football Coach at UAPB for a period ending January 1, 2009. UAPB was entitled to terminate the agreement for any reason at any time by giving notice to Coach Forte. In such event Coach accepted the guaranty of all remaining base salary over the remaining term of the agreement by a financially responsible third party as complete satisfaction of any obligations of the University. The guaranteed payment was payable monthly less withholdings and was subject to the obligation of the Coach to mitigate damages by seeking other employment. Termination within the first five years of the contract was limited to base salary for the remaining term and</p>

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas – Pine Bluff**  
**June 30, 2008**

afterwards, if the contract has been extended, the amount of the guaranty was limited to base salary for the remaining term as extended or for a period of 18 months after the date of termination whichever is less. Coach Forte's salary of \$129,800 for 2007-2008 had been approved by the Board of Trustees at its meeting April 6, 2007. By letter dated August 22, 2007 to Coach Forte, Chancellor Davis advised that he was in the process of extending the contract by one year with salary, incentives and other conditions remaining as they are and stating that the commitments the Chancellor had made to Coach Forte would be honored. By letter dated November 14, 2007, Chancellor Davis notified Coach Forte that he was terminating the Employment Agreement for convenience as allowed under its terms and stated that he was treating the Agreement as if it had been amended pursuant to his letter of August 22, 2007 to end January 31, 2010. Chancellor Davis also notified Coach Forte that the guaranty of his base salary would extend for a period of 18 months after the termination date as provided in the contract.

Thereafter Coach Forte obtained legal counsel and made demands upon the University that 18 months of salary be paid in a lump sum of \$197,484. The University engaged in settlement discussions and arrived at an agreed amount of \$175,000 for which Coach Forte agreed to release any claims against UAPB arising out of his contract or termination and the University waived mitigation. Therefore, the amount paid to Coach Forte was less than that required under his contract and was a settlement of a legal dispute. Although the contract called for the salary to be guaranteed by a financially responsible third party, payment of this amount to the UAPB/AM&N National Alumni Association was not contrary to law. Payment was from an account at Simmons Bank which held private donations and a Title III matching grant and which was restricted for a period of 20 years to be used for strengthening UAPB's endowment. After 20 years the funds were unrestricted and could be used for any educational purpose. The Attorney General Opinions cited were issued prior to the Opinion in Gray v. Mitchell, (Ark. Sup. Ct. Case No. 07-858, May 29, 2008) in which the Arkansas Supreme Court held that the payment to Dr. Roy Brooks, former superintendent of the Little Rock School District, did not violate the Arkansas Constitution. The Court noted that payment to Dr. Brooks of severance pay was for a public purpose, not a private purpose, since the public purpose was to remove Dr. Brooks to allow for the hiring of a

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas – Pine Bluff**  
**June 30, 2008**

	new superintendent in the School Board's discretion, just as the purpose of Coach Forte's termination was to allow the Chancellor to hire a new head football coach and the payment was in settlement of all legal claims. The Court also held that this payment was a proper expenditure of public funds for maintenance and operation. Therefore regardless whether the particular funds in question are exempt from the definition of "cash funds" or are deemed to be public funds, their transfer to the UAPB Alumni Association to enable it to pay Coach Forte and resolve his employment contract dispute was proper. In view of this recent Arkansas Supreme Court case clearly on point, UAPB does not believe that it is necessary to seek an opinion of the Attorney General's Office.
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The Arkansas Department of Finance and Administration (DFA) is tasked with the responsibility of preparing the State's Schedule of Expenditures of Federal Awards (SEFA). In order to ensure timely and accurate reporting, as well as allow for adequate planning of the Single Audit, each State/Educational Agency is required to submit a *Federal Awards Data Collection Workbook* to DFA by a pre-determined date. Upon receipt of the workbook, DFA compiles, reviews and makes the necessary adjustments to prepare the SEFA. A review of this process revealed several late submissions. The University of Arkansas – Pine Bluff was 16 days late in submitting the Workbook to DFA. A list of the federal programs that were reported late can be found in the Single Audit Report for the year ended June 30, 2008 beginning on page 40.

**U.S. DEPARTMENT OF EDUCATION**

**FINDING NUMBER: 08-160-01**

**CFDA NUMBER: 84.038 - Federal Perkins Loan Program**

**Federal Capital Contributions (Student Financial Assistance Cluster)**

**QUESTIONED COSTS: None**

**COHORT DEFAULT RATE** - To be considered administratively capable, a University must have a cohort default rate of 25% or less. The current year cohort default rate was 56%. This rate was significant because of the small population of borrowers. The University reported that fourteen (14) of twenty-five (25) borrowers who had entered repayment during the prescribed period were in default. A similar finding has been reported in previous audits. We recommend the Agency establish procedures to lower the University's cohort default rate to an acceptable level.



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# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

ITEM	DIVISION	CATEGORY / PROGRAM	TOTAL
		<b><u>EDUCATION</u></b>	
A	COLLEGE OF MEDICINE	DEVELOP A GENETICS DIVISION WITHIN THE COLLEGE OF MEDICINE	200,000
B	COLLEGE OF MEDICINE	FAMILY MEDICINE FELLOWSHIP	127,438
C	COLLEGE OF MEDICINE	FUNDING OFFSET of RESIDENCY/FELLOWSHIP PROGRAM DIRECTORS' TIME	2,164,236
D	COLLEGE OF MEDICINE	MENTORED CAREER DEVELOPMENT TRAINING PROGRAM	269,884
E	COLLEGE OF NURSING	ACCELERATED SECOND DEGREE BSN PROGRAM	2,085,303
F	COLLEGE OF NURSING	INCREASED SUPPORT FOR ADDITIONAL BSN STUDENTS	350,000
G	COLLEGE OF HLTH RELATED PROF	GENETIC COUNSELING CONSORTIUM FOR LOCAL AND DISTANCE EDUCATION	150,000
		<b>TOTAL EDUCATION</b>	<b>5,346,861</b>
		<b><u>RESEARCH/EDUCATION</u></b>	
H	COLLEGE OF MEDICINE	INSTITUTE FOR CLINICAL AND TRANSLATIONAL SCIENCES	1,500,000
		<b>TOTAL RESEARCH/EDUCATION</b>	<b>1,500,000</b>
		<b><u>CANCER RESEARCH</u></b>	
I	W P ROCKEFELLER CANCER INST	BOOKOUT CENTER FOR TRANSLATIONAL CANCER RESEARCH	1,502,874
		<b>TOTAL CANCER RESEARCH</b>	<b>1,502,874</b>
		<b><u>REGIONAL PROGRAMS</u></b>	
J	REGIONAL PROGRAMS	NORTH CENTRAL AHEC EXPANSION	400,000
		<b>TOTAL REGIONAL PROGRAMS</b>	<b>400,000</b>
		<b><u>SERVICE</u></b>	
K	REYNOLDS INSTITUTE ON AGING	INSTITUTE ON AGING STATEWIDE EXPANSION	263,006
L	COLLEGE OF PHARMACY	INCREASED FUNDING FOR POISON & DRUG INFORMATION CENTER	350,000
		<b>TOTAL SERVICE</b>	<b>613,006</b>
		<b>TOTAL CAMPUS</b>	<b>9,362,741</b>

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### ITEM A

**Expenditure Category:** College of Medicine

**Program Enhancement:** Develop a Division of Genetics

#### **Description:**

As the science of studying the human condition and disease states has moved from the cellular level to the subcellular level, the era of molecular biology has been borne. Along with molecular biology we have witnessed the revolutionary changes in understanding genetics and DNA (the code of life). We have decoded the entire human genome and everyone is hopeful this will lead to new and major advances in healthcare. While we have yet to witness this on a grand scale, we are beginning to see some benefits of the genetics explosion as it relates to human disease. While all patients with sickle cell anemia have the same mutation in one gene, there are great differences in the severity of sickle cell disease amongst African-Americans. We are beginning to learn what regulates these differences at the genetic level, at the same time as we are moving forward with gene therapy approaches to cure sickle cell anemia. For other diseases caused by genetic defects which lead to protein or enzyme deficiencies, we now have enzyme replacement therapy. Finally, in the area of cancer therapy, we are now moving beyond chemotherapy and radiation therapy, and beginning, in some cancers, to employ new agents which specifically target the genetic mutation in cancer cells and therefore leave normal, non-mutated cells alone. One example of this is chronic myelogenous leukemia, where a simple pill, Gleevec, directly targets the genetic mutation in leukemia cells. Gleevec has revolutionized therapy for this type of leukemia. In other more complex cancers such as lung cancer, we do not yet have a one-treatment-for-all pill. But through genetics we have learned that a small subset of lung cancer patients, about 8% of all patients, have genetic abnormalities in a particular cell-signaling molecule. An oral pill, with very few side effects, works dramatically in this small proportion of lung cancer patients, but is completely ineffective in the rest of the 92% of patients with lung cancer. Using genetic testing of tumors, we can now begin to create "personalized medicine," such that we test lung cancer patients before therapy to determine if they fit in the small 8% category or in the larger category and thus dictate which therapy is best for them.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **Justification:**

Therefore, it is abundantly clear that the doctors of tomorrow, both in the near term and far into the future, will need to know and understand genetics at the scientific level and will need to be able to explain the implications of genetic changes to their patients. It is also vitally important to emphasize that “genetics” doesn’t, anymore, just mean inherited genetic defects, but now means a genetic predisposition to eventual development of a disease. It also means that environmental exposures can cause genetic mutations which in turn cause disease. As the population ages, there are and will be more and more elderly adults with lifetimes of exposures to different environments that can lead to disease. The increased investigation necessary in looking at genetically-driven diseases coupled with the growing shortage of healthcare professionals accentuates the need to increase education of healthcare workers. The establishment of a Genetics Division at UAMS will create a comprehensive program for clinical genetic activities, to include patient care, participation on interdisciplinary teams, outreach (including telehealth) education interacting at all levels (students, residents, graduate students) for all UAMS colleges, and the establishment of a graduate program.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **ITEM B**

**Expenditure Category:** College of Medicine – Department of Family and Preventive Medicine

**Program Enhancement:** Family Medicine Fellowship

**Description:**

The establishment of a family medicine fellowship will allow family medicine residents to gain additional skills in quality improvement, research, and clinical care.

Number of Trainees: One fellow per year.

Qualifications: Completion of a family medicine residency and visa status which will allow the chosen fellow to carry out the duties of the assignment

Duration of the fellowship: 2 years

Curriculum:

- Didactic training in the Master of Public Health degree at the College of Public Health here at UAMS in principles of preventive care, health behavioral change, translational research methods and organizational management.
- Research project: Making use of state of the art quality improvement approaches, plan and carry out an applied translational research project within the family medicine setting that addresses preventive care
- Mentored teaching experience: will be assigned medical student and resident teaching duties
- Learn application of Informatics strategies to improve preventive care by working with departmental and institutional clinicians who have expertise in clinical informatics.

Clinical care:

Will provide in-patient and out-patient care in the Department of Family and Preventive Medicine

**Justification:**

Family physicians are at the forefront of integrating preventive care into their medical practices. Quality improvement strategies, including practice redesign, enhancing doctor/patient communications, application of principals of health

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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education are emerging strategies to improve preventive care within the primary care setting. This fellowship addresses a gap in the education of family medicine residency graduates in areas of preventive medicine, health behavior change, and informatics related to improving preventive care. Equally as important is to teach fellows how to integrate preventive care within the clinical setting making use of informatics and organizational management change approaches. There is a need to train family medicine faculty to teach future family physicians how to integrate preventive medicine within their practice. This fellowship is intended to develop faculty in primary care who are capable of teaching others to improve preventive care within the primary care setting and also to conduct applied translational research in this area.

### **Budget Justification:**

The program budget includes 100% of the costs of the candidate's salary, fringe, tuition and books for the MPH program, and enhancement funds. The fellow will require a laptop and SPSS software for the MPH courses. The costs for conducting an annual research project are included. A travel allotment is provided to attend one national conference annually.

A fellowship program director will be appointed among the faculty to oversee this program at 20% effort. This position will be required to travel to recruiting events. Marketing materials will also be provided each year for on-going recruitment activities. An administrative assistant will provide 15% support for this program.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### ITEM C

**Expenditure Category:** College of Medicine – Graduate Medical Education

**Program Enhancement:** Funding Offset of Residency/Fellowship Program Director's Time

**Description:**

The Accreditation Council for Graduate Medical Education (ACGME) requires that program directors within Internal Medicine and its subspecialties (Obstetrics and Gynecology, Pediatrics, Psychiatry, and General Surgery) have a designated amount of time to perform their duties as program director. The requirements for each of these programs state that each program director must receive institutional support for his/her time and that he/she must not be required to generate clinical or other income to provide this support.

The programs listed above are currently the only programs whose requirements use this language. However, it is expected that over the course of the next 2-3 years, all core program directors will have a required amount of protected time that must be funded by the institution.

These funds will be distributed to the program directors and the associate program directors as the requirements mandate. This request covers only those programs that currently have a requirement in place.

**Justification:**

This institutional support is a requirement from the Accreditation Council for Graduate Medical Education. This should increase the accountability of time used for educational and administrative purposes. The institution will develop objective expectations for the time allotment.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### ITEM D

**Expenditure Category:** College of Medicine

**Program Enhancement:** Mentored Career Development Training Program

#### **Description:**

The cornerstone of the Career Development Program will be the formal development and execution of a research project under the guidance of an appropriate faculty member currently successfully engaged in clinical and translational research, who will serve as the primary mentor and teach the trainee the process of designing and conducting his/her own study. This mentor will be expected to help the trainee establish, in time, an independent research program that culminates in successful grant funding. Each of the scholars will participate in a host of educational activities offered throughout the institution, including departmentally based grand round forums that often focus on clinical, translational, and/or population-based research, such as College of Public Health Seminars, the Winthrop P. Rockefeller Cancer Institute Forum and Grand Rounds, Endocrine Grand Rounds, Pediatric Grand Rounds, and Medicine Grand Rounds, as well as many relevant translational basic science seminars.

#### Application Requirements, Number of Participants, and Applicant Pool

Career Development scholars will receive 2 years of continual support. Applicants for this award will already hold a professional degree and be currently pursuing a subspecialty fellowship or serving at a junior faculty level. Individuals at either level will pursue multidisciplinary clinical and/or translational research with training and mentoring. Eligibility will be according to NIH guidelines; therefore, a potential K12 scholar must:

- be a U.S. citizen or permanent resident (individuals on temporary or student visas are not eligible);
- possess a doctoral-level degree (MD, PhD, PharmD, DDS, etc.) and be a junior faculty member (within the first 1-3 years of appointment);
- commit 75% of professional effort to the program (surgeons and some other specialists with large clinical burdens may request a lower level of effort but in no case lower than 50%);
- not be or have been a principal investigator on an R01 or subproject of a Program Project (P01), Center (P50, P60,



# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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U54), mentored career development grant (K23, K08, K01, etc.), or other equivalent grant award.

Funding is requested to support three Career Development Scholar Awards. Applicants will submit a written overview of their career goals and the research project or area in which they wish to work, have 75% protected time to pursue research efforts and formal didactic training and be nominated by department/division chairs.

Funds are requested to support scholar salaries at a rate of \$51,000 (75% of the current rate of a PGY06 fellow). Faculty scholars will have higher salaries, and the additional funds to support their salaries to 75% above \$51K will be provided by institutional and departmental support. The Career Development Program will also provide scholars with an additional \$20,000 per year for research project expenses, along with additional expenses for tuition, travel, publication costs, etc. With fringes, total compensation from the program will be ~\$88,000 annually per scholar for two years.

### **Justification:**

The overall goal of this program is to increase the number and quality of outstanding clinical investigators and increase the chances that these investigators will build their research career at UAMS. It will also provide strong evidence for institutional support of and preliminary data for our Clinical and Translational Science Application that is currently in revision for submission to the National Institutes of Health. The skills developed will enhance the capability of the institution to acquire other grants and funds to maintain the cost of operations that are ever increasing while available resources are decreasing.

It will specifically target trained professional doctorates (MD, DrPH, PharmD, etc) and PhDs who are willing to be a part of interdisciplinary teams focused on promoting clinical and translational investigations that will have an important impact on the health of Arkansans.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### ITEM E

**Expenditure Category:** College of Nursing

**Program Enhancement:** Accelerated Second Degree BSN Program

**Description:**

The accelerated second degree BSN program allows students holding a baccalaureate degree in another field to complete the BSN in one calendar year. Typically the BSN is completed in two calendar years.

**Justification:**

The impact of the nursing shortage in Arkansas is reflective of that at the national level. Arkansas hospitals began to experience a shortage of RNs in 1996. Since then, the shortage has grown much worse, and now the need has reached a crisis level. In the near future, reversal of the shortage is unlikely since a 2001 U. S. Bureau of Labor Statistics report stated there will be an estimated 1.5 million new and replacement openings for RNs available by 2014.

For those students with a prior degree, the accelerated baccalaureate program offers the quickest route to becoming a registered nurse. The accelerated schedule is designed to retrain college graduates so they can quickly enter the nursing workforce after completing degree requirements and successfully sit for the NCLEX examination leading to RN licensure. This, in turn, will increase the number of RNs entering the workforce in Arkansas.

We would enroll 20 students per year in this program.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **ITEM F**

**Expenditure Category:** College of Nursing

**Program Enhancement:** Increased Support for Additional BSN Students

**Description:**

In 2008, the College of Nursing hired 4.8 FTE faculty members to meet the increased BSN class size. The cost of salary and fringe benefits for these additional faculty members is \$404,340.00 for the 2009-10 fiscal year. The College of Nursing is requesting \$350,000 to support the faculty salaries for the 2010-2011 fiscal year.

**Justification:**

Based on U.S. Department of Labor projected numbers and Arkansas nursing labor participation rates, Arkansas could experience a 16% to 25% shortage of RNs by the year 2011. The American Association of Colleges of Nursing (AACN) reports that the nationwide nursing shortage will continue to rise at the same time that baby boomers age and have increased health care needs. Coincidentally, nurses within the baby boomer generation will be retiring, further decreasing the number of nurses in the workforce.

To address both sides of the nursing shortage, it is essential that nursing schools graduate an increased number of students. Unfortunately, this imperative is limited by the number of qualified faculty (Master's and PhD- prepared nurses) within nursing schools. The February, 2009 AACN report states that, nationwide, 43,000 qualified applicants to BSN programs were turned away in 2008, due in part to decreased funding and a limited number of faculty.

The UAMS College of Nursing has assumed a leadership role in BSN education in Arkansas, graduating 25% of all BSN nurses in the state. Eleven other nursing schools graduate the remaining 75%. In the past three years, every attempt has been made to admit all qualified applicants to the UAMS College of Nursing's BSN program. Enrollment has increased from 246 in Fall 2006 to an anticipated 418 in Fall 2009. There has also been significant growth in the

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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College's Master of Nursing Science program as well as its PhD program (the only PhD in Nursing program in the state). Both of these graduate programs provide some of the nursing faculty critically needed within the state.

While other nursing schools face faculty shortages, UAMS has been fortunate to recruit additional faculty members to meet the increased BSN class size. However, the salary and fringe benefits costs are reflective of the market demand for these select faculty members. The College of Nursing is requesting \$350,000 to support the faculty salaries for the 2010-2011 fiscal year. This will allow UAMS to continue to graduate the maximum number of BSN nursing students, which will help meet the critical nursing needs within the state of Arkansas.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **ITEM G**

**Expenditure Category:** College of Health Related Professions, Department of Genetic Counseling

**Program Enhancement:** Genetic Counseling Consortium Local and Distance Education

**Description:**

The College of Health Related Professions requests 2010-11 funding to continue its participation in, and leadership of, a four-state master's degree consortium program in Genetic Counseling. Genetic counselors are health professionals with specialized graduate degrees and experience in the areas of medical genetics and counseling. They work as a member of the health care team, providing information and support to families who have members with birth defects or genetic disorders as well as to families and individuals who may be at risk for a variety of inherited conditions.

This graduate program in genetic counseling requires two years (five semesters) for completion, for a total of 54 graduate semester credits. The first three semesters are 'lecture' courses offered via the Internet and which may originate from any of the member institutions: University of Arkansas for Medical Sciences, Oklahoma Health Sciences Center, University of Nebraska Medical Center, Kansas University Medical Center. The last two semesters are primarily clinical and laboratory rotations offered at or near each student's home campus. UAMS is the lead institution, and all the students, except those in Oklahoma, receive their degrees from UAMS.

Two grants totaling about \$2.5 million from the U.S. Department of Education, from which UAMS, as the lead institution, received about \$976,000 (the remainder was divided among the other three institutions), enabled the development of this genetic counseling distance education consortium in our part of the country that has long been underserved in the area of genetic counseling. The federal grants funded the development and testing of the instructional design and courses in the curriculum by the four-state faculty. An advisory committee comprised of experts in genetic counseling, minority retention, distance education, and curriculum evaluation guided the project's faculty and staff. For its efforts, the program attained provisional accreditation by the American Board of Genetic Counseling (ABGC), which evaluates and accredits

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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academic programs in this discipline based upon their institutional context and commitment, curriculum and instruction, faculty, students, and evaluation methods. Full accreditation cannot be sought until the first class graduates.

When the second grant expired on 31 May 2006, the UAMS Chancellor agreed to underwrite the program for the first class of students, the period of 1 July 2006 through 30 June 2008. With the strong expectation of additional federal funding, a second class was admitted in fall of 2007. The College of Health Related Professions was notified that a new federal grant of approximately \$383,000 would be awarded to UAMS alone effective 1 July 2008. Utilizing this grant, development activities were completed and the program will continue to operate through FY2009. This biennial request is to initiate regular and continuing operational funding of this program beginning with FY 2010. Continuation of the program is dependent upon the acquisition of ongoing funding.

The four-state consortium's mission is to: 1) provide a single point of presence in distance learning in order to award a master of science degree in genetic counseling; 2) provide a high quality infrastructure by maintaining a state-of-the-art, Web-based, delivery system that is available to all members; 3) coordinate the delivery of asynchronous education and worker preparation; 4) recruit rural and minority students and retain these graduates in this region of the country; 5) insure the quality of the distance learning products and services through rigorous assessment efforts, adhering to the guidelines set forth by the American Board of Genetic Counseling; 6) provide a forum for discussion of distance learning in genetic counseling education and demonstrate new techniques for asynchronous delivery; 7) provide further faculty development opportunities. The consortium approach greatly reduces the cost to each state, while offering all the students the expertise and guidance of the full, multi-state, faculty.

### **Justification:**

The Southern and Midwestern states suffer from an acute shortage of genetic counselors. There are few, if any, master's programs for genetic counseling in these states, and it is extremely difficult to recruit and retain genetic counselors from other areas of the country. According to a national study entitled, "Genetic Personnel Manpower Shortage – Genetic Counseling Workforce", the growth in genetic testing presents two challenges: 1) that clinicians (physicians, nurses, and others) be adequately prepared and informed of the scientific advances and appropriate clinical applications; and 2) that there be a sufficient supply of genetic specialists to provide specialty services and manage referrals from other clinicians.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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With many health sciences campuses facing tightening of already limited budgets, establishing new master's programs in genetic counseling on each campus is simply not feasible. It is unrealistic as well for existing programs to take on more students due to the limited availability of clinical sites used for teaching purposes. Even if programs could accept more students, there is no guarantee these students would accept positions in rural states and the record in this regard is not favorable. At UAMS, there is a pressing need for genetic counselors in the clinical services of the College of Medicine Departments of Psychiatry, Obstetrics and Gynecology, Family Medicine, Pediatrics, and Urology, and in the Department of Internal Medicine's Division of Hematology and Oncology. There is also growing need in the Winthrop P. Rockefeller Cancer Institute. In Central Arkansas, in addition to UAMS, Arkansas Children's Hospital has a critical need for genetic counselors and expects to need more in the near future, while the Central Arkansas Veterans Healthcare System has hired its first genetic counselor (who works closely with the genetic counseling program) and will no doubt need more in time. As the impact of genetics on health care rapidly grows, genetic counselors are also being sought elsewhere in the state. This need is especially true in Northwest Arkansas now, where there is currently only one genetic counselor for the entire region.

The Genetic Counseling Distance Education program, with its consortium of educational resources from Kansas University Medical Center, University of Nebraska Medical Center, and the University of Oklahoma Health Sciences Center, will use telecommunication technologies for classroom instruction combined with on-site clinical and laboratory rotations, with an emphasis on the recruitment of minority students and students from medically underserved areas from rural states. In addition to the master's degree curriculum, faculty will be able to develop distance education courses for junior high and high school students, science teachers, physicians, other allied health professionals, patients, and the public. Discussions have begun with additional institutions that are interested in joining the consortium.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### ITEM H

**Expenditure Category:** College of Medicine

**Program Enhancement:** Institute for Clinical and Translational Sciences

**Description:**

The support of pioneering clinical research is a primary mission of UAMS. However, UAMS, like many other academic institutions, has struggled with attracting and retaining clinical investigators. In order to address this issue head on and assist the Chancellor with an important piece of the campus five-year plan, UAMS must undergo a systemic reorganization with regards to the clinical research enterprise. To do so, several critical areas must be addressed.

The Clinical and Translational Science Award is a new clinical research award from the NIH which will transform the way we conduct research in the future, and which will place UAMS in the center of a nationwide consortium of universities. This grant will lead to the creation of a new Institute, the Institute for Clinical and Translational Science (ICTS), and will create an institutional home for clinical and translational investigation. The ICTS will not reside within a clinical department, but rather exist as a separate entity directly under the Chancellor comprised of multiple stakeholders across all colleges. The main goal is to forge a uniquely transformative, integrative, and innovative academic home for clinical and translational science with the consolidated resources to: 1) nurture and advance a cadre of well-trained multi- and cross-disciplinary investigators and research teams; 2) create an incubator for innovative research tools and information technologies; and 3) synergize multi-disciplinary and cross-disciplinary clinical and translational research and researchers to catalyze the application of new knowledge and techniques to clinical practice at the front lines of patient care.

This institute will facilitate training of future clinical and translational investigators across the health sciences and forge strategic collaborations among researchers, community clinicians, clinical research networks, professional societies, industry, and policy makers to facilitate the development of innovative research and increase the responsiveness and efficiency of translational research.



# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **Justification:**

Human-based studies have experienced unprecedented growth over the past ten years, especially in the areas of cancer, endocrinology, geriatrics, nephrology and pediatrics – all areas in which UAMS excels. At UAMS, the rate of growth has outpaced many medical institutions nationally. Currently UAMS and its local affiliates are home to over 250 clinical investigators. Further attempts to recruit investigators is a struggle under the pressure of decreased revenue streams from the federal government and industry. Additionally the long standing, federally funded, General Clinical Research Center program has been dismantled.

In 1959, Congress directed the National Institutes of Health to establish clinical research centers throughout the United States, to launch an all-out attack on human diseases. It was through this Congressional mandate that the General Clinical Research Center (GCRC) program was born. The GCRC at UAMS has become one of the centerpieces in facilitating translational research on campus. For many years before the program was recently phased out, it was the largest federal grant to our University. Over the years it has facilitated hundreds of investigator-initiated and industry sponsored studies. In order to address translational research lag time, the NIH has replaced the GCRC program with the Center for Translational Science Award (CTSA). Indeed, these new awards will provide an educational, mentoring and research-based “home” for all clinical sciences.

Unfortunately, only the strongest institutions will receive these awards. To be competitive with larger institutions, UAMS must create several core areas as well as develop others.

Sadly, our state is among the top in the nation in many health-risk categories such as obesity, hypertension and diabetes. One primary goal of the ICTS is to accelerate new and innovative treatments that benefit Arkansans. Research is a critical element in allowing our state teaching hospital to provide access to appropriate care for Arkansans across our state. The formation of the ICTS also gives Arkansans the chance to participate in local economic activities. It is important to note that our closest competitor (Memphis) is currently undergoing a dramatic revitalization to attract clinical investigators to the University of Tennessee. Memphis BioWorks ([www.memphisbioworks.org](http://www.memphisbioworks.org)) will soon offer 1.2 million square feet of laboratory and clinical research space as well as an entire hospital devoted to translational and clinical research.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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Presently UAMS faculty hold approximately \$120 million dollars in research funding - \$70 million are federal research dollars. The majority of these funds provide salary support for investigators, personnel and facility support for the University.

If UAMS is to remain committed to its mission, we must begin development now. The enhancement of the clinical and translational research program will assist us in attracting necessary federal funding. Those states that are prepared to invest in research will be successful in attracting CTSA funding and ultimately attract other funded investigators.

Finally, the enhancement of the program and formation of the ICTS will develop the revenue producing potential of clinical trials, a long undeveloped source of revenue for UAMS. We expect to create an environment where industry sponsors are competing for our physicians and the environment we can provide.

Currently the CRC offers core lab processing, nursing, statistical, nutritional, informatics/IT, and safety monitoring support. These areas will need to be enhanced. Some important cores that would need to be initiated at the outset are research nurse pools, pharmacy, recruiting and regulatory affairs). Below is an outline of the personnel, equipment and infrastructure elements that must be addressed at the outset. Currently the General Clinical Research Center located in the LRVA hospital has a significant amount of shell space to temporarily house critical components. However, it will be imperative to relocate the Institute (or a significant portion) within UAMS some time in the near future. Thus capital improvement costs have been included in a separate proposal.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **ITEM I**

**Expenditure Category:** Winthrop P. Rockefeller Cancer Institute

**Program Enhancement:** Bookout Center for Translational Cancer Research

**Description:**

To expand the research shared resources that currently support translational research.

**Justification:**

Program enhancement of the Bookout Center for Translational Cancer Research will include expansion of the research shared resources that currently support translational research. These resources will be physically located in a centralized area in the new Cancer Institute facility, thus enhancing collaborations among clinicians, multi-disciplinary researchers and staff. The centralized support will also facilitate access to clinical trials for patients, increase efficiency among staff, and support consistent adherence to research safety and regulatory protocols. The Center will also enable researchers to expand their investigator-initiated trials to multi-site locations. Specific elements of the Center will include a Clinical Trials Office that will house clinical research associates and data managers, administrative support for the Protocol Review and Management Committee and Data Safety Monitoring Board, research nurses, legal and administrative support for contract negotiations and protocol development, and research monitors and auditors. A database, adhering to NCI caBig requirements and able to support multi-site patient enrollment, will also be incorporated and supported by designated Information Technology personnel. Information for patients about available clinical trials will be developed and maintained on a searchable page on the Cancer Institute website.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **ITEM J**

**Expenditure Category:** Regional Programs

**Program Enhancement:** North Central AHEC Expansion

**Description:**

Presently each of the established AHEC programs receives \$2M in state appropriations through UAMS funds. Although difficult, it is an amount that sustains the operations at the present time.

However, the new North Central AHEC serving the Batesville and Mountain Home areas received \$1M in its FY2008 base year.

In FY 2009-10, \$3.4M was approved from the new tobacco tax to allow for additional support to the AHECs. Of the \$3.4M, \$600K was allocated to the North Central AHEC to replace the prior year funding of the same amount from Act 1101 GIF funding. This request is to add the final \$400K in FY2010-11 to attain a base of \$2M for the North Central AHEC.

**Justification:**

The North Central AHEC serves a region which encompasses about 10 counties concluded in a study to have unique health-related needs that include:

- 1) The Mountain Region has the highest percentage of people in the entire state who are uninsured; 18.4% of the total population and 28.1% of all adults ages 19-64.
- 2) four (4) counties in the top 10 (1, 2, 3, 8th) in incidence of Vaccine Preventable diseases
- 3) four (4) counties in the top 25 (3, 6, 21, 22nd) for Infant Mortality
- 4) two (2) counties in the top 10 (1, 7th) in deaths from Cerebrovascular Disease.

Approval of this \$400K will give the North Central AHEC the funds necessary to provide a full range of services to the population it serves.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### ITEM K

**Expenditure Category:** Reynolds Institute on Aging, Division of Statewide Programs

**Program Enhancement:** Reducing Cardiovascular Disease in Elderly Rural Arkansans

**Description:**

The Reynolds Institute on Aging respectfully requests funding to initiate efforts to reduce and prevent cardiovascular disease (CVD) in older Arkansans. The proposed program will provide the initial funding necessary to establish a long-term, comprehensive program to reduce cardiovascular disease and related risk factors that exist in the State of Arkansas. We propose three broad program goals:

Goal 1: Stimulate long-term growth in the research enterprise

- Develop a database that will provide a testing ground for the implementation and evaluation of evidence-based CVD prevention and risk reduction interventions targeted to older Arkansans

Goal 2: Ensure long-term improvements in public health

- Develop, implement and evaluate behavioral CVD risk reduction intervention using community health workers to increase heart health knowledge, practice of heart healthy behaviors, and appropriate response to early warning signs and symptoms of heart disease among older Arkansans
- Build multi-disciplinary, interdisciplinary and multi-sectored partnerships, that by working together, can address the web of multi-level factors which affect CVD health;
- Stimulate new healthcare-business partnerships in Arkansas for healthier communities and a healthier economy;

Goal 3: Create new job opportunities in innovative health care delivery

- Develop, implement, and evaluate telemedicine-based educational intervention for community-based health care providers to increase their awareness and application of evidence-based interventions for the prevention of CVD and reduction of CVD risk factors in older Arkansans;

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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- Provide new job opportunities for community based health programs, with a focus on hiring underserved Arkansans who are aged 50 years and over, to work as community health workers and,
- Pilot innovative technology (Health Buddy System) for monitoring health status of older Arkansans at risk for CVD.

These goals are consistent with the overarching goals of Arkansas 2020 and Healthy People 2020, specifically, the elimination of preventable disease, disability and premature death and the elimination of health disparities. The proposed program goes beyond the historical focus on individual level health determinants and interventions, to include an ecological approach, which recognizes how individual health and health behaviors are determined by influences at multiple levels, including personal (biological, psychological), organizational/institutional, environmental (both social and physical), and policy levels. Moreover, the proposed program includes a focus on building a public health Information technology infrastructure to enhance health literacy and health communication between patients and their health care providers, which was included in the plans for Arkansas 2020. The core of the proposed program is the encouragement of “upstream,” or preventive interventions in its approach to CVD health.

The program will provide the basic infrastructure to enhance behavioral and social research opportunities to reduce CVD and related risk factors for older Arkansans. It will also result in novel approaches for the reduction in CVD-related health disparities for aging Arkansans.

### **Justification:**

Despite compelling evidence that has demonstrated effective strategies of risk reduction interventions targeting older individuals who are predisposed to cardiovascular disease, it remains the leading cause of mortality for all older Americans, including Arkansas, where it ranks third overall (fifth in stroke and second in heart disease mortality) among the 50 states. Cardiovascular disease also continues to be a major cause of disability and increased health care costs.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### Expenditure Detail of Enhancement

#### **PERSONNEL:**

Jeanne Wei, MD/PhD, is Professor and Chair of the Donald W. Reynolds Department of Geriatrics and Director of the Donald W. Reynolds Institute on Aging at UAMS. She has extensive experience in aging and cardiovascular research. Dr. Wei is essential for her nationally renowned, in-depth experience in treating geriatric patients and especially in the area of cardiovascular diseases, at the clinical, molecular and physiological levels. Dr. Wei will serve as an advisor at no cost to this project.

Sue Ellen Levkoff, ScD, will join UAMS in July 2009 as a Professor in the Department of Geriatrics. Dr. Levkoff has extensive experience in training “health coaches” through her CDC-funded translational research study and will be instrumental in helping to develop the training package for behavioral health promotion to reduce CVD risks. She brings vast knowledge and expertise in the RE-AIM evaluation framework which all the proposed interventions rely upon. She will be responsible for the training of the community health educators/workers and will oversee the social and educational components of the program at each regional site. Dr. Levkoff will devote 10% effort to this project.

Gohar Azhar, MD, is an Associate Professor in the Donald W. Reynolds Department of Geriatrics at UAMS. As a gerontologist and molecular physiologist, she has extensive knowledge in the study of cardiac aging. She will assist in overseeing the technological component of the Health Buddy System. She will train other healthcare providers on the use of the Health Buddy System, monitor for correct usage, and assist with data analyses. Dr. Azhar will devote 10% effort to this project.

Mark Mengel, MD, is the Vice Chancellor for Regional Programs and the Executive Director of the Arkansas Area Health Education Centers (AHEC). He will integrate and oversee the Telehealth Network at the two Delta sites (West Helena and West Memphis). Dr. Mengel will serve as an advisor at no cost to this project.

Curtis Lowery, MD, is the Executive Director, of the Center for Distance Health at UAMS. He will assist with the telemedicine component of the project through the health monitoring system used to educate program participants at each

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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regional site. Dr. Lowery will serve as an advisor at no cost to this project.

Project Director (to be announced) will oversee and run all the various aspects of the outreach program in the rural areas, and provide integration with the UAMS Department of Geriatrics and the Center for Distance Health. The director will also manage all administrative operations in regards to the project, including overseeing subject recruitment, human resources, information systems and employee scheduling. The director will devote 50% effort to the project.

Clinical Trainer (to be announced), with expertise in geriatric populations will be hired to train the clinical health educators/workers. The trainer will devote 30% effort to the project.

Community Health Educators/Workers Two community health educators/trainers will be employed. These educators/workers will be rural community residents themselves, who reflect the social and cultural values of the areas they serve and who have communication skills with older adults, knowledge of community needs, services, and health issues. They will learn how to help participants with goal setting, to provide ongoing support for participants to achieve and maintain their goals, to support their use of self-monitoring tools for achieving dietary, physical activity, stress reduction goals, and to help them develop self-reinforcements to maintain long-term lifestyle changes. These two educators/workers will devote 100% effort to this project.

### **OTHER SERVICES:**

Line Charges for Connectivity (\$27,794 per year)

Center for Distance Health Services (\$8,000 per year)

### **SUPPLIES:**

We request \$4,500 to cover educational and survey materials and \$1,500 to provide the necessary administrative office supplies for the rural health workers.



# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **TRAVEL:**

We request \$2,500 to support travel expenses related to educational meetings between key personnel and rural health employees: \$1,500 in the travel expenses will support the rural health employees attendance at four quarterly meetings at the Reynolds Institute on Aging in Little Rock and \$1,500 will be used to cover the related travel, lodging, and meal costs of an annual meeting to be held in Little Rock each year. All members of the project will be expected to attend. All travel and lodging costs will be paid at the state of Arkansas per diem rates.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### ITEM L

**Expenditure Category:** College of Pharmacy

**Program Enhancement:** Enhancement of Poison Control and Drug Information Center

**Description:**

Since 1973, the University of Arkansas for Medical Sciences (UAMS) College of Pharmacy has operated the Arkansas Poison Control and Drug Information Center as a service to the healthcare professionals and citizens of the state. On March 26, 1991, Governor Bill Clinton signed Acts 796 and 797 into law. Act 796 formally created the Arkansas Poison and Drug Information Center (APCDI). This Act also transferred the poison control and drug information system from the Arkansas Department of Health to the College of Pharmacy at the University of Arkansas for Medical Sciences and therein officially created the Arkansas Poison Control and Drug Information Center. Appropriations for services and operating expenses were provided by Act 797. These Acts created and funded the Arkansas Poison Control and Drug Information Center for the preservation of the public peace, health, and safety and shall remain in effect from and after July 1, 1991. The center began taking all calls without diversion on June 1, 1999. Prior to this date the UAMS Emergency Department provided overnight coverage. The APCDI serves the entire state of Arkansas with a population base of approximately 2.9 million people, according to the most current estimate from the U.S. Census Bureau.

- In 2008, the APCDI staff answered a total of 37,988 calls. All 75 counties in the state were reached monthly based on volume.
- Over half of the poison exposures involved a child under the age of six (55.8%).
- Over 200,000 pieces of educational materials have been distributed within the state since Jan 2005. The vast majority of these materials identify UAMS and the College of Pharmacy as the support.
- Using data from a study conducted by the Iowa Poison Control Center, the Arkansas Poison Control Center saved an estimated \$5 for every \$1 spent on the poison center. This ratio does not include calls that were taken by the Drug Information Center.

# UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### **Justification:**

In September 2005 and in accordance with Section 5, Act 796 of 1991, the Center was certified as a regionalized poison control center by the American Association of Poison Control Centers. The APCDI must maintain a certified staff in order to continue certification under the AAPCC guidelines. Retaining certified staff is a priority for the longevity of this facility and is the primary expense for this program. Salary and fringe expenses account for nearly 90% of the present budget.

The Center's appropriation is static, and the center has not had an increase in funding since 1999. To date, budget shortfalls have been offset with federal grants. However, the projected grant funding for the 07-09 period decreased by one half and may be even less through the future years due to current federal government priorities.

### **Cash Appropriation Requests:**

The University is not requesting additional cash appropriation but is requesting to reallocate \$10 million from the Capital Improvement line item to Capital Outlay.

### **Personnel Requests:**

The University is not requesting any positions or increases in Line Item Maximum (LIM).

**INSTITUTION APPROPRIATION SUMMARY  
FISCAL YEAR 2011**

INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY UAMS State Appropriation	101,706,958		107,867,451		112,928,281		116,867,264		109,442,437	
2 STATE TREASURY UAMS State Appropriation-Tobacco Tax Initiative	0		7,100,000		7,100,000		7,100,000		7,100,000	
3 STATE TREASURY Child Abuse and Neglect Programs	795,067		724,125		5,000,000		738,608		724,125	
4 STATE TREASURY Rural Advanced Practice: Community Match	325,076		350,000		450,000		450,000		450,000	
5 STATE TREASURY Rural Advanced Nursing	200,000		200,000		300,000		300,000		300,000	
6 STATE TREASURY Poison & Drug Info: Disease State Mgmt.	299,959		299,959		299,959		299,959		299,959	
STATE TREASURY Poison & Drug Information Center	0		400,000		400,000		400,000		400,000	
7 STATE TREASURY Breast Cancer Research	1,066,207		1,194,216		1,194,216		1,194,216		1,194,216	
8 STATE TREASURY Breast Cancer Research - Komen	128,042		135,000		500,000		500,000		500,000	
9 STATE TREASURY Newborn Umbilical Cord Blood Initiative	0		15,500		546,000		546,000		546,000	
10 STATE TREASURY Domestic Violence Shelter Programs	577,489		6,100,000		6,100,000		6,100,000		6,100,000	
11 STATE TREASURY Tobacco Funding: Institute on Aging	2,119,390		2,053,135		2,120,796		2,120,796		2,120,796	
12 STATE TREASURY Tobacco Funding: College of Public Health	3,018,394		3,010,064		3,021,053		3,095,946		3,095,946	
13 STATE TREASURY Tobacco Funding: Delta AHEC	1,816,531		2,053,135		2,120,796		2,120,796		2,120,796	
14 STATE TREASURY Tobacco Funding: Arkansas Biosciences	5,583,453		5,437,871		6,180,957		6,180,957		6,180,957	
15 CASH Operations	944,361,191		1,905,405,000		1,905,405,000		1,905,405,000		1,905,405,000	
CASH Pharmacy Student Loans	0		550,000		550,000		550,000		550,000	
16 TOTAL	\$1,061,997,757	7,791	\$2,042,895,456	8,532	\$2,054,217,058	12,017	\$2,053,969,542	9,077	\$2,046,530,232	9,077
<b>FUNDING SOURCES</b>		%		%				%		%
17 PRIOR YEAR FUND BALANCE*		0%		0%				0%		0%
18 GENERAL REVENUE	87,941,059	8%	98,176,985	5%			106,819,430	5%	99,501,971	5%
19 INDIGENT CARE APPROPRIATION	5,352,343	1%	5,369,190	0%			5,476,558	0%	5,369,190	0%
20 EDUCATIONAL EXCELLENCE TRUST FUND	9,043,166	1%	9,094,958	0%			9,094,958	0%	9,094,958	0%
21 EDUC EXCEL TRUST - INDIGENT CARE	225,029	0%	226,318	0%			226,318	0%	226,318	0%
22 WORKFORCE 2000		0%		0%				0%		0%
23 CASH FUNDS	865,895,991	89%	1,605,955,000	93%			1,605,955,000	93%	1,605,955,000	93%
24 SPECIAL REVENUES		0%		0%				0%		0%
25 FEDERAL FUNDS	78,465,200	0%	300,000,000	0%			300,000,000	0%	300,000,000	0%
26 TOBACCO SETTLEMENT FUNDS	12,545,070	1%	12,554,205	1%			13,518,495	1%	13,518,495	1%
27 CHILD SAFETY CENTERS	795,067	0%	724,125	0%			738,608	0%	724,125	0%
28 OTHER FUNDS	4,905,739	0%	10,794,675	1%			12,140,175	1%	12,140,175	1%
29 TOTAL INCOME	\$1,065,168,664	100%	\$2,042,895,456	100%			\$2,053,969,542	100%	\$2,046,530,232	100%
30 EXCESS (FUNDING)/APPROPRIATION	(\$3,170,907)		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	\$111,448,733
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$119,380,494
INVENTORIES	\$15,045,172
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	
INSURANCE DEDUCTIBLES	
MAJOR CRITICAL SYSTEMS FAILURES	
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$106,722,952
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	
OTHER (FOOTNOTE BELOW)	
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	(\$129,699,885)

\*Line 17 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 FISCAL YEAR 2011(Non-Formula Entities)**

UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2011 INSTITUTIONAL REQUESTS / AHECB RECOMMENDATIONS	
			2010-11	
			REQUEST	RECOMMENDATION
1 COM-College of Medicine	41,355,970	38,147,089	45,142,779	43,122,034
2 CON-College of Nursing	7,005,444	7,203,575	10,246,414	9,787,749
3 COP-College of Pharmacy	8,935,715	9,184,207	10,154,647	9,700,090
4 CHP-College of Health Related Professions	5,673,491	5,675,382	6,205,075	5,927,315
5 CPH-College of Public Health	2,376,941	2,324,730	2,476,821	2,365,950
6 GRS-Graduate School	702,628	580,640	618,627	590,935
7 INA-Institutional Administration (includes Chan. Cont., Utilities)	5,667,712	34,171,155	36,368,951	34,740,955
8 CHA-Chancellor	2,576,959	5,050,087	5,380,478	5,139,629
9 VCA-Vice Chancellor, AcademicAffairs	8,938,501	9,197,738	9,799,481	9,360,823
10 VCF-Vice Chancellor, Finance	6,642,966	6,642,949	7,077,550	6,760,735
11 VAD-Vice Chancellor, Administration	2,739,299	2,930,258	3,121,964	2,982,214
12 OPS-Campus Operations	13,515,673	14,519,172	15,469,058	14,776,610
13 VCC-Vice Chancellor, Communications	2,518,688	2,518,684	2,683,464	2,563,343
14 DAA-Vice Chancellor, Development and Alumni Affairs	1,782,811	1,782,810	1,899,447	1,814,421
15 VCI-Vice Chancellor, Institutional Compliance	267,459	285,171	303,828	290,228
16 CIS-Information Technology	19,180,931	19,767,320	21,060,555	20,117,813
17 CLP-Clinical Programs	425,370,428	464,895,753	464,895,753	464,895,753
18 REP-Regional Programs	14,491,755	16,696,907	18,211,648	17,396,432
19 ACC-Winthrop P. Rockefeller Cancer Center	6,639,138	6,740,344	8,768,278	8,375,780
20 MYE-Myeloma Institute	297,074	254,480	271,129	258,992
21 JEI-Jones Eye Institute	486,981	536,981	572,112	546,502
22 IOA-Reynolds Institute on Aging	530,179	892,429	1,228,536	1,173,543
23 SPI-Stephens Spine/Neurosciences Institute	368,927	368,927	393,063	375,468
24 VCR-Vice Chancellor, Research	1,924,574	1,956,824	2,084,845	1,991,520
25 PRI-Psychiatric Research Institute	3,611,642	7,838,857	8,351,698	7,977,847
26 Funded Depreciation (Included in INA)				
27 MANDATORY TRANSFERS (debt service in 111 & 113)	16,693,375	1,589,680	1,589,680	1,589,680
28 AUXILIARY TRANSFERS				
29 NON-MANDATORY TRANSFERS	(26,352,974)			
30 AR Children's Hospital Indigent Care (B)		1,865,169	1,900,959	1,865,169
31 TOTAL UNREST. E&G EXP.	\$573,942,287	\$663,617,318	\$686,276,840	\$676,487,530
32 NET LOCAL INCOME (A)	535,586,747	581,653,783	599,165,968	599,165,968
33 PRIOR YEAR BALANCE***				
STATE FUNDS:				
34 GENERAL REVENUE (includes Child Safety Center funding)	88,736,126	98,901,110	109,908,038	100,226,096
35 EDUCATIONAL EXCELLENCE	9,043,166	9,094,958	9,094,958	9,094,958
36 WORKFORCE 2000				
37 INDIGENT CARE (B)	5,352,343	5,369,190	5,476,558	5,369,190
38 EDUCATIONAL EXCELLENCE INDIGENT CARE	225,029	226,318	226,318	226,318
39 MEDICAID MATCH	(68,961,386)	(36,500,000)	(37,595,000)	(37,595,000)
40 OTHER STATE FUNDS ** (C)	3,960,262	4,871,959		
41 TOTAL SOURCES OF INCOME	\$573,942,287	\$663,617,318	\$686,276,840	\$676,487,530

FORM 10-2A

\* 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 33 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).

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	20,004,202	25,041,036	25,792,267
2 ALL OTHER FEES	228,600		
3 HOSPITAL AND CLINIC REVENUE	504,787,315	540,957,349	557,186,069
4 INDIRECT COST RECOVERY	14,476,174	14,608,390	15,119,684
5 OFF-CAMPUS CREDIT			
6 NON-CREDIT INSTRUCTION			
7 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS			
8 INVESTMENT INCOME	(7,104,273)	110,000	112,200
9 OTHER CASH INCOME (A):	3,194,729	937,008	955,748
10 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	535,586,747	581,653,783	599,165,968
11 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
12 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$535,586,747	\$581,653,783	\$599,165,968

FORM 10-3

(A) Includes traffic violations, vending machines, Dental Hygiene Clinic, CARTI lease and miscellaneous revenue

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CCA0000  
UAMS State Appropriation

INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

APPROPRIATION 429

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	80,009,488	85,890,579	89,124,519	87,296,143	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING (benefits)	11,855,673	12,073,529	13,900,419	12,242,951	
5 OPERATING EXPENSES					
6 CONFERENCE FEES & TRAVEL					
7 SUMMER INTERNSHIPS	20,000				
8 CAPITAL OUTLAY					
9 DATA PROCESSING SERVICES					
10 M&R EXPENSES	60,480				
11 FUNDED DEPRECIATION	1,094,543	1,130,663	1,130,663	1,130,663	
12 TEXARKANA AHEC	240,000	247,920	247,920	247,920	
13 POISON & DRUG INFO CENTER	760,000	785,080	785,080	785,080	
14 ADDITIONAL AHEC SUPPORT	2,209,267	2,282,173	2,282,173	2,282,173	
15 GRANTS/AID (Indigent Care)	5,457,507	5,457,507	5,457,507	5,457,507	
16 TOTAL APPROPRIATION	\$101,706,958	\$107,867,451	\$112,928,281	\$109,442,437	\$0
17 PRIOR YEAR FUND BALANCE**					
18 GENERAL REVENUE	87,941,059	91,076,985		92,401,971	
19 INDIGENT CARE APPROPRIATION	5,352,343	5,369,190		5,369,190	
20 EDUCATIONAL EXCELLENCE TRUST FUND	9,043,166	9,094,958		9,094,958	
21 EDUC EXCEL TRUST - INDIGENT CARE	225,029	226,318		226,318	
22 SPECIAL REVENUES * [WF2000]					
23 FEDERAL FUNDS IN STATE TREASURY					
24 TOBACCO SETTLEMENT FUNDS					
25 CHILD SAFETY CENTERS					
26 OTHER STATE TREASURY FUNDS ***	2,316,268	2,100,000		2,350,000	
27 TOTAL INCOME	\$104,877,865	\$107,867,451		\$109,442,437	\$0
28 EXCESS (FUNDING)/APPROPRIATION	(\$3,170,907)	\$0		\$0	\$0

\* Report WF2000 funds on line 21 - "Special Revenues".

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

\*\*\* Mixed Drink Revenue (CCA0200)

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CCA0000 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 59P  
UAMS State Appropriation-Tobacco Tax Initiative

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	APPROPRIATION	AHECB RECOMMENDATION	RECOMMENDATION
			2009-10	2010-11	2010-11
1 REGULAR SALARIES					
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING (benefits)					
5 OPERATING EXPENSES					
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY					
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11 TEXARKANA AHEC					
12 POISON & DRUG INFO CENTER					
13 ADDITIONAL AHEC SUPPORT		3,400,000	3,400,000	3,400,000	
14 GRANTS/AID (Indigent Care)					
15 ARKANSAS HEALTH DATA INITIATIVE		700,000	700,000	700,000	
16 NW ARKANSAS MEDICAL SCHOOL		3,000,000	3,000,000	3,000,000	
17 TOTAL APPROPRIATION	\$0	\$7,100,000	\$7,100,000	\$7,100,000	\$0
18 PRIOR YEAR FUND BALANCE**					
19 GENERAL REVENUE		7,100,000		7,100,000	
20 INDIGENT CARE APPROPRIATION					
21 EDUCATIONAL EXCELLENCE TRUST FUND					
22 EDUC EXCEL TRUST - INDIGENT CARE					
23 SPECIAL REVENUES * [WF2000]					
24 FEDERAL FUNDS IN STATE TREASURY					
25 TOBACCO SETTLEMENT FUNDS					
26 CHILD SAFETY CENTERS					
27 OTHER STATE TREASURY FUNDS					
28 TOTAL INCOME	\$0	\$7,100,000		\$7,100,000	\$0
29 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

\* Report WF2000 funds on line 21 - "Special Revenues".

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

FORM 10-4



**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CCA0100 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 38E  
Child Abuse and Neglect

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	APPROPRIATION	AHECB RECOMMENDATION	RECOMMENDATION
			2009-10	2010-11	2010-11
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 SERVICES					
10 FUNDED DEPRECIATION					
11 CHILD ABUSE AND NEGLECT PROGRAMS	795,067	724,125	5,000,000	724,125	
12					
13					
14 TOTAL APPROPRIATION	\$795,067	\$724,125	\$5,000,000	\$724,125	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE	795,067	724,125		724,125	
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	\$795,067	\$724,125		\$724,125	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND HUA1501 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 464  
Rural Advanced Practice: Community Match

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	APPROPRIATION	AHECB RECOMMENDATION	RECOMMENDATION
			2009-10	2010-11	2010-11
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 SERVICES					
10 FUNDED DEPRECIATION					
11 RURAL MEDICAL PRACTICE	200,000	200,000	300,000	300,000	
12 COMMUNITY MATCH STUDENT	125,076	150,000	150,000	150,000	
13					
14 TOTAL APPROPRIATION	\$325,076	\$350,000	\$450,000	\$450,000	\$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	325,076	350,000		450,000	
22 TOTAL INCOME	\$325,076	\$350,000		\$450,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND HUA1502 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 461  
Rural Advanced Nursing: Advanced Nursing Practice

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST / AHECB RECOMMENDATION	LEGISLATIVE RECOMMENDATION
				2010-11	2010-11
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 SERVICES					
10 FUNDED DEPRECIATION					
11 ADVANCED NURSING PRACTICE	100,000	100,000	150,000	150,000	
12 RURAL ADVANCED NURSING	100,000	100,000	150,000	150,000	
13					
14 TOTAL APPROPRIATION	\$200,000	\$200,000	\$300,000	\$300,000	\$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	200,000	200,000		300,000	
22 TOTAL INCOME	\$200,000	\$200,000		\$300,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND HUA1503 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 1UV  
Poison & Drug Info: Disease State Mgmt.

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	APPROPRIATION	AHECB RECOMMENDATION	RECOMMENDATION
			2009-10	2010-11	2010-11
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 SERVICES					
10 FUNDED DEPRECIATION					
11 POISON AND DRUG INFORMATION (A)	139,959	139,959	139,959	139,959	
12 DISEASE STATE MANAGEMENT	160,000	160,000	160,000	160,000	
13					
14 TOTAL APPROPRIATION	\$299,959	\$299,959	\$299,959	\$299,959	\$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	
22 TOTAL INCOME	\$299,959	\$299,959		\$299,959	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND HUA1503 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 1UV  
Poison & Drug Information Center

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
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 SERVICES					
10 FUNDED DEPRECIATION					
11 POISON AND DRUG INFORMATION (A)		400,000	400,000	400,000	
12 DISEASE STATE MANAGEMENT					
13					
14 TOTAL APPROPRIATION	\$0	\$400,000	\$400,000	\$400,000	\$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		400,000		400,000	
22 TOTAL INCOME	\$0	\$400,000		\$400,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

(A) Per Act 1334 of 2009 Section 16 appropriates an additional \$400,000 to the Poison and Drug Information Center.

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND MBR0100  
Breast Cancer Research

INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES

APPROPRIATION 231

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	APPROPRIATION	AHECB RECOMMENDATION	RECOMMENDATION
			2009-10	2010-11	2010-11
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 SERVICES					
10 FUNDED DEPRECIATION					
11 BREAST CANCER RESEARCH	1,066,207	1,194,216	1,194,216	1,194,216	
12					
13					
14 TOTAL APPROPRIATION	\$1,066,207	\$1,194,216	\$1,194,216	\$1,194,216	\$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 ***	1,066,207	1,194,216		1,194,216	
22 TOTAL INCOME	\$1,066,207	\$1,194,216		\$1,194,216	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

\*\*\* Breast Cancer Research Fund

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND MBR0200 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 231  
Breast Cancer Research - Komen

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	APPROPRIATION	AHECB RECOMMENDATION	RECOMMENDATION
			2009-10	2010-11	2010-11
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 SERVICES					
10 FUNDED DEPRECIATION					
11 BREAST CANCER RESEARCH - KOMEN	128,042	135,000	500,000	500,000	
12					
13					
14 TOTAL APPROPRIATION	\$128,042	\$135,000	\$500,000	\$500,000	\$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 ***	128,042	135,000		500,000	
22 TOTAL INCOME	\$128,042	\$135,000		\$500,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

\*\*\* Breast Cancer Research Fund

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND SML0000 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 1PQ  
Domestic Violence Shelter Programs

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
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 SERVICES					
10 FUNDED DEPRECIATION					
11 DOMESTIC VIOLENCE SHELTER PROGRAM	577,489	6,100,000	6,100,000	6,100,000	
12					
13					
14 TOTAL APPROPRIATION	\$577,489	\$6,100,000	\$6,100,000	\$6,100,000	\$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 ***	577,489	6,100,000		6,100,000	
22 TOTAL INCOME	\$577,489	\$6,100,000		\$6,100,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

\*\*\* Domestic Peace Fund



**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND TSE0201 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 322  
Tobacco Funding: Institute on Aging

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	2009-10	AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	1,132,920	1,098,735	1,132,959	1,132,959	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	276,700	266,900	276,765	276,765	
5 OPERATING EXPENSES	603,700	585,000	603,713	603,713	
6 CONFERENCE FEES & TRAVEL	51,570	50,000	52,128	52,128	
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY	54,500	52,500	55,231	55,231	
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11					
12					
13					
14 TOTAL APPROPRIATION	\$2,119,390	\$2,053,135	\$2,120,796	\$2,120,796	\$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	2,120,796	2,053,135		2,120,796	
21 OTHER STATE TREASURY FUNDS	(1,406)				
22 TOTAL INCOME	\$2,119,390	\$2,053,135		\$2,120,796	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

\*\*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 is a Worker's Compensation transfer out

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND TSE0202 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 347  
Tobacco Funding: College of Public Health

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	APPROPRIATION	AHECB RECOMMENDATION	RECOMMENDATION
			2009-10	2010-11	2010-11
1 REGULAR SALARIES (A)	2,413,633	2,404,857	2,097,197	2,481,276	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING (A)	507,112	505,089	567,112	544,670	
5 OPERATING EXPENSES	95,649	95,118	278,308	50,000	
6 CONFERENCE FEES & TRAVEL	2,000	5,000	38,048	20,000	
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY			40,388	0	
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11					
12					
13					
14 TOTAL APPROPRIATION	\$3,018,394	\$3,010,064	\$3,021,053	\$3,095,946	\$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 (A)	3,021,053	3,010,064		3,095,946	
21 OTHER STATE TREASURY FUNDS	(2,659)				
22 TOTAL INCOME	\$3,018,394	\$3,010,064		\$3,095,946	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

Other State Treasury is a Worker's Compensation transfer out

(A) For 2009-10 the projected funding exceeds the appropriation. An increase is requested in the appropriation for 2010-11.

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND TSE0203 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 368  
Tobacco Funding: Delta AHEC

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	2009-10	AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	1,102,300	1,100,879	1,132,959	1,132,959	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	267,900	267,934	276,765	276,765	
5 OPERATING EXPENSES	444,331	584,322	603,713	603,713	
6 CONFERENCE FEES & TRAVEL	2,000	50,000	52,128	52,128	
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY		50,000	55,231	55,231	
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11					
12					
13					
14 TOTAL APPROPRIATION	\$1,816,531	\$2,053,135	\$2,120,796	\$2,120,796	\$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	1,818,265	2,053,135		2,120,796	
21 OTHER STATE TREASURY FUNDS	(1,734)				
22 TOTAL INCOME	\$1,816,531	\$2,053,135		\$2,120,796	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

\*\*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 is a Worker's Compensation transfer out

FORM 10-4

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND TSF0300 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES APPROPRIATION 365  
Tobacco Funding: Arkansas Biosciences

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	2009-10	AHECB RECOMMENDATION	RECOMMENDATION
				2010-11	2010-11
1 REGULAR SALARIES	1,051,900	1,288,845	1,407,267	1,407,267	
2 EXTRA HELP WAGES					
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	255,900	296,908	337,875	337,875	
5 OPERATING EXPENSES	991,249	916,825	1,042,499	1,042,499	
6 CONFERENCE FEES & TRAVEL	4,100	5,000	23,960	23,960	
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)			37,940	37,940	
8 CAPITAL OUTLAY	1,675,000	1,261,586	1,434,680	1,434,680	
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION					
11 ARKANSAS CHILDRENS HOSPITAL***	1,605,304	1,668,707	1,896,736	1,896,736	
12					
13					
14 TOTAL APPROPRIATION	\$5,583,453	\$5,437,871	\$6,180,957	\$6,180,957	\$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	5,584,956	5,437,871		6,180,957	
21 OTHER STATE TREASURY FUNDS	(1,503)				
22 TOTAL INCOME	\$5,583,453	\$5,437,871		\$6,180,957	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

\*\*\*Transfer of funds to Arkansas Children's Hospital

Other State Treasury is a Worker's Compensation transfer out

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND MNU0000 INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCE APPROPRIATION 58U  
Newborn Umbilical Cord Blood Initiative

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	APPROPRIATION	AHECB RECOMMENDATION	RECOMMENDATION
			2009-10	2010-11	2010-11
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 SERVICES					
10 FUNDED DEPRECIATION					
11 NEWBORN UMBILICAL CORD BLOOD INITIATIVE	0	15,500	546,000	546,000	
12					
13					
14 TOTAL APPROPRIATION	\$0	\$15,500	\$546,000	\$546,000	\$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	0	15,500		546,000	
22 TOTAL INCOME	\$0	\$15,500		\$546,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

\*\*\* Act 777 of 2009 established this appropriation

FORM 10-4

**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2040000

INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCE

APPROPRIATION

A85

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	472,003,849	805,200,000	805,200,000	805,200,000	
2 EXTRA HELP WAGES	895,168	25,000,000	25,000,000	25,000,000	
3 OVERTIME	9,112,955	20,000,000	20,000,000	20,000,000	
4 PERSONAL SERVICES MATCHING	109,722,687	201,262,000	201,262,000	201,262,000	
5 OPERATING EXPENSES	274,174,044	513,643,000	513,643,000	513,643,000	
6 CONFERENCE FEES & TRAVEL	3,347,102	20,000,000	20,000,000	20,000,000	
7 PROFESSIONAL FEES AND SERVICES	13,227,175	45,000,000	45,000,000	45,000,000	
8 PROMOTIONAL ITEMS					
9 CAPITAL OUTLAY (A)	61,572,729	85,000,000	85,000,000	95,000,000	
10 CAPITAL IMPROVEMENTS (A)		110,000,000	110,000,000	100,000,000	
11 DEBT SERVICE	5,482	30,000,000	30,000,000	30,000,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENTS		40,000,000	40,000,000	40,000,000	
13					
14 CHILDREN'S JUSTICE ACT	250,000	250,000	250,000	250,000	
15 WAR MEMORIAL PARKING FEES	50,000	50,000	50,000	50,000	
16 GRANTS/AID		10,000,000	10,000,000	10,000,000	
17					
18					
19 TOTAL APPROPRIATION	\$944,361,191	\$1,905,405,000	\$1,905,405,000	\$1,905,405,000	\$0
20 PRIOR YEAR FUND BALANCE***					
21 LOCAL CASH FUNDS	865,895,991	1,605,405,000		1,605,405,000	
22 FEDERAL CASH FUNDS	78,465,200	300,000,000		300,000,000	
23 OTHER CASH FUNDS					
24 TOTAL INCOME	\$944,361,191	\$1,905,405,000		\$1,905,405,000	\$0
25 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS	NON-CLASSIFIED POSITIONS	LEG REC
	2008-09	2009-10	2009-10	REQUESTED 2010-11	RECOMMENDED 2010-11	2010-11
REGULAR POSITIONS	7,683	8,450	11,904	8,982	8,982	
TOBACCO POSITIONS	108	82	113	95	95	
EXTRA HELP **	1,749	1,429	2,416	2,416	2,416	

FORM 10-5

\*\* 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 20 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

(A) To more appropriately align appropriation with spending needs

**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 2040000  
Pharmacy Student Loans

INSTITUTION UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCE

APPROPRIATION A85

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 PHARMACY STUDENT LOANS	0	550,000	550,000	550,000	
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19 TOTAL APPROPRIATION	\$0	\$550,000	\$550,000	\$550,000	\$0
20 PRIOR YEAR FUND BALANCE***					
21 LOCAL CASH FUNDS	0	550,000		550,000	
22 FEDERAL CASH FUNDS					
23 OTHER CASH FUNDS					
24 TOTAL INCOME	\$0	\$550,000		\$550,000	\$0
25 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED 2009-10	REQUESTED (C) 2010-11	LEGISLATIVE RECOMMENDATION 2010-11
REGULAR POSITIONS					
TOBACCO POSITIONS					
EXTRA HELP **					
Totals	0	0	0	0	0

FORM 10-5

\*\* 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 20 Prior Year Fund Balance includes only the portion of the fund balance needed to balance that fiscal year's budget.

Section 15 of Act 1334 of 2009 established this cash appropriation

**AUXILIARY ENTERPRISE CASH INCOME AND EXPENDITURES FOR FISCAL YEAR 2011**

UNIVERSITY OF ARKANSAS FOR MEDICAL SCIENCES  
 (NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *				0				0
2 RESIDENCE HALL	1,079,654	484,767	594,887	0	1,151,481	418,591	732,890	0
3 MARRIED STUDENT HOUSING				0				0
4 FACULTY HOUSING				0				0
5 FOOD SERVICES				0	3,265,488	3,265,488		0
6 COLLEGE UNION				0				0
7 BOOKSTORE	951,400	976,358		(24,958)	1,270,528	1,270,528		0
8 STUDENT ORGANIZATIONS AND PUBLICATIONS	123,470	71,653		51,817	26,850	26,850		0
9 STUDENT HEALTH SERVICES (A)	26,520	15,812		10,708	389,934	389,934		0
10 OTHER (B)	420,111,725	375,377,305	1,917,718	42,816,702	450,299,614	448,709,934	1,589,680	0
11 SUBTOTAL	\$422,292,769	\$376,925,895	\$2,512,605	\$42,854,269	\$456,403,895	\$454,081,325	\$2,322,570	\$0
12 ATHLETIC TRANSFER **				0				0
13 OTHER TRANSFERS ***				0				0
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	\$422,292,769	\$376,925,895	\$2,512,605	\$42,854,269	\$456,403,895	\$454,081,325	\$2,322,570	\$0

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

FORM 10-6

\*\* 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 FOR MEDICAL SCIENCES  
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2008-09:					<u>9542</u>
As of September 30, 2009					
Nonclassified Administrative Employees:					
White Male:	<u>450</u>	Black Male:	<u>51</u>	Other Male:	<u>17</u>
White Female:	<u>1055</u>	Black Female:	<u>257</u>	Other Female:	<u>44</u>
Total		Total		Total	<u>518</u>
Total		Total		Total	<u>1356</u>
Nonclassified Health Care Employees:					
White Male:	<u>442</u>	Black Male:	<u>151</u>	Other Male:	<u>44</u>
White Female:	<u>2211</u>	Black Female:	<u>927</u>	Other Female:	<u>136</u>
Total		Total		Total	<u>637</u>
Total		Total		Total	<u>3274</u>
Classified Employees:					
White Male:	<u>227</u>	Black Male:	<u>167</u>	Other Male:	<u>18</u>
White Female:	<u>710</u>	Black Female:	<u>584</u>	Other Female:	<u>60</u>
Total		Total		Total	<u>412</u>
Total		Total		Total	<u>1354</u>
Faculty:					
White Male:	<u>741</u>	Black Male:	<u>20</u>	Other Male:	<u>194</u>
White Female:	<u>807</u>	Black Female:	<u>73</u>	Other Female:	<u>156</u>
Total		Total		Total	<u>955</u>
Total		Total		Total	<u>1036</u>
Total White Male:	<u>1860</u>	Total Black Male:	<u>389</u>	Total Other Male:	<u>273</u>
Total White Female:	<u>4783</u>	Total Black Female:	<u>1841</u>	Total Other Female:	<u>396</u>
Total		Total		Total	<u>2522</u>
Total		Total		Total	<u>7020</u>
Total White:	<u>6643</u>	Total Black:	<u>2230</u>	Total Other:	<u>669</u>
				<b>Total Minority:</b>	<u>2899</u>
Total		Total		Total	<u>9542</u>

FORM 10-8

**FINDINGS COVERING PROGRAMS AUDITED BY OTHER EXTERNAL AUDITORS**  
**FINDINGS COVERING MORE THAN ONE FEDERAL AGENCY**

**FINDING NUMBER:** 08-150-01  
**STATE/EDUCATIONAL AGENCY:** University of Arkansas for Medical Sciences  
**CFDA NUMBER:** 84.007- Federal Supplemental Educational Opportunity Grants  
84.032- Federal Family Education Loans  
84.033- Federal Work-Study Program  
84.038- Federal Perkins Loan Program\_Federal Capital Contributions  
84.063- Federal Pell Grant Program  
93.342- Health Professions Student Loans, Including Primary Care  
Loans/Loans for Disadvantaged Students  
93.364- Nursing Student Loans  
93.925- Scholarships for Health Professions Students from  
Disadvantaged Backgrounds (Student Financial Assistance Cluster)

**QUESTIONED COSTS:** None

**ELIGIBILITY, SPECIAL TESTS AND PROVISIONS - VERIFICATION, DISBURSEMENTS TO OR ON BEHALF OF STUDENTS, RETURN OF TITLE IV FUNDS, STUDENT STATUS CHANGES** - During our testing, we noted Financial Aid Officers determine eligibility, process awards, complete verification, calculate return of funds, disburse funds and perform other procedures without review and oversight from management. Because of this, errors and noncompliance with program regulations have been noted during the audit process.

We recommend the Student Financial Aid Director implement procedures for review and oversight of the awarding process by management.

**FINDINGS COVERING PROGRAMS AUDITED BY OTHER EXTERNAL AUDITORS**  
**FINDINGS COVERING MORE THAN ONE FEDERAL AGENCY**

<b>FINDING NUMBER:</b>	<b>08-150-02</b>
<b>STATE/EDUCATIONAL AGENCY:</b>	<b>University of Arkansas for Medical Sciences</b>
<b>CFDA NUMBER:</b>	<b>84.032- Federal Family Education Loans</b> <b>84.038-Federal Perkins Loan Program_Federal Capital Contributions</b> <b>84.063- Federal Pell Grant Program</b> <b>93.342- Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students</b> <b>93.364- Nursing Student Loans (Student Financial Assistance Cluster)</b>
<b>QUESTIONED COSTS:</b>	<b>None</b>

**SPECIAL TESTS AND PROVISIONS - DISBURSEMENT TO OR ON BEHALF OF STUDENTS** - During our test of forty (40) students, we noted the following exceptions:

We noted seven (7) students representing 12 different loans totaling \$84,502 in which the students' accounts were credited with the loan funds more than ten (10) days prior to the first day of class. Six (6) students' loans were processed by the College of Medicine Student Financial Aid Office and one (1) was processed by the Student Financial Aid Office for non-College of Medicine students.

We noted six (6) students (of the seven noted above) for which the loan funds were requested more than thirteen (13) days prior to being disbursed to the students' accounts. Five (5) for the six (6) students were processed by the College of Medicine Student Financial Aid office and one (1) was processed by the Student Financial Aid office for non-College of Medicine students.

We noted two (2) students representing 4 different loans totaling \$12,726 in which the loans funds were received more than three (3) days before the funds were posted to the students' accounts. The funds were processed by the Student Financial Aid office for non-College of Medicine students.

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

We recommend the current Student Financial Aid staff attend training on the current compliance regulations. We also recommend that both Student Financial Aid offices develop written policies on processes to ensure compliance with regulations, proper oversight and review.

**FINDINGS COVERING PROGRAMS AUDITED BY OTHER EXTERNAL AUDITORS**  
**FINDINGS COVERING MORE THAN ONE FEDERAL AGENCY**

**FINDING NUMBER:** 08-150-03  
**STATE/EDUCATIONAL AGENCY:** University of Arkansas for Medical Sciences  
**CFDA NUMBER:** 84.007- Federal Supplemental Educational Opportunity Grants  
84.032- Federal Family Education Loans  
84.033- Federal Work-Study Program  
84.038-Federal Perkins Loan Program\_Federal Capital Contributions  
84.063- Federal Pell Grant Program  
93.342- Health Professions Student Loans, Including Primary Care  
Loans/Loans for Disadvantaged Students  
93.364- Nursing Student Loans (Student Financial Assistance Cluster)  
**QUESTIONED COSTS:** \$66.92

**SPECIAL TESTS AND PROVISIONS - RETURN OF TITLE IV FUNDS** - During our testwork, we noted 23 exceptions out of 42 sampled items as follows:

Nineteen (19) students did not enroll in the period the loan was made and the funds were not returned to the lenders within 10 business days as required per 34 CFR 668.167(b).

Four (4) students withdrew during the semester and the funds were not returned to the lenders within 45 days as required per 34 CFR 668.22).

We recommend the current Student Financial Aid staff attend training on the current compliance regulations. We recommend Management ensure college registrars are trained on the compliance regulations and understand the time period funds must be returned to the lenders. We also recommend the Student Financial Aid Office develop written policies on processes to ensure compliance with regulations, proper oversight and review.

**FINDINGS COVERING PROGRAMS AUDITED BY OTHER EXTERNAL AUDITORS**  
**U.S. DEPARTMENT OF EDUCATION**

<b>FINDING NUMBER:</b>	<b>08-150-04</b>
<b>STATE/EDUCATIONAL AGENCY:</b>	<b>University of Arkansas for Medical Sciences</b>
<b>CFDA NUMBER:</b>	<b>84.032 – Federal Family Education Loans (Student Financial Assistance Cluster)</b>
<b>QUESTIONED COSTS:</b>	<b>None</b>

**SPECIAL TESTS AND PROVISIONS - STUDENT STATUS CHANGES** - During our test of thirty (30) students, four (4) exceptions were noted. In all four cases, the student had a change of status that was not reported within the required time period. Three (3) of the four (4) were related to the College of Medicine students and one was a non-College of Medicine student. We also noted that SFA staff does not add students to the report who are not already listed on the NSLDS report. We noted that in one case, a student had graduated, but was still listed on the NSLDS report as withdrawn from UAMS.

We recommend the Student Financial Aid staff implement procedures to review and verify that student status changes are correctly updated and reported on a periodic basis. The verification should be documented.

**FINDINGS COVERING PROGRAMS AUDITED BY OTHER EXTERNAL AUDITORS**  
**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**FINDING NUMBER:** 08-150-05  
**STATE/EDUCATIONAL AGENCY:** University of Arkansas for Medical Sciences  
**CFDA NUMBER:** 93.600 – Head Start  
**QUESTIONED COSTS:** \$14,390

**EQUIPMENT AND REAL PROPERTY MANAGEMENT** - During our testwork, we noted two exceptions out of two sample items (100% of population) as follows:

One (1) out of the two (2) equipment purchases was paid for and recorded as an expense on the grant in October 2007; however, the asset has never been received. The amount paid for the asset was \$14,390.

One (1) out of the two (2) equipment purchases had an acquisition date of December 14, 2007; however, the asset was not set up in the fixed asset sub ledger until August 22, 2008, which was the next fiscal year.

It was also noted that a laptop noted on the physical inventory exception report as being stolen, was not removed from the fixed asset system within SAP.

We recommend Management perform a detailed reconciliation of asset additions on a monthly basis to ensure corrections are identified and made in a timely manner. Assets not received can be followed up timely and expenses on the grant adjusted prior to closeout. Assets not capitalized when acquired will be identified and recorded in the proper period during this process.

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Section III – Federal Award Findings and Questioned Costs**

**Finding #** : **08-01 – Equipment and Real Property Management**  
**Type of Finding** : **Noncompliance and Material Weakness**  
**CFDA Title** : **Head Start**  
**CFDA Number** : **93.600**  
**Federal Award Number** : **06CH7001/09**  
**Federal Award Year** : **July 1, 2007 to June 30, 2008**  
**Federal Agency** : **U.S. Department of Health and Human Services**

**Criteria or Specific Requirement**

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 Found**

During our testwork, we noted two exceptions out of two sample items (100% of population) as follows: One out of the two equipment purchases was paid for and recorded as an expense on the grant in October 2007; however, the asset has never been received. The amount paid for the asset was \$14,390.



**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

One out of the two equipment purchases had an acquisition date of December 14, 2007; however, the asset was not set up in the fixed asset subledger until August 22, 2008, which was the next fiscal year.

It was also noted that a laptop noted on the physical inventory exception report as being stolen, was not removed from the fixed asset system within SAP.

**Questioned Cost (including how computed)**

The cost of the asset that was never received, \$14,390, should not have been included as an expense on the grant.

**Possible Asserted 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.

**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.

**Recommendations**

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 received can be followed up timely and expenses on the grant adjusted prior to closeout. Assets not capitalized when acquired will be identified and recorded in the proper period during this process.

**Views of Responsible Officials**

The expenditure has been transferred from the grant period in question and will be recorded in the proper grant period when the van is actually received. Future transactions of this nature will be monitored very closely and followed up more stringently, and better care will be taken to ensure that the transaction is recorded in the proper grant period. Vehicle purchases for state institutions such as UAMS must be made through the Arkansas Department of Finance and Administration (DFA). DFA's procedures for vehicle purchases include:

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

- receipt of a check from the applicable state institution (UAMS) before ordering the vehicle
- the UAMS check is then deposited into a holding account
- DFA then issues its own purchase order to the vendor
- DFA places the vehicle order with the vendor, and finally
- DFA issues its own check to the vendor upon receipt of the vehicle.

Within this established set of DFA procedures, an expenditure must be made by the end user before receipt (and ordering) of the vehicle. Only in rare circumstances does the DFA system fail and the vehicle does not arrive in an acceptable timeframe. The status of this order was determined on numerous occasions during the course of this anticipated transaction, but the net result is that the DFA system did not produce a van for UAMS Head Start prior to the grant close-out. Many follow up calls via telephone were made to determine the status of the Purchase Order and each time the program was assured that the van would be arriving. The vendor failed to honor the Purchase Order and they did not notify the agency in a timely manner, adding to the dilemma of the delay.

A quarterly reconciliation process will be established to review all entries related to grants in the moveable equipment general ledger accounts to ensure that assets are received and capitalized in a timely manner. Additionally staff from Grants Accounting and Fixed Asset Accounting will meet quarterly to analyze and discuss the reconciliation.

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Finding #** : **08-02 – Matching**  
**Type of Finding** : **Control Deficiency**  
**CFDA Title** : **Head Start**  
**CFDA Number** : **93.600**  
**Federal Award Number** : **06CH7001/09 & 06CH7001/10**  
**Federal Award Year** : **November 1, 2006 to October 31, 2007 and November 1, 2007 to October 31, 2008**  
**Federal Agency** : **U.S. Department of Health and Human Services**

**Criteria or Specific Requirement**

Per 45 CFR Sections 1301.20, and 1301.21, grantees are required to contribute at least 20% of the cost of the program through cash or in-kind contributions. The A-102 common Rule and OMB Circular A-110 (2 CFR part 215) require nonfederal entities receiving Federal awards establish and maintain internal controls designed to reasonably ensure compliance with Federal laws, regulations, and program compliance requirements.

**Condition Found**

During our testwork, we noted that the process for tracking in-kind contributions for donated time is a manual process. Forms are submitted to the Program Office and then are added up manually by calculator. The accumulation of the total donated time is not reviewed by someone other than the preparer. KPMG noted errors in the accumulation of the forms in the amount of \$10,596. This resulted in the in-kind contributions being understated. We also noted that the schedule summarizing in-kind donations did not agree to the Final Financial Status Report for the period ended October 31, 2007. The schedule did not include the amount of contribution from Oral Health Initiative of \$47,322. However, this item was included twice on the FSR. We also noted that the spreadsheet used to summarize all the in-kind contributions contained errors and was not reviewed by someone other than the preparer. KPMG noted \$39,222 in differences related to the donated space amounts. The amounts for some sites were incorrectly listed or were noted as being zero for some months in the spreadsheet. This resulted in the in-kind contributions being understated.

**Questioned Cost (including how computed)**

None.

**Possible Asserted 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

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

program when there is reason to believe through periodic monitoring or review that the University is not in compliance with the requirements established.

**Cause**

The accumulation of the in-kind contributions is not reviewed by someone other than the preparer and errors in the information are not detected.

**Recommendations**

We recommend that an automated process be implemented to track and accumulate the donated time information. We also recommend that all the in-kind information be reviewed by someone other than the preparer in order to detect and correct errors prior to reporting the information.

**Views of Responsible Officials**

We acknowledge that the in-kind contributions reported on the final SF-269 were understated. However, even with the understatement, the amount reported still exceeded the Federal requirement for in-kind matching. To alleviate this situation in the future, we are investigating the possibility of recording donated time information in our data management system, ChildPlus, and establishing appropriate internal controls for that activity. Immediately we will implement a system in which the supervisor (or their designee) of the preparer will review the work of the preparer relating to collecting and reporting in-kind information, and corrections will be made as applicable.

In addition, the Grant Accountant from the Grants Accounting Office will review the in-kind contributions at least semi-annually

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Finding #** : **08-03 – Activities Allowed/Allowable Costs – Indirect Costs**  
**Type of Finding** : **Control deficiency and Noncompliance**  
**CFDA Title** : **Head Start**  
**CFDA Number** : **93.600**  
**Federal Award Number** : **06CH7001/09 & 06CH7001/10**  
**Federal Award Year** : **November 1, 2006 to October 31, 2007 and November 1, 2007 to October 31, 2008**  
**Federal Agency** : **U.S. Department of Health and Human Services**

**Criteria or Specific Requirement**

Per 45 CFR Section 1301.32, “the costs of developing and administering a Head Start program shall not exceed 15% of the annual total program costs, including the required nonfederal contribution to such costs.” Also, “indirect costs attributable to common or joint use of facilities or services must be fairly allocated among the various programs which utilize such services.”

**Condition Found**

During our testwork, we noted that 100% of the costs for the space for the Program Office are charged as direct costs to Head Start. Per the Head Start Fiscal Officer, approximately 25% of these costs are for administrative offices. The costs for administrative offices should not be a direct cost to Head Start. The costs include rent and utilities.

**Questioned Cost (including how computed)**

\$42,875.32. Costs include rent for the Program Office totaling \$36,000 (12 months X \$12,000/month X 25%) and utilities totaling \$6,875.32 (\$27,501.26 annual costs X 25%).

**Possible Asserted 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.

**Cause**

Costs for rent and utilities were set up in SAP to charge 100% to the Head Start grant instead of allocating the amount between the grant and the administrative cost center.

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Recommendations**

We recommend that the facilities costs for the Head Start Program Office be allocated between the Head Start grant and the Head Start administrative cost center. The final FSR for grant #G1-11865 should be revised to reflect this allocation. We also recommend that the costs for the current grant #G1-11914 be adjusted to reflect this allocation.

**Views of Responsible Officials**

The allocation for the facilities costs for the Head Start Program Office has been corrected; the FSR for G1-11865 (grant year ended 10/31/07) has been revised; and the allocation for G1-11914 (grant year ended 10/31/08) has been corrected. Also note that the coding for these costs within SAP has been adjusted to reflect the proper allocation for future transactions.

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Finding #** : **08-04 Special Tests and Provisions – Return of Title IV Funds**  
**Type of Finding** : **Material Noncompliance and Material Weakness**  
**CFDA Title** : **Student Financial Assistance Programs**  
**CFDA Number** : **84.007; 84.032; 84.033; 84.038; 84.063; 93.342; 93.364**  
**Federal Award Number** : **N/A**  
**Federal Award Year** : **July 1, 2007 through June 30, 2008**  
**Federal Agency** : **U.S. Department of Education**  
**U.S. Department of Health and Human Services**

**Criteria or Specific Requirement**

**Timing of Return of Title IV Funds**

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 Found**

During our testwork, we noted 23 exceptions out of 42 sample items as follows: Nineteen students did not enroll in the period the loan was made and the funds were not returned to the lenders within 10 business days. For four students who withdrew during a semester, funds were not returned within 45 days to the lenders. The total amount returned for the 23 students was \$67,801. During the year, 157 students with 203 loans totaling \$788,508 were returned.

**Questioned Cost (including how computed)**

Known questioned cost is calculated as \$66.92. 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

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

was returned. We then annualized the amount over 365 days.

**Possible Asserted 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.

**Cause**

The Student Financial Aid Office does not have processes in place to ensure compliance with program regulations and is not currently ensuring funds are returned within in the proper time period.

**Recommendations**

We recommend the current Student Financial Aid staff attend training on the current compliance regulations. We recommend management ensure college registrars are trained on the compliance regulations and understand the time period funds must be returned to the lenders. We also recommend the Student Financial Aid Office develop written policies on processes to ensure compliance with regulations, proper oversight, and review.

**Views of Responsible Officials**

The University will take immediate steps to comply with the requirement to return funds timely and ensure all staff including Student Financial Aid staff and Registrars are fully aware of the requirements. On going training will be provided to staff. Procedures will be developed to monitor return of funds beginning with the spring 2009 semester to enable staff to return funds in the required timeframe. All policies are currently being examined to determine where changes can best be made to facilitate compliance. The University intends to enhance its automated processes to assist with this requirement including the acquisition of an administrative software system. The Division of Academic Affairs has noticed through this audit that organizational changes are necessary to strengthen the Student Financial Services Department. The Division of Academic Affairs has already joined with Finance and created a new department that combines Student Financial Service and Student Financial Aid. The department has hired one director who reports both to Academic Affairs and Finance. The director will focus on strengthening controls and processes. The two closely aligned processes of determining financial aid and distributing financial aid will function as one and be strengthened by one very organized director. This will enable successful completion of all the other areas of improvement.



**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Finding #** : **08-05 Special Tests and Provisions – Disbursement To or On Behalf of Students**  
**Type of Finding** : **Noncompliance and Significant Deficiency**  
**CFDA Title** : **Student Financial Assistance Programs**  
**CFDA Number** : **84.032; 84.038; 84.063; 93.342; 93.364**  
**Federal Award Number** : **N/A**  
**Federal Award Year** : **July 1, 2007 through June 30, 2008**  
**Federal Agency** : **U.S. Department of Education**  
**U.S. Department of Health and Human Services**

**Criteria or Specific Requirement**

The earliest an 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 Found**

During our testwork, we noted 7 students, 12 different loans totaling \$84,502, with exceptions of the 40 students tested, in which the students' accounts were credited with the loan funds more than 10 days prior to the first day of class. Of the seven students with exceptions, six were processed by the College of Medicine Student Financial Aid office and one was processed by the Student Financial Aid Office for non-College of Medicine students. We noted 6 students, of the seven

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

identified above, in which the loan funds were requested more than 13 days prior to being disbursed to the students' accounts. Five of the six students with exceptions were processed by the College of Medicine Student Financial Aid office and one was processed by the Students Financial Aid office for non-College of Medicine students. During our testwork, we noted 2 students, 4 different loans totaling \$12,726, with exceptions of the 40 students tested, in which loan funds were received more than 3 days before the funds were posted to the students' accounts. The funds were processed by the Student Financial Aid office for non-College of Medicine students.

**Questioned Cost (including how computed)**

None

**Possible Asserted 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.

**Cause**

The Student Financial Aid Office does not have processes in place to ensure compliance with program regulations. We noted that with the College of Medicine students, the Director was using the date of registration to calculate 10 days prior instead of the date of the first day of classes.

**Recommendations**

We recommend the current Student Financial Aid staff attend training on the current compliance regulations. We also recommend that both Student Financial Aid offices develop written policies on processes to ensure compliance with regulations, proper oversight, and review.

**Views of Responsible Officials**

The College of Medicine Student Financial Aid Office has already changed the date disbursements are requested based on the first day of classes instead of the day of registration which will correct the majority of the problems identified in this finding. University officials will develop a training program to ensure all staff is provided needed information to perform required tasks and remain compliant. Policies and procedures will be developed and reviewed to reinforce regulations.

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Finding #** : **08-06 Special Tests and Provisions – Student Status Changes**  
**Type of Finding** : **Noncompliance and Significant Deficiency**  
**CFDA Title** : **Student Financial Assistance Programs**  
**CFDA Number** : **84.032**  
**Federal Award Number** : **N/A**  
**Federal Award Year** : **July 1, 2007 through June 30, 2008**  
**Federal Agency** : **U.S. Department of Education**

**Criteria or Specific Requirement**

Under the FFEL and Direct Loan programs, schools must complete and return within 30 days of receipt the Student Status Confirmation Reports (SSCR) sent by ED or a guaranty agency (OMB No. 1845-0035). The SSCR is transmitted electronically. The institution determines how often it receives the SSCR, but the minimum is twice a year. Once received, the institution must update for changes in student status, report the date the enrollment status was effective, enter the new anticipated completion date, and submit the changes electronically through the batch method or the NSLDS web site. Unless the school expects to complete its next SSCR within 60 days, the school must notify the lender or the guaranty agency within 30 days, if it discovers that a student who received a loan either did not enroll or ceased to be enrolled on at least a half-time basis (FFEL, 34 CFR Section 682.610; Direct Loan, 34 CFR Section 685.309).

**Condition Found**

During our testwork, we noted 4 exceptions of the 30 students tested. In all cases, the student had a change of status that was not reported within the required time period. 3 of the 4 exceptions noted were related to College of Medicine students and 1 was non-College of Medicine students. We also found that SFA staff does not add students to the report who are not already listed on the NSLDS report. We found in one case that a student had graduated but was still listed on the NSLDS report as withdrawn from UAMS.

**Questioned Cost (including how computed)**

None.

**Possible Asserted 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.

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Cause**

The Student Financial Aid offices do not have processes in place to ensure compliance with program regulations. The current process is completely computerized within OASIS. The file is imported into OASIS and processes are run to identify and update for status changes. A correct submittal file is built and transmitted. We noted that there is no routine review of the data submitted back to NSLDS. We also noted that the College of Medicine Student Financial Aid Director does not add students who are not on the file received from NSLDS; therefore, not reporting on all students as required.

**Recommendations**

We recommend the Student Financial Aid staff implement procedures to review and verify that student status changes are correctly updated and reported on a periodic basis. The verification should be documented.

**Views of Responsible Officials**

According to the Non College of Medicine NSLDS Enrollment Reporting Summary Report, all submissions were processed within the required timeframe. The College of Medicine staff failed to submit their data within the required timeframe. However, the guarantor/lender was notified regarding two of the four exceptions cited within the required 30 day timeframe. Policies and procedures will be established to conform to compliance regulations. Another exception cited was the result of a student not listed on the NSLDS disbursement file. NSLDS has not been able to determine why a student that UAMS certified did not appear on their disbursement file. Submissions are now carefully being monitored to detect any future NSLDS discrepancies. Additional training will be provided to ensure staff is aware of the importance of timely reporting to NSLDS. Policies and procedures will be updated to guarantee compliance in the future. Staff will work with the Director of Academic Computing to detect any future discrepancies in submissions. Furthermore, the University plans to enhance the automated process used to complete the SSCR to facilitate accurate and timely reports.

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Finding #** : **08-07 Matching**  
**Type of Finding** : **Control Deficiency**  
**CFDA Title** : **Student Financial Assistance Programs**  
**CFDA Number** : **84.007; 84.033**  
**Federal Award Number** : **N/A**  
**Federal Award Year** : **July 1, 2007 through June 30, 2008**  
**Federal Agency** : **U.S. Department of Education**

**Criteria or Specific Requirement**

The Federal share of awards may not exceed 75% of the total FSEOG awards made by the school. The school must certify at the end of the year on the FISAP the Federal and non-Federal share of FSEOG awarded to students (34 CFR Section 674.8). The Federal share of Federal Work-Study (FWS) compensation paid a student employed other than by a private for-profit organization may not exceed 75% of the total FWS awards made by the school. The school must certify at the end of the year on the FISAP the Federal and nonfederal share of FWS paid to students (34 CFR Section 675.26).

**Condition Found**

During our testwork, we noted that the matching portion of FSEOG and FWS is not tracked by the Student Financial Aid office. For the administrative cost allowance calculation, the SFA Director assumes the match requirements have been met and, using the total amount of the 75% Federal share, writes up the total for the additional 25%.

**Questioned Cost (including how computed)**

None.

**Possible Asserted 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.

**Cause**

An adequate monitoring of the reporting system for the matching portion of FSEOG and FWS has not been implemented.

**Recommendations**

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

We recommend Grants Accounting work with the Director of Student Financial Aid to establish a process in which the matching portion of FSEOG and FWS is monitored to ensure compliance. We also recommend the Student Financial Aid Office develop written policies on processes to ensure compliance with regulations, proper oversight, and review.

**Views of Responsible Officials**

The University met the match requirements as cited in 34 CFR Section 676.21 and 34.CFR.675.26 and does not agree the match was not tracked. UAMS always far exceeds the match requirements and maintains records in the student's file. Specifically, the University meets the matching requirement for the FSEOG through institutional grants and scholarships, tuition or fee waivers, state scholarships and foundation or other charitable organizational funds. This is permitted per 34 CFR Section 672.21. The University can provide a list of match recipients that show funds were awarded to ensure the match was satisfied. There is a system, which is monitored, to meet the match for the Federal Work Study (FWS) program as well. Each pay period the department account employing the student employee is charged 25% of the wages. Records detailing the matching requirements are maintained by the financial aid office and were in each student's file. These records are available for review. Effective July 2008, a match account was setup in SAP to accurately track the FWS match per participant. The University will develop written policies to document this process so as to prevent future misunderstandings.

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Finding #** : **08-08 Reporting**  
**Type of Finding** : **Control deficiency and noncompliance**  
**CFDA Title** : **Student Financial Assistance Programs**  
**CFDA Number** : **84.007; 84.033; 84.038**  
**Federal Award Number** : **N/A**  
**Federal Award Year** : **July 1, 2007 through June 30, 2008**  
**Federal Agency** : **U.S. Department of Education**

**Criteria or Specific Requirement**

Fiscal Operations Report and Application to Participate (FISAP) – This electronic report is submitted annually to receive funds for the campus-based programs. The school uses the Fiscal Operations Report portion to report its expenditures in the previous award year and the Application to Participate portion to apply for the following year (34 CFR Section 673.3). Information provided on the FISAP must be accurate and verifiable.

**Condition Found**

During our review of the FISAP data, we found the following exceptions:

- Part II, Section D, Line 7 – The total number of students, 2007-2008, is understated by 146 students when compared to the OASIS headcount report.
- Part II, Section F, Lines 25-40 – The data reported for dependent and independent students does not include College of Medicine students and is based on data pulled from the POISE system, which includes data for periods other than July 1, 2007 through June 30, 2008.
- Part VI, Section A, Line 16 – The total amount of Perkins Loan Recipients should be 54 instead of 56.
- Part VI, Section A, Lines 1-14 – We were unable to obtain supporting documents from the Director of SFA to verify the breakdown of taxable and untaxed income by student type.
- The completed FISAP was not reviewed by someone other than the preparer before it was submitted to the Chancellor for signature.

**Questioned Cost (including how computed)**

None.

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Possible Asserted 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.

**Cause**

The financial aid process is currently performed in five separate systems. Information from each of these systems must be combined to accurately report data on the FISAP. The person responsible for completing the FISAP must have a clear understanding of where the data comes from and what it represents. The SFA office currently does not have written procedures to ensure reports are completed accurately.

**Recommendations**

We recommend a member of management review the FISAP data for accuracy once it has been completed by the Student Financial Aid Director. Any corrections should be made before the Chancellor signs off on the report and it is submitted to the Federal Government. We also recommend the Director of SFA make the necessary changes on the current FISAP and submit the corrected data within the allowable time period. We recommend management develop written procedures manuals for processes performed by the SFA office.

**Views of Responsible Officials**

Federal law requires that the FISAP be completed with all edits and corrections by December 15th. We filed it preliminarily as required to have it in by October 1st. Our intent was and we did re-file it by the December deadline. All adjustments made were reviewed for accuracy prior to final submission. We believe this practice is in conformance with federal law. All supporting documents have been retained and are now available to support entries on the FISAP. Records were retained to support the original submission; however, many in an electronic format and not readily available to auditors. Policies have been put in place to require staff, in the future, to maintain the documentation in a format which allows timely access to auditors or others who have a need to review the supporting information. The University will review and update all policies to ensure that accurate data is submitted and appropriate records are maintained in the future. We understand that the auditors expect the first submission in October to be completely accurate and that UAMS should not rely on the December submission to make corrections. Beginning in calendar 2009, we will change our philosophy and policy to meet the auditor expectations.



**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Finding #** : **08-09 Eligibility, Special Tests and Provisions – Verification, Disbursements To or On Behalf of Students, Return of Title IV Funds, Student Status Changes.**

**Type of Finding** : **Significant Deficiency**

**CFDA Title** : **Student Financial Assistance Programs**

**CFDA Number** : **84.007; 84.032; 84.033; 84.038; 84.063; 93.342; 93.364; 93.925**

**Federal Award Number** : **N/A**

**Federal Award Year** : **July 1, 2007 through June 30, 2008**

**Federal Agency** : **U.S. Department of Education**  
**U.S. Department of Health and Human Services**

**Criteria or Specific Requirement**

The A-102 Common Rule and OMB Circular A-110 (2 CFR part 215) require that nonfederal activities receiving Federal awards establish and maintain internal control designed to reasonably ensure compliance with Federal laws, regulations, and program compliance.

Written policy should exist that establishes responsibility and provides procedures for periodic monitoring, verification, and reporting of program progress and accomplishments. Policies and procedures related to the preparation of financial, performance and special reports are formally documented in a procedures manual or handbook. Supervisory review and authorization of reports performed to ensure accuracy and completeness of data and information included in the reports. Management should perform a routine periodic evaluation of internal control policies and procedures related to financial, performance and special reporting to assess whether changes in policies and procedures are required. Management should perform periodic comparison of reports to supporting records is carried out by a supervisor or management. Management review of awarding determination is required prior to award payments.

**Condition Found**

During our testwork, we note that Financial Aid Officers determine eligibility, process awards, complete verification, calculate return of funds, disburse funds and perform other procedures without review and oversight from management. Because of this, errors and noncompliance with program regulations have been noted during the audit process.

**Questioned Cost (including how computed)**

None.

**KPMG FEDERAL AUDIT**  
**AUDIT OF University of Arkansas – Medical Sciences**  
**June 30, 2008**

**Possible Asserted 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.

**Cause**

The Director of Student Financial Aid for the non-COM awards is unable to perform oversight duties required of a supervisor due to the numerous tasks required to get students awarded each semester. The Director of Student Financial Aid for COM is the only employee in the office and performs all of the duties of the awarding process.

**Recommendations**

We recommend the Student Financial Aid Directors implement procedures that will allow review and oversight of the awarding process by management.

**Views of Responsible Officials**

The University has restructured the Student Financial Aid Office to provide additional staff and oversight as well as naming a new Director of Student Financial Aid for the University Student Financial Aid Office (not College of Medicine). All policies and procedures will be evaluated to ensure they are accurate and provide the needed structure and guidance to staff. Controls will be established to ensure federal regulations are followed according to federal guidelines. Time frames will be identified and reviewed by management to secure the proper award/disbursements of financial aid. Emphasis will be placed on oversight to affirm programs are administered according to all required regulations. All staff, including the Directors, will be evaluated periodically to ensure they are performing satisfactorily. The University of Arkansas System Office will provide additional support, training and oversight.

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# UNIVERSITY OF CENTRAL ARKANSAS

## 2011 INSTITUTIONAL BUDGET REQUEST NARRATIVE

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### Operating Requests:

University of Central Arkansas is a formula driven entity and did not make a request for general revenue.

The University of Central Arkansas is requesting \$28,330,538 additional cash appropriation at this time. 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  
FISCAL YEAR 2011**

INSTITUTION UNIVERSITY OF CENTRAL ARKANSAS

APPROPRIATION	HISTORICAL DATA						INSTITUTION REQUEST & AHECB RECOMMENDATION			
	2008-09		2009-10		2009-10		2010-11			
	ACTUAL	POS	BUDGETED	POS	AUTHORIZED	POS	INST REQUEST	POS	AHECB REC	POS
1 STATE TREASURY	55,679,964		56,921,956		62,844,443		79,702,722		57,739,114	
2 CASH	78,692,366		210,584,462		210,584,462		238,915,000		238,915,000	
3										
4										
5										
6										
7										
8										
9										
10										
11 TOTAL	\$134,372,330	1,729	\$267,506,418	1,754	\$273,428,905	2,262	\$318,617,722	1,481	\$296,654,114	1,481
<b>FUNDING SOURCES</b>		%		%				%		%
12 PRIOR YEAR FUND BALANCE*		0%		0%				0%		0%
13 GENERAL REVENUE	51,116,512	38%	52,344,205	20%			75,124,971	24%	53,161,363	18%
14 EDUCATIONAL EXCELLENCE TRUST FUND	4,551,682	3%	4,577,751	2%			4,577,751	1%	4,577,751	2%
15 WORKFORCE 2000		0%		0%				0%		0%
16 CASH FUNDS	78,692,366	59%	210,584,462	79%			238,915,000	75%	238,915,000	81%
17 SPECIAL REVENUES		0%		0%				0%		0%
18 FEDERAL FUNDS		0%		0%				0%		0%
19 TOBACCO SETTLEMENT FUNDS		0%		0%				0%		0%
20 OTHER FUNDS	11,770	0%		0%				0%		0%
21 TOTAL INCOME	\$134,372,330	100%	\$267,506,418	100%			\$318,617,722	100%	\$296,654,114	100%
22 EXCESS (FUNDING)/APPROPRIATION	\$0		\$0				\$0		\$0	

UNRESTRICTED EDUCATIONAL & GENERAL FUND BALANCE AS OF JUNE 30, 2009:	(\$4,663,412)
LESS RESERVES FOR:	
ACCOUNTS RECEIVABLE	\$3,855,787
INVENTORIES	\$358,505
YEAR-END ENCUMBRANCES NOT YET RECORDED AS LIABILITIES	\$0
INSURANCE DEDUCTIBLES	\$40,000
MAJOR CRITICAL SYSTEMS FAILURES	\$0
60 DAYS OF SALARIES & BENEFITS (CASH FLOW PURPOSES)	\$11,385,814
RESERVE FOR SPECIFIC ITEM (SOFTWARE, EQUIPMENT, ETC.)	\$0
OTHER (FOOTNOTE BELOW)	\$0
UNRESERVED EDUCATIONAL & GENERAL FUND BALANCE	(\$20,303,518)

\*Line 12 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 FISCAL YEAR 2011**

UNIVERSITY OF CENTRAL ARKANSAS  
NAME OF INSTITUTION

EXPENDITURE CATEGORIES	2008-09 ACTUAL	2009-10 BUDGETED *	2010-11 AHECB RECOMMENDATION
1 INSTRUCTION	57,439,005	59,076,793	64,000,000
2 RESEARCH	812,249	717,058	2,000,000
3 PUBLIC SERVICE	1,043,439	1,293,404	1,600,000
4 ACADEMIC SUPPORT	9,086,565	9,436,744	10,000,000
5 STUDENT SERVICES	5,178,509	5,139,352	6,500,000
6 INSTITUTIONAL SUPPORT	10,886,475	11,280,703	11,500,000
7 PHYSICAL PLANT M&O	11,208,224	13,036,960	14,000,000
8 SCHOLARSHIPS & FELLOWSHIPS	23,739,129	19,411,857	18,159,018
9 PRIOR YEAR ADJUSTMENT	4,142,305		
10			
11			
12			
13 MANDATORY TRANSFERS	3,433,795	3,451,480	3,451,480
14 AUXILIARY TRANSFERS	1,376,926	1,377,246	1,377,246
15 NON-MANDATORY TRANSFERS	10,218,893	1,000,000	
16 TOTAL UNREST. E&G EXP.	\$138,565,514	\$125,221,597	\$132,587,744
17 NET LOCAL INCOME	75,286,957	68,299,641	74,848,630
18 PRIOR YEAR BALANCE***	1,892,498		
STATE FUNDS:			
19 GENERAL REVENUE	51,116,512	52,344,205	53,161,363
20 EDUCATIONAL EXCELLENCE	4,551,682	4,577,751	4,577,751
21 WORKFORCE 2000			
22 TOBACCO SETTLEMENT FUNDS			
23 OTHER STATE FUNDS **	11,770		
24 TOTAL SOURCES OF INCOME	\$132,859,419	\$125,221,597	\$132,587,744

FORM 10-2

\* 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

Tuition Adjustment \$2,438

M&R Proceeds \$16,345

Workers Comp Transfer Out (\$7,013)

\*\*Legislative Audit required that UCA remove the old "due to's" in unexpended plant projects, this created a loss for the fiscal year.

**ESTIMATED UNRESTRICTED EDUCATIONAL AND GENERAL CURRENT FUND  
CASH INCOME FOR FISCAL YEAR 2011**

UNIVERSITY OF CENTRAL ARKANSAS  
\_\_\_\_\_  
(NAME OF INSTITUTION)

SOURCE	ACTUAL 2008-09	BUDGETED 2009-10	ESTIMATED INCOME
			2010-11
1 TUITION AND MANDATORY FEES	63,166,199	58,619,449	63,378,032
2 ALL OTHER FEES	1,948,826	2,111,475	2,174,819
3 OFF-CAMPUS CREDIT	5,123,173	4,725,699	6,367,470
4 NON-CREDIT INSTRUCTION	1,275,875	1,182,296	1,217,765
5 ORGANIZED ACTIVITIES RELATED TO EDUCATIONAL DEPARTMENTS	307,943	187,328	192,948
6 INVESTMENT INCOME	40,261	100,000	103,000
7 OTHER CASH INCOME:	3,424,680	1,373,394	1,414,596
8 TOTAL UNRESTRICTED CURRENT FUND CASH INCOME	75,286,957	68,299,641	74,848,630
9 LESS: TWO-YEAR COLLEGE ACTIVITY FEES			
10 NET UNRESTRICTED CURRENT FUND CASH INCOME AVAILABLE FOR UNRESTRICTED EDUCATIONAL AND GENERAL OPERATIONS	\$75,286,957	\$68,299,641	\$74,848,630

FORM 10-3

**APPROPRIATION ACT FORM - STATE TREASURY  
FISCAL YEAR 2011**

FUND CUA0000

INSTITUTION UNIVERSITY OF CENTRAL ARKANSAS

APPROPRIATION 310

DESCRIPTION	ACTUAL 2008-09	BUDGETED 2009-10	AUTHORIZED APPROPRIATION 2009-10	INSTITUTIONAL REQUEST /	LEGISLATIVE
				AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	36,105,908	37,000,000	40,000,000	38,300,000	
2 EXTRA HELP WAGES	2,000,000	2,000,000	3,000,000	2,000,000	
3 OVERTIME					
4 PERSONAL SERVICES MATCHING	8,093,312	8,344,443	8,344,443	8,400,000	
5 OPERATING EXPENSES	8,464,874	8,377,714	10,000,000	8,239,114	
6 CONFERENCE FEES & TRAVEL					
7 PROFESSIONAL FEES AND SERVICES (EXCEPT DATA PROCESSING)					
8 CAPITAL OUTLAY	799,726	1,000,000	1,000,000	500,000	
9 DATA PROCESSING SERVICES					
10 FUNDED DEPRECIATION	199,799	199,799	500,000	300,000	
11 M&R EXPENSES	16,345				
12					
13					
14 TOTAL APPROPRIATION	\$55,679,964	\$56,921,956	\$62,844,443	\$57,739,114	\$0
15 PRIOR YEAR FUND BALANCE**					
16 GENERAL REVENUE	51,116,512	52,344,205		53,161,363	
17 EDUCATIONAL EXCELLENCE TRUST FUND	4,551,682	4,577,751		4,577,751	
18 SPECIAL REVENUES * [WF2000]					
19 FEDERAL FUNDS IN STATE TREASURY					
20 TOBACCO SETTLEMENT FUNDS					
21 OTHER STATE TREASURY FUNDS	11,770				
22 TOTAL INCOME	\$55,679,964	\$56,921,956		\$57,739,114	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

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

FORM 10-4

Line 2' Tuition Adjustment Funds	2,438
M&R Income	16,345
Workers Comp Exp	(7,013)
	<u>11,770</u>



**APPROPRIATION ACT FORM - CASH FUNDS  
FISCAL YEAR 2011**

FUND 207000

INSTITUTION UNIVERSITY OF CENTRAL ARKANSAS

APPROPRIATION A75

DESCRIPTION	ACTUAL	BUDGETED	AUTHORIZED	INSTITUTIONAL REQUEST /	LEGISLATIVE
	2008-09	2009-10	2009-10	AHECB RECOMMENDATION 2010-11	RECOMMENDATION 2010-11
1 REGULAR SALARIES	25,682,399	32,819,200	32,819,200	80,000,000	
2 EXTRA HELP WAGES	1,685,256	7,080,000	7,080,000	7,080,000	
3 OVERTIME	162,837	500,000	500,000	500,000	
4 PERSONAL SERVICES MATCHING	8,565,404	8,909,400	8,909,400	26,000,000	
5 OPERATING EXPENSES	30,536,760	40,000,000	40,000,000	42,000,000	
6 CONFERENCE FEES & TRAVEL	586,532	1,500,000	1,500,000	3,100,000	
7 PROFESSIONAL FEES AND SERVICES	2,176,522	2,770,000	2,770,000	5,000,000	
8 DATA PROCESSING					
9 CAPITAL OUTLAY	1,977,701	19,225,862	19,225,862	7,250,000	
10 CAPITAL IMPROVEMENTS		77,100,000	77,100,000	43,000,000	
11 DEBT SERVICE	7,232,583	11,250,000	11,250,000	10,000,000	
12 FUND TRANSFERS, REFUNDS AND INVESTMENTS		8,100,000	8,100,000	8,500,000	
13 PROMOTIONAL ITEMS	86,372	1,330,000	1,330,000	60,000	
14					
15				6,425,000	
16 CONTINGENCY					
17 TOTAL APPROPRIATION	\$78,692,366	\$210,584,462	\$210,584,462	\$238,915,000	\$0
18 PRIOR YEAR FUND BALANCE***					
19 LOCAL CASH FUNDS	78,692,366	210,584,462		238,915,000	
20 FEDERAL CASH FUNDS					
21 OTHER CASH FUNDS					
22 TOTAL INCOME	\$78,692,366	\$210,584,462		\$238,915,000	\$0
23 EXCESS (FUNDING)/APPROPRIATION	\$0	\$0		\$0	\$0

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

	ACTUAL	BUDGETED	AUTHORIZED	NON-CLASSIFIED POSITIONS	NON-CLASSIFIED POSITIONS	LEG REC
	2008-09	2009-10	2009-10	REQUESTED 2010-11	RECOMMENDED 2010-11	2010-11
REGULAR POSITIONS	1,729	1,754	2,262	1,481	1,481	
TOBACCO POSITIONS						
EXTRA HELP **	835	900	1,600	1,600	1,600	

\*\* 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.

FORM 10-5

\*\*\*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 FOR FISCAL YEAR 2011**

UNIVERSITY OF CENTRAL ARKANSAS  
 (NAME OF INSTITUTION)

ACTIVITY	ACTUAL 2008-09				BUDGETED 2009-10			
	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME	INCOME	OPERATING EXPENSES	DEBT SERVICE	NET INCOME
1 INTERCOLLEGIATE ATHLETICS *	6,514,992	7,225,105	414,287	(1,124,400)	6,792,093	7,512,884	403,929	(1,124,720)
2 RESIDENCE HALL	14,302,812	9,628,874	2,547,303	2,126,635	13,700,491	10,894,229	2,806,262	-
3 MARRIED STUDENT HOUSING				-				-
4 FACULTY HOUSING				-				-
5 FOOD SERVICES	7,073,753	5,950,362	-	1,123,391	7,267,782	7,267,782		-
6 COLLEGE UNION	1,476,216	768,644	574,086	133,486	1,360,000	923,951	576,049	(140,000)
7 BOOKSTORE	369,532	135,306		234,226	350,000	350,000		-
8 STUDENT ORGANIZATIONS AND PUBLICATIONS	-			-	-			-
9 STUDENT HEALTH SERVICES	1,659,954	1,039,732	375,023	245,199	1,613,500	1,238,188	375,312	-
10 OTHER	2,070,331	1,829,436	469,916	(229,021)	2,326,684	1,906,429	532,781	(112,526)
11 SUBTOTAL	33,467,590	26,577,459	4,380,615	2,509,516	33,410,550	30,093,463	4,694,333	(1,377,246)
12 ATHLETIC TRANSFER **	1,124,400			1,124,400	1,124,720			1,124,720
13 OTHER TRANSFERS ***	252,526	11,636,763		(11,384,237)	252,526			252,526
14 GRAND TOTAL INCOME, OPERATING EXPENSES, & DEBT SERVICE FOR AUXILIARY ENTERPRISES	34,844,516	38,214,222	4,380,615	(7,750,321)	34,787,796	30,093,463	4,694,333	-

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

FORM 10-6

\*\* 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 2008-2009		Budget 2009-2010
Line 10			
Ir HPER Center	1,286,046	Income	HPER Center 1,312,000
Radio Station	998		Radio Station 74,310
Farris Fields/Recreational Facilities	149,974		Farris Fields/Recreational Facilities 124,000
Post Office	117,567		Post Office 67,474
Parking Facilities	498,579		Parking Facilities 748,900
Prior year adjustment	<u>17,167</u>		Prior year adjustment <u>-</u>
	2,070,331		2,326,684
C HPER Center	923,126	Operating Expense	HPER Center 1,147,144
Radio Station	73,762		Radio Station 111,810
Farris Fields/Recreational Facilities	44,146		Farris Fields/Recreational Facilities 45,448
Post Office	204,180		Post Office 142,500
Parking Facilities	134,097		Parking Facilities 459,527
Prior year adjustment	<u>450,124</u>		Prior year adjustment <u>-</u>
	1,829,436		1,906,429
D HPER Center	164,597	Debt Service	HPER Center 164,856
Radio Station	-		Radio Station -
Farris Fields/Recreational Facilities	78,284		Farris Fields/Recreational Facilities 78,552
Parking Facilities	<u>227,035</u>		Parking Facilities <u>289,373</u>
	469,916		532,781
Line 13			
Operating Expenses			
Plant Expansion	533,500		
Plant Expansion-Prior Year Projects	<u>11,103,263</u>		
	11,636,763		

**EMPLOYMENT INFORMATION  
IDENTIFICATION BY EMPLOYMENT CLASSIFICATION**

UNIVERSITY OF CENTRAL ARKANSAS  
(NAME OF INSTITUTION)

TOTAL NUMBER OF EMPLOYEES IN FISCAL YEAR 2008-09:						<u>1344</u>
(As of November 1, 2008 )						
Nonclassified Administrative Employees:						
White Male:	<u>106</u>	Black Male:	<u>11</u>	Other Male:	<u>4</u>	Total Male: <u>121</u>
White Female:	<u>103</u>	Black Female:	<u>15</u>	Other Female:	<u>5</u>	Total Female: <u>123</u>
Nonclassified Health Care Employees:						
White Male:	<u>1</u>	Black Male:	<u>0</u>	Other Male:	<u>0</u>	Total Male: <u>1</u>
White Female:	<u>5</u>	Black Female:	<u>0</u>	Other Female:	<u>0</u>	Total Female: <u>5</u>
Classified Employees:						
White Male:	<u>161</u>	Black Male:	<u>27</u>	Other Male:	<u>8</u>	Total Male: <u>196</u>
White Female:	<u>253</u>	Black Female:	<u>44</u>	Other Female:	<u>8</u>	Total Female: <u>305</u>
Faculty:						
White Male:	<u>257</u>	Black Male:	<u>12</u>	Other Male:	<u>26</u>	Total Male: <u>295</u>
White Female:	<u>272</u>	Black Female:	<u>10</u>	Other Female:	<u>16</u>	Total Female: <u>298</u>
Total White Male:	<u>525</u>	Total Black Male:	<u>50</u>	Total Other Male:	<u>38</u>	Total Male: <u>613</u>
Total White Female:	<u>633</u>	Total Black Female:	<u>69</u>	Total Other Female:	<u>29</u>	Total Female: <u>731</u>
Total White:	<u>1158</u>	Total Black:	<u>119</u>	Total Other:	<u>67</u>	Total Employees: <u>1344</u>
				<b>Total Minority:</b>	<u>186</u>	

FORM 10-8

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Central Arkansas**  
**June 30, 2008**

<p><i>Finding:</i></p>	<p>Good IT management includes establishing controls over access to programs and data, system modification, and logging, to provide reasonable assurance that unauthorized or erroneous disclosure, modification, or destruction of information will be prevented or timely detected. The SCT Banner System is a comprehensive software package that is used by the University of Central Arkansas to administer student financial aid, finance, human resources, and payroll functions. A review of the Banner System security revealed the following:</p> <ul style="list-style-type: none"> <li>• An employee has excessive access rights to the SCT Banner finance-related functions, which allows the employee to perform unauthorized transactions in the system.</li> <li>• The University does not monitor SCT Banner application security events. SCT Banner application and the Oracle database had logging options (audit trails) enabled; however, the University does not have procedures established to routinely monitor the logs.</li> </ul> <p>Without adequate controls to safeguard the Banner Financials System and its data from unauthorized and erroneous changes, the University may not adequately safeguard the integrity of its Banner Financial System and data.</p>
<p><i>Recommendation:</i></p>	<p>The University should strengthen its access control procedures including documenting access authorizations, reviewing the ongoing appropriateness of access privileges, and monitoring significant security events.</p>
<p><i>Institution's Response:</i></p>	<p>The University will review the information technology access process that includes the authorization and the review of security events. That process will include a written process to authorize the potential changes in programming as well as the review of the audit trails that are created by the software itself. We will also review access privileges and seeking to limit those to only essential staff who are working under a set of appropriate segregation controls.</p>

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Central Arkansas**  
**June 30, 2008**

<i>Finding:</i>	The University's Internal Auditor Office (IAO) conducted an investigation relating to misappropriation of vendor funds during the period November 10, 2006 through June 20, 2007. According to the IAO, a former employee, Ms. Ava Reed of the Academic Outreach and Extended Program (AOEP), improperly received and cashed a check for \$1,987. This check, from an AOEP participant, was intended to pay the University's food/catering services vendor. Ms. Reed was charged with and pled guilty to theft of property. As of report date, Ms. Reed has paid restitution of \$457, leaving an amount of \$1,530 due the food/catering services vendor.
<i>Institution's Response:</i>	This investigation involved funds that were due to the University's food service vendor from another outside vendor who requested the food service. The University's only connection was that University facilities were being rented by the outside vendor and that the University had an employee that was also connected to the vendor that requested the food services. The University employee was terminated and pleaded guilty to theft of property and has paid restitution of the full amount to the University's food service vendor.
<i>Finding:</i>	Due to the implementation of a new software system and a lack of management oversight, the financial statements were not completed until November 5, 2007. As a result, the audit process was not completed in an efficient and timely manner.
<i>Recommendation:</i>	Complete financial statements on a timely basis.
<i>Institution's Response:</i>	The installation of a new administrative software system did create substantial challenges this year in preparation of the University financials. This issue was complicated by the relative inexperience of our information technology staff and the fact that the primary individual who had managed, written and maintained the prior administration software was lost by the University at an early age of 52.  We are now in the process of reviewing the challenges we faced in the development of the 2007 financials and making changes that should allow the University to receive the financials in a timely manner.

**DIVISION OF LEGISLATIVE AUDIT**  
**AUDIT OF University of Central Arkansas**  
**June 30, 2008**

The Arkansas Department of Finance and Administration (DFA) is tasked with the responsibility of preparing the State's Schedule of Expenditures of Federal Awards (SEFA). In order to ensure timely and accurate reporting, as well as allow for adequate planning of the Single Audit, each State/Educational Agency is required to submit a *Federal Awards Data Collection Workbook* to DFA by a pre-determined date. Upon receipt of the workbook, DFA compiles, reviews and makes the necessary adjustments to prepare the SEFA. A review of this process revealed several late submissions. University of Central Arkansas was 24 days late in submitting the Workbook to DFA. A list of the federal programs that were reported late can be found in the Single Audit Report for the year ended June 30, 2008 beginning on page 40.