

# Board of Curators Meeting - Public Session

University of Missouri System

Stotler Lounge I, II and III, Memorial Union, University of Missouri - Columbia

Feb 9, 2023 8:30 AM - 12:15 PM CST

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**XI. LUNCHEON by Invitation for the Board of Curators, President, University of Missouri System Leaders, University of Missouri - Columbia Faculty, Student and Staff Leaders**

Time: 11:15 AM (time is approximate) Location: N214 B & C, Memorial Union

**XII. Press Conference with Board of Curators Chair and UM President - 1:30 PM (time is approximate)**

11:15 AM (or upon conclusion of public session) Location: Memorial Student Union, Room N214A Dial In Number: 888-675-2535 Conference Code: 2794379#

**XIII. AUDIT, COMPLIANCE AND ETHICS COMMITTEE - EXECUTIVE SESSION**

201A, Memorial Union (Time: 12:15 PM) time is approximate The Audit, Compliance and Ethics Committee will hold an executive session of the February 9, 2023 meeting, pursuant to Section 610.021(1), 610.021(3), 610.021(12), 610.021(13) and 610.021(17) RSMo, for consideration of certain confidential or privileged communications with university counsel, contract, personnel items and confidential or privileged communications between a public governmental body and its auditor as authorized by law and upon approval by resolution of the Audit Committee.

**XIV. BOARD OF CURATORS MEETING - EXECUTIVE SESSION**

201A, Memorial Union (Time: 12:30 PM) time is approximate The Board of Curators will hold an executive session of the February 9, 2023 meeting, pursuant to Sections 610.021(1), 610.021(2), 610.021(3), 610.021(12) and 610.021(13) RSMo, for consideration of certain confidential or privileged communications with university counsel, personnel, property, litigation and contract items, all as authorized by law and upon approval by resolution of the Board of Curators.

UNIVERSITY OF MISSOURI  
BOARD CHAIR REPORT

There are no materials for this information item.

# PRESIDENT'S REPORT

Mun Y. Choi

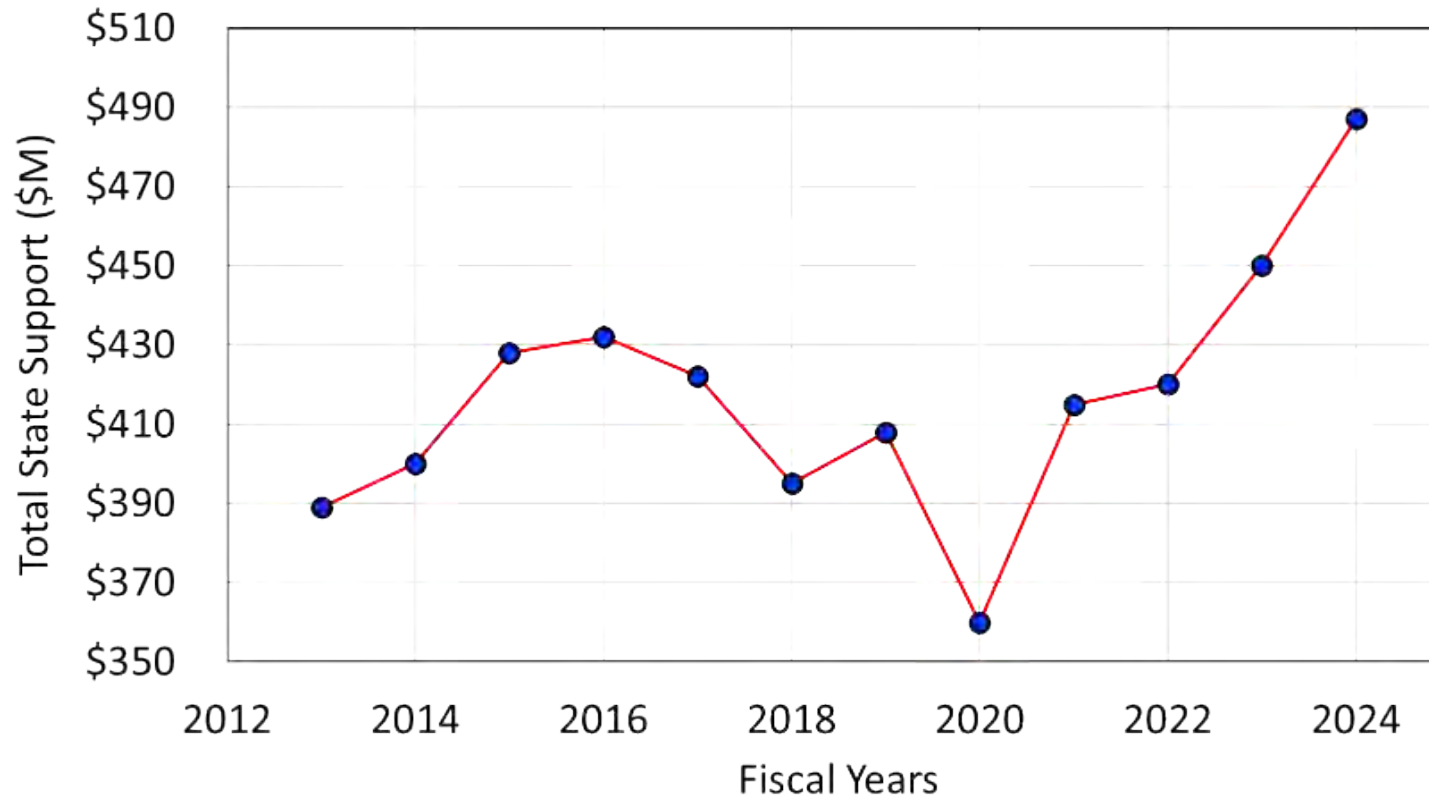
*Board of Curators Meeting*

February 9, 2023



# Governor's Budget Recommendation

- **\$32M** (7%) increase in core funding for the UM System
- **\$53M** Capital investment for MU Nextgen Precision Health
- **\$25M** Capital investment for S&T Manufacturing Facilities
- **\$20M** Capital investment for UMKC Health Sciences District
- **\$20M** Capital investment for UMSL Campus of the Future





# FY23 Federal Projects



NextGen Precision Health Initiative (*Blunt*) \$61M

Regional Biocontainment Labs & Prevention and Treatment of Vector-Borne Diseases (*Blunt*) \$52M\*

MURR II (*Luetkemeyer*) \$20M

Food and Agricultural Policy Research Institute (*Blunt*) \$8M\*

Water Center (*Blunt*) \$5M

Center for Agricultural Animal Genetic Engineering and Health (*Luetkemeyer*) \$4M

Livestock Applied Reproduction and Genomics (*Blunt*) \$3M

Endowed Professorship for Precision Health (*Blunt*) \$3M

Fisher Delta Center (*Blunt*) \$1.4M



Construction to support advanced manufacturing technology and innovation (*Blunt*) \$20M

Advanced Manufacturing Training Program (*Blunt*) \$3M

For equipment and supplies to improve STEM degree programs (*Blunt*) \$3M

Thermal Protection for Hypersonic Vehicles (*Blunt*) \$10M\*



Health Science District Medical Building (*Blunt*) \$10M

TOTAL EARMARKS:  
**\$133,425,000**

TOTAL REPORT LANGUAGE:  
**\$70,000,000**

# Admissions Update

## Freshmen Applicants

1/23/23	2021	2022	2023
MU	18,027	18,353	19,422
UMKC	4,862	4,657	5,129
S&T	4,532	5,007	6,473
UMSL	2,179	2,466	3,120

## Transfer Applicants

1/23/23	2021	2022	2023
MU	1,013	1,074	995
UMKC	795	851	849
S&T	199	207	324
UMSL	625	694	783

## Freshmen Accepted *(with deposits)*

1/23/23	2021	2022	2023
MU	2,888	3,389	3,931
UMKC	521	476	464
S&T	698	678	553
UMSL	83	145	181

## Transfer Accepted *(with deposits)*

1/23/23	2021	2022	2023
MU	136	140	143
UMKC	160	154	168
S&T	48	64	71
UMSL	93	117	142

# Student Success



**UMSL**

**Niara Savage**

*School Psychology, College of Education*

NPR Newsroom Reporting Fellowship



**UMKC**

**Christian Dang**

*Biology, Honors Program*

Won NIH Postbac IRTA to conduct biomedical research in the Bethesda, Maryland.



**MU**

**Santiago Beis**

*School of Music*

One of 12 composers worldwide selected to work with the renowned Divertimento Ensemble at the International Workshop for Young Composers



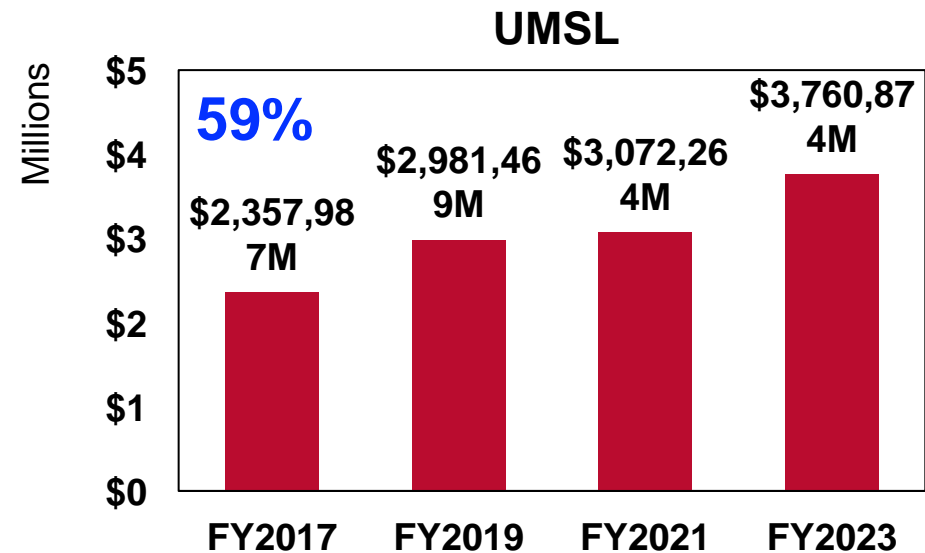
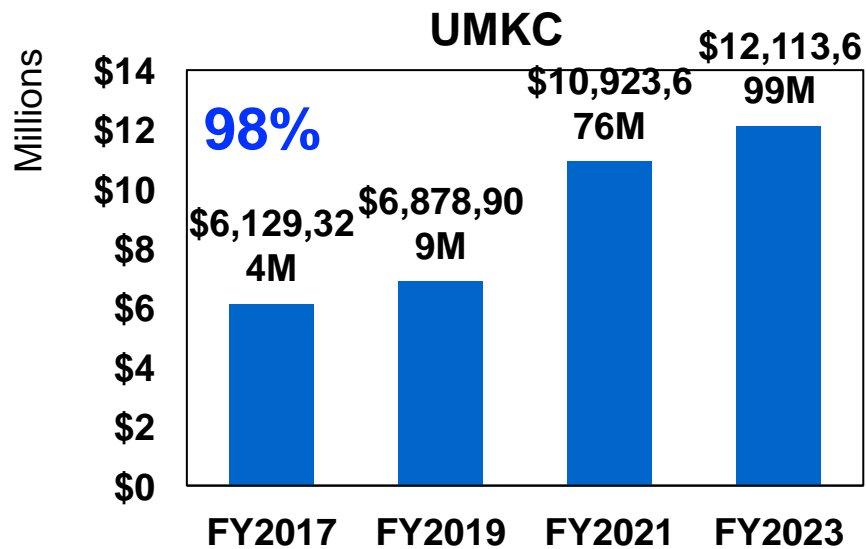
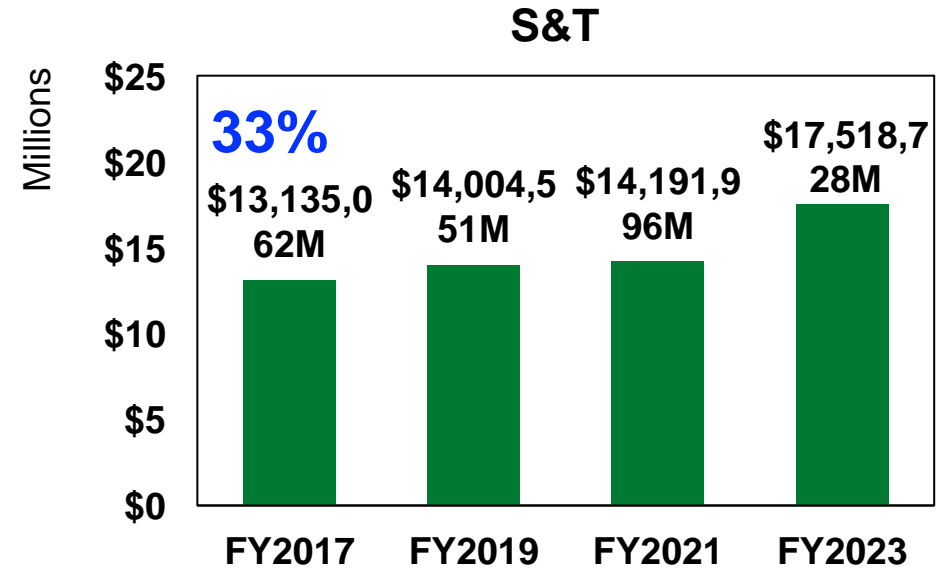
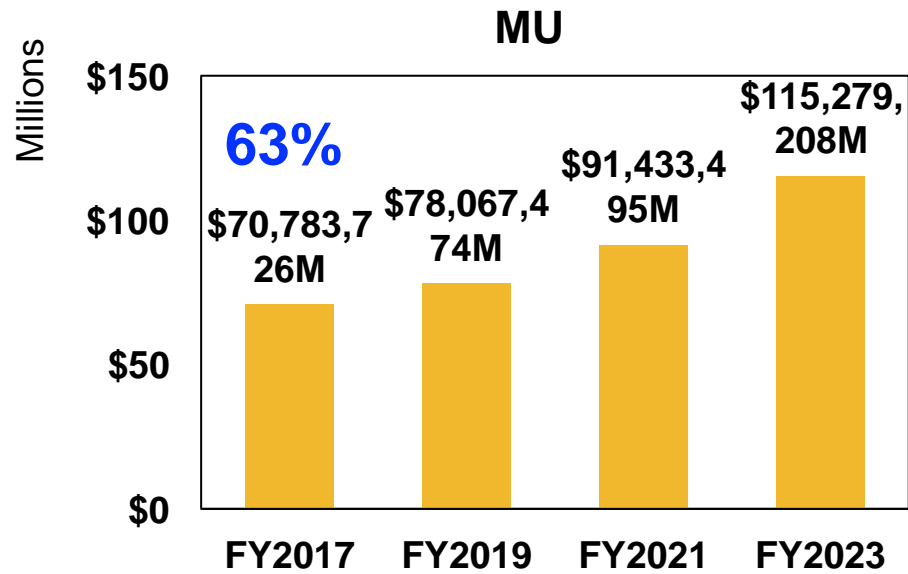
**MISSOURI S&T**

**Duyen Do, Sophia Rowland, Scott Henrich, Julia Meyr**  
*Engineering Management*

Took first place in student case-study competition at the ASEM Conference

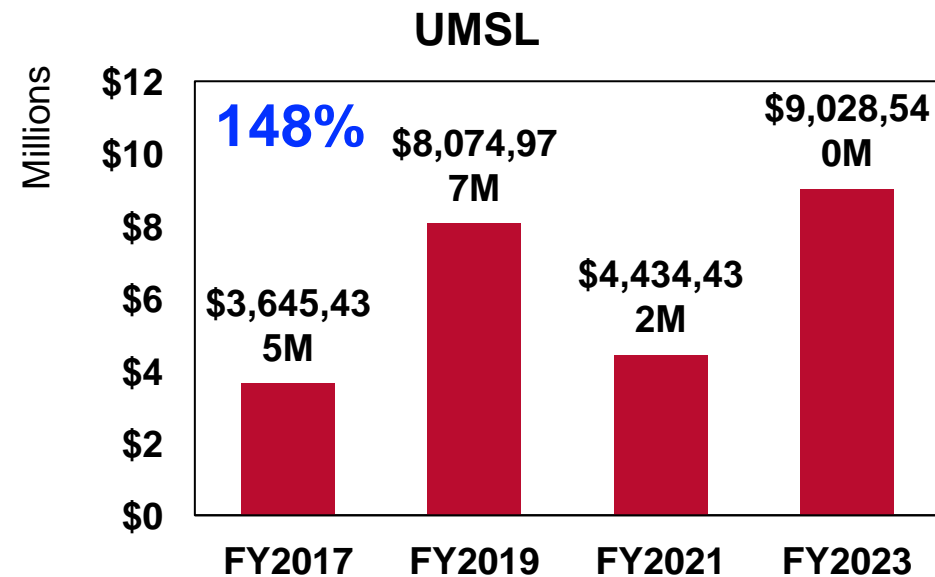
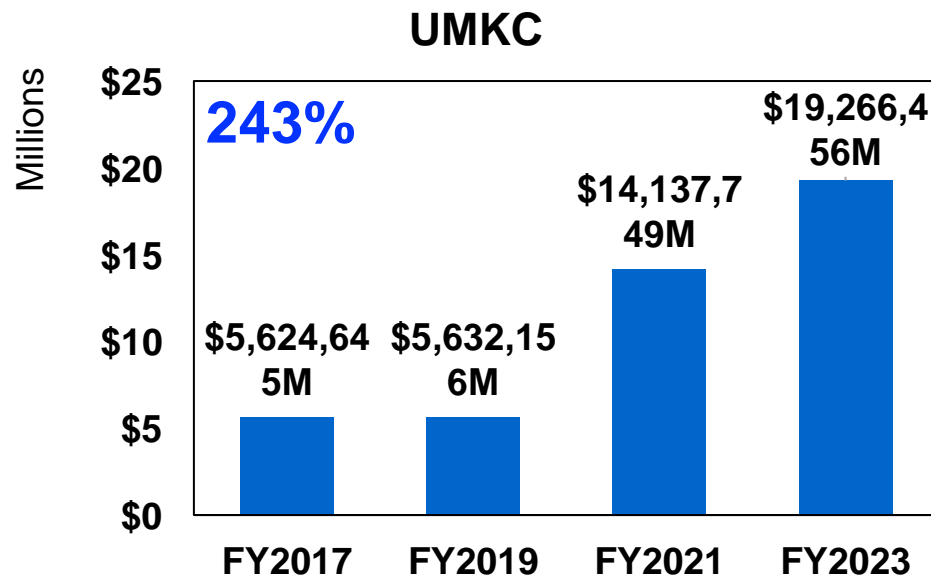
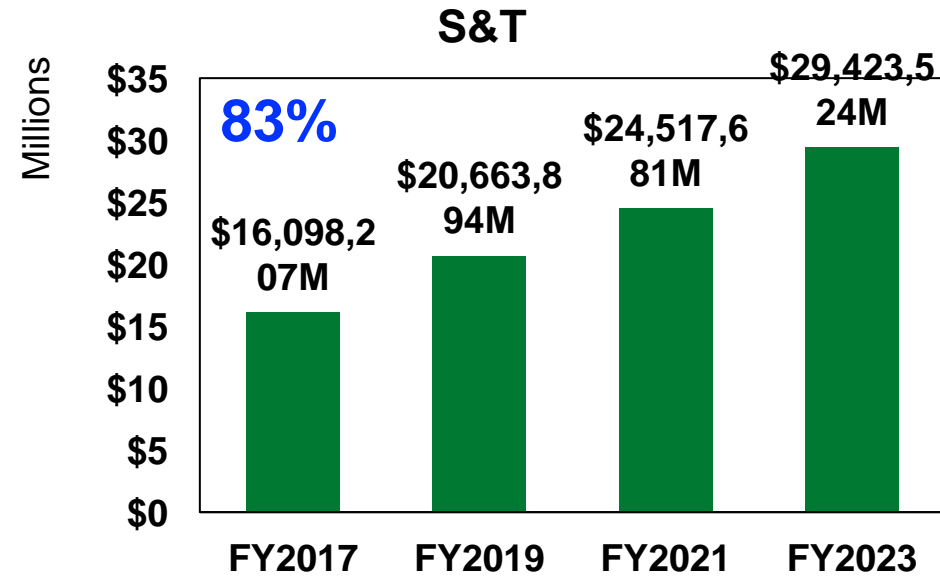
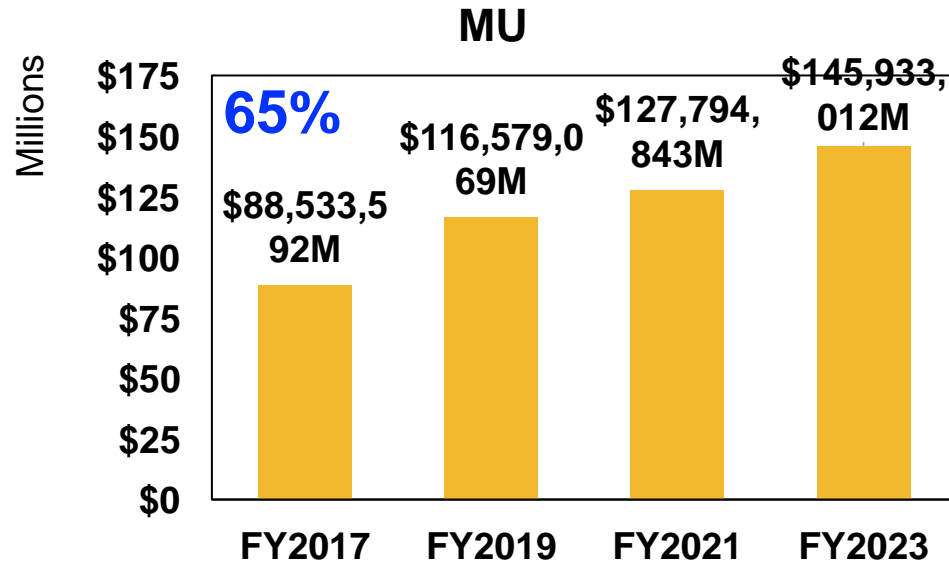
# Total R&D Expenditures (7/1-12/31)

\*will update as of 1/31



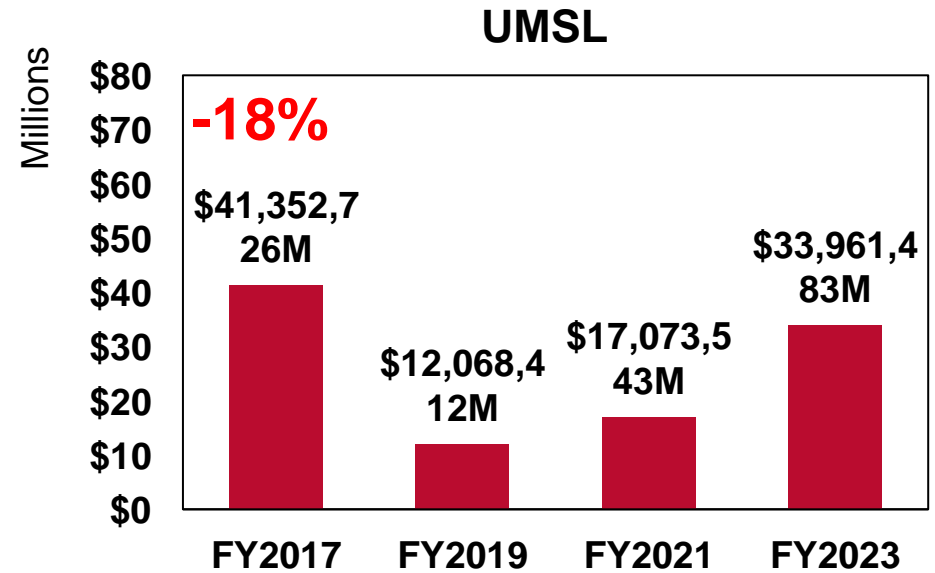
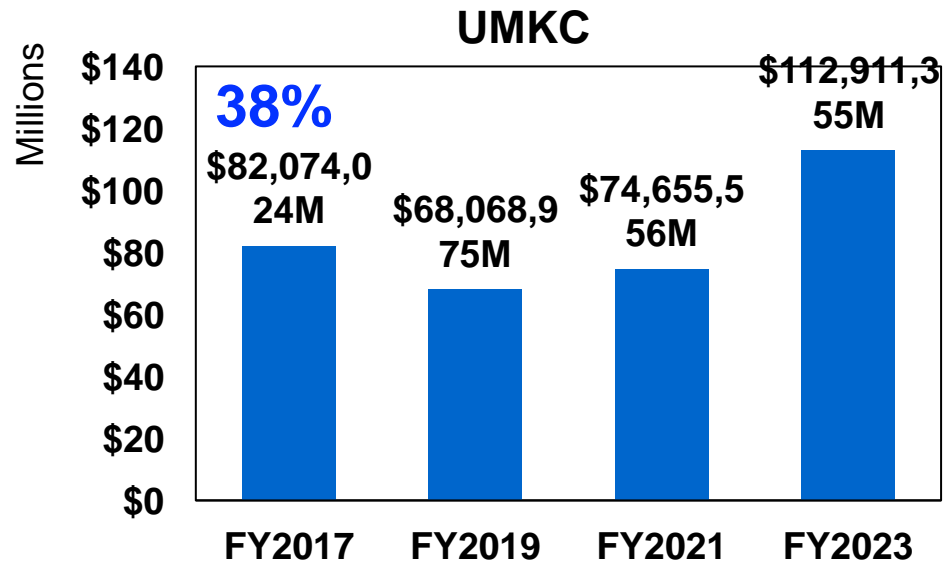
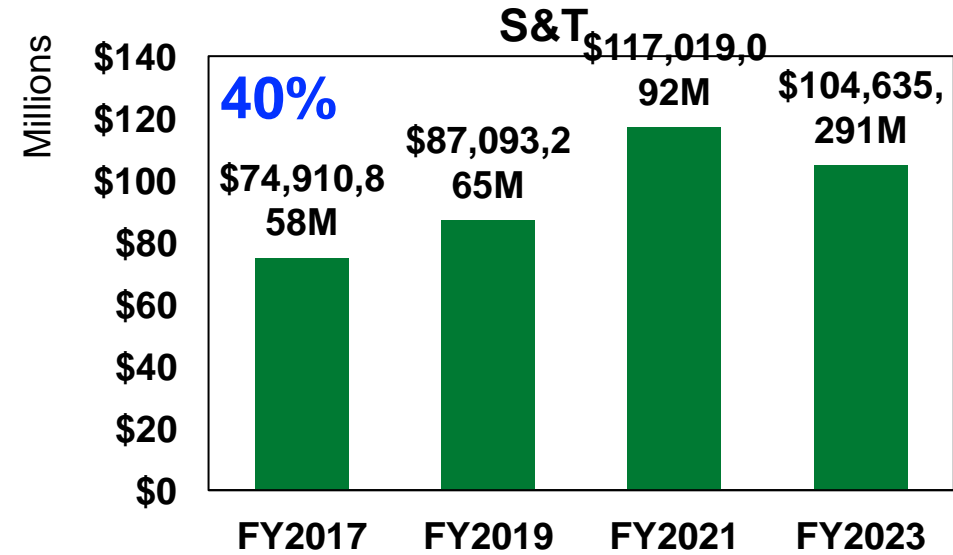
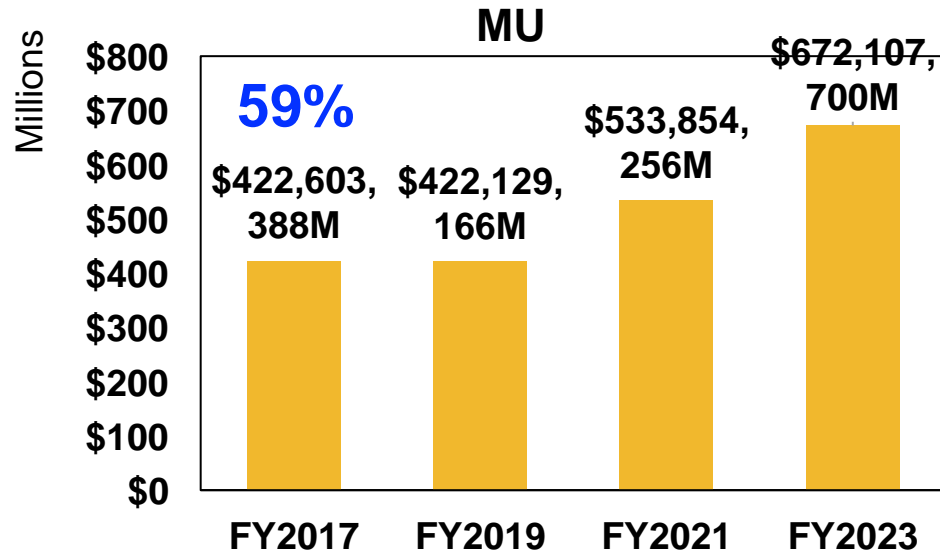
# Total R&D Awards (7/1-12/31)

\*will update as of 1/31



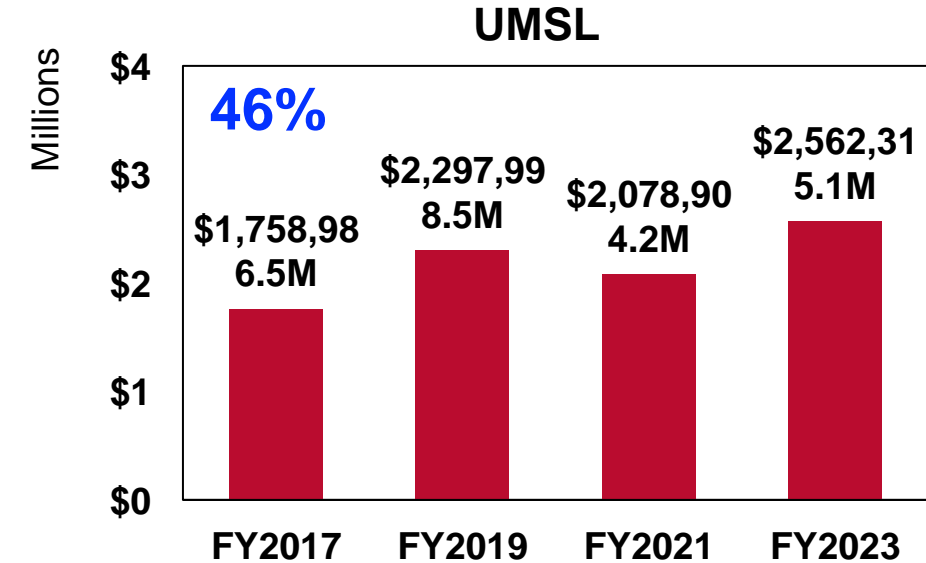
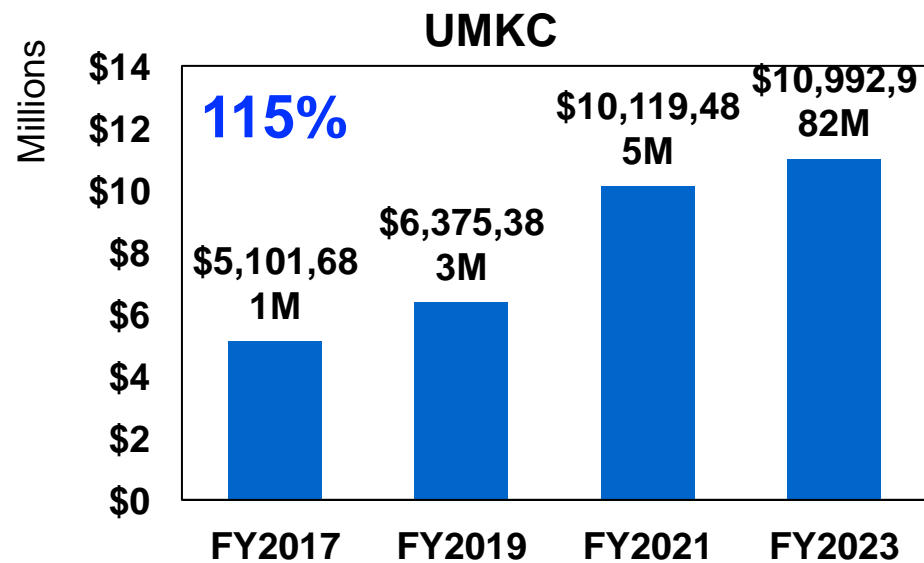
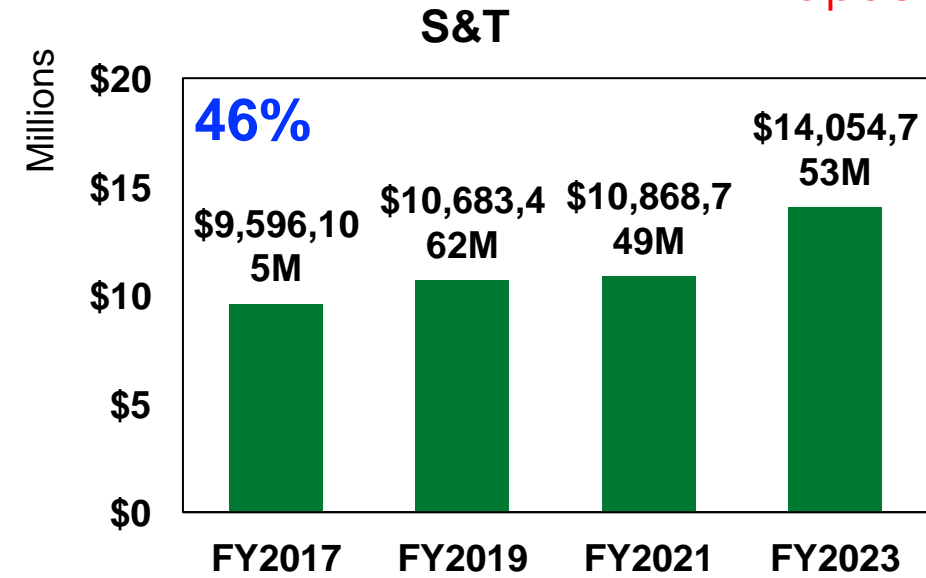
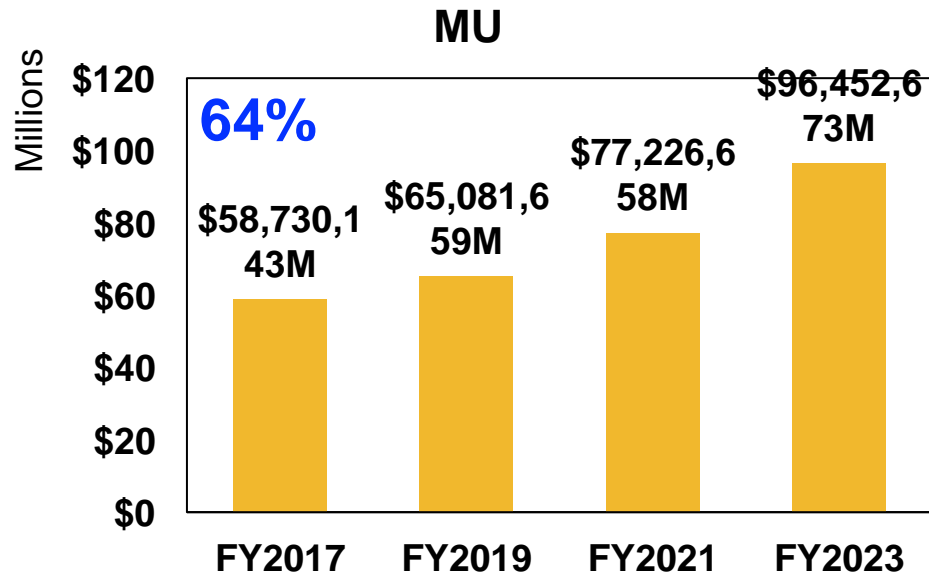
# Total R&D Proposals (7/1-12/31)

\*will update as of 1/31



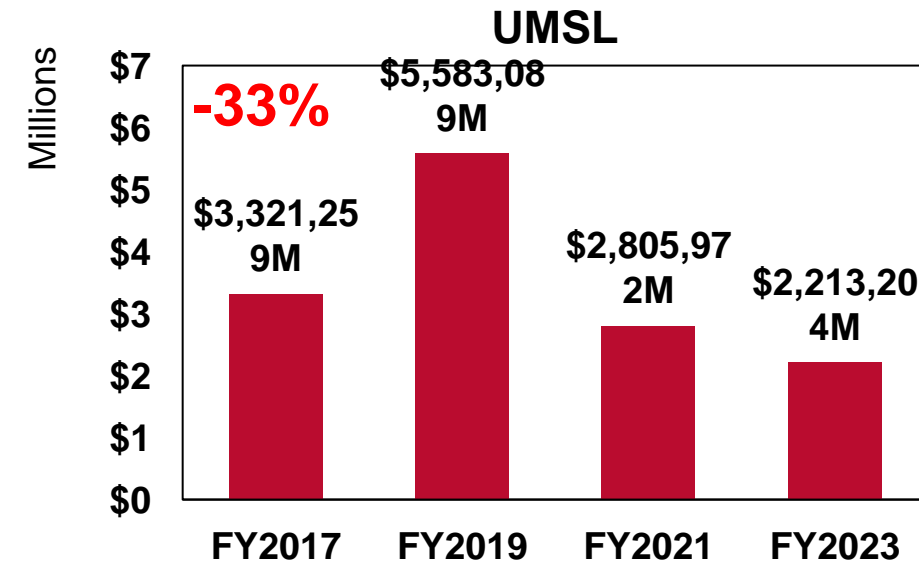
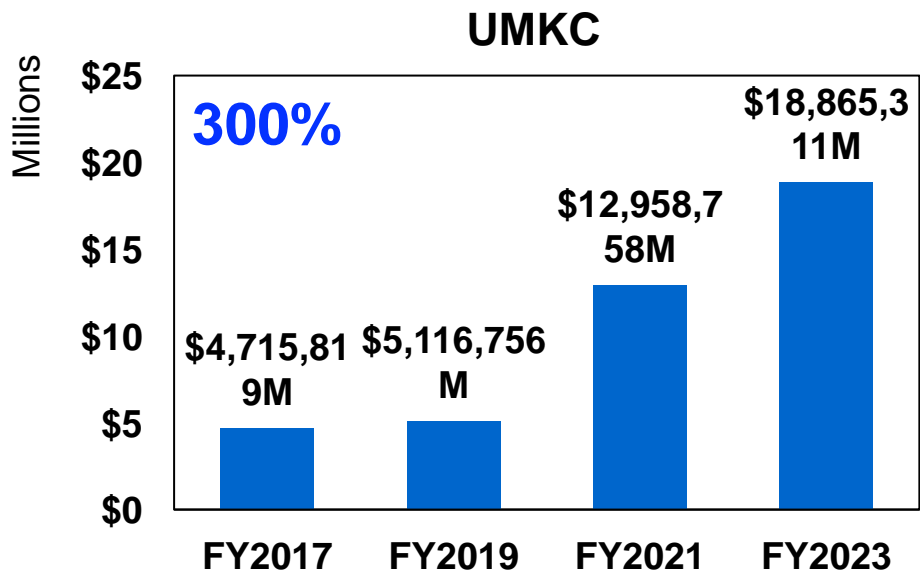
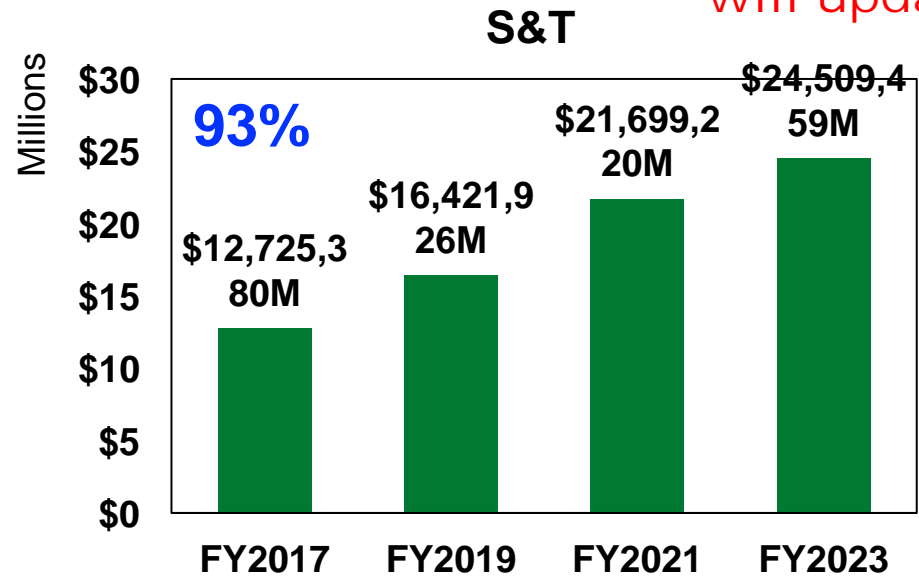
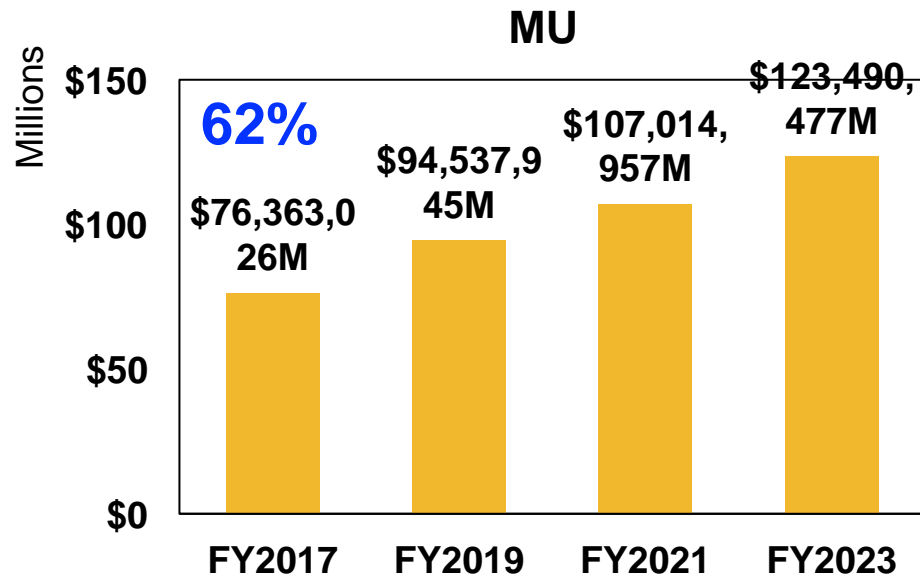
# Federal R&D Expenditures (7/1-12/31)

\*will update as of 1/31



# Federal R&D Awards (7/1-12/31)

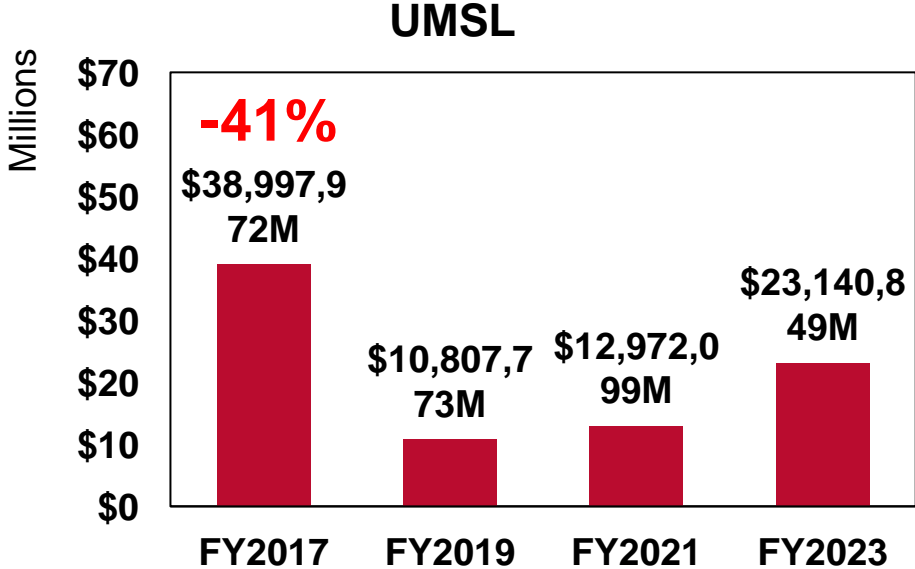
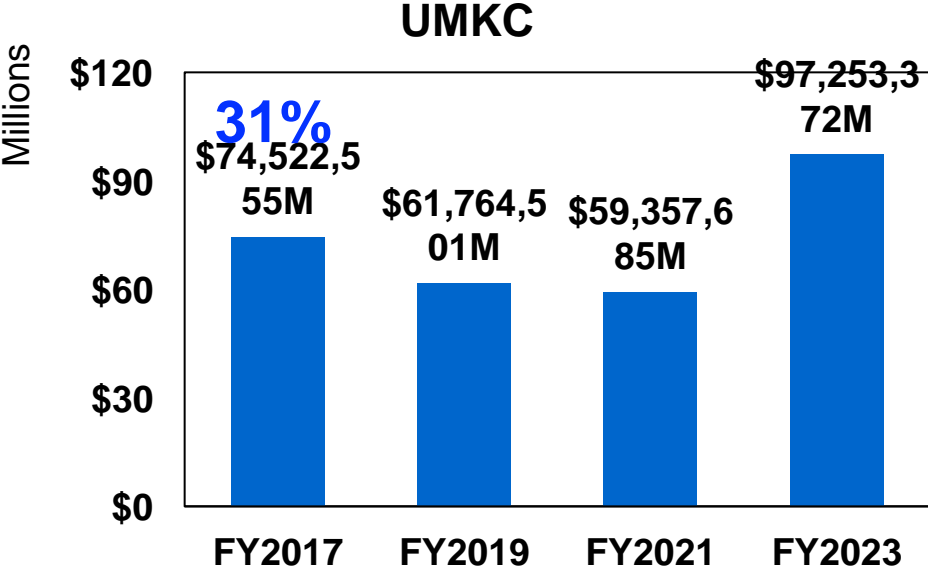
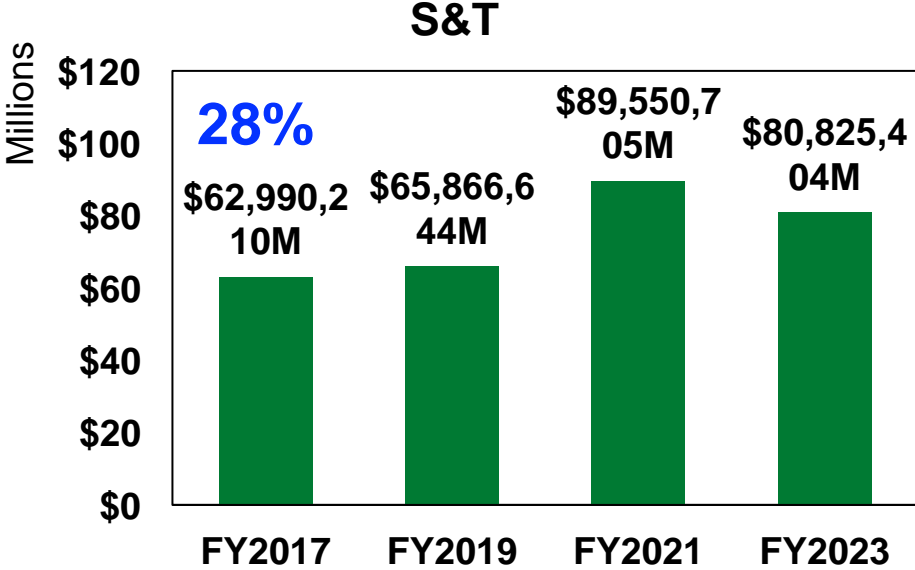
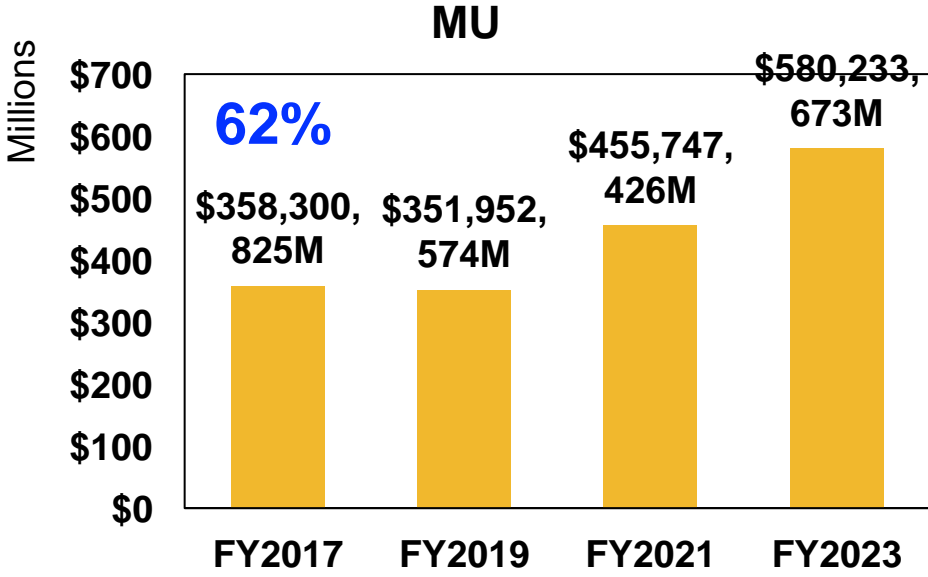
\*will update as of 1/31





# Federal R&D Proposals (7/1-12/31)

\*will update as of 1/31



# 2022 AAAS Fellows



**Dr. Henry Wan**  
*Biological Sciences*



**Dr. Shubhra Gangopadhyay**  
*Engineering*



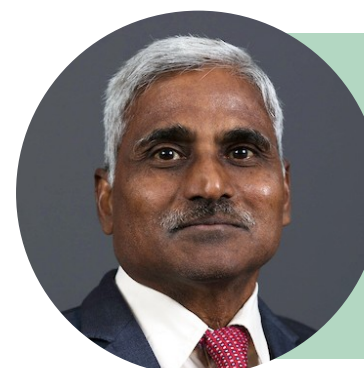
**Dr. Christian Lorson**  
*Neuroscience*



**Dr. Xiaoqin Zou**  
*Physics*



**Dr. Bing Yang**  
Danforth Plant Science Center  
*Physics*



**Dr. V. Prakash Reddy**  
*Chemistry*

# MU Major Grant



## **Catalyzing Cover Crop Advancement as a Climate-Smart Practice Through a National Variety Improvement and Seed Production Program**

**PI:** Dr. Rob Myers, Professor, *Director of MU Center for Regenerative Agriculture*

**\$10M**

**Sponsor:** National Institute of Food and Agriculture (U.S. Department of Agriculture)

The overarching goal of this systems-oriented project is to provide improved cover crop varieties for 250,000 American farmers using cover crops as a climate-smart practice on 40 million acres by 2030. The project will catalyze more rapid and effective progress in meeting farmer demand for regionally adapted, high-quality cover crop seed.



# UMSL Major Grant

**UMSL**

## **St. Louis Translational Fellowships in Education**

**PI:** Dr. Natalie Bolton, *College of Education*

**Co-PIs:** Dr. Phyllis Balcerzak, *College of Education*; Dr. Chanua Ross, *College of Education*

**\$4.1M (over 6 years)**

**Sponsor:** James S. McDonnell Foundation

This program will focus on embedding the science of learning best practices in daily K-12 instruction and the subsequent impact on educators and students. This will involve hiring up to 18 full-time postdoctoral fellows for two-year "inquiry cycles" over a six-year period.



# UMKC Major Grant



**Immersive Digital History Trails: A New Platform for Place-Based Interpretation with Prototypes for the History of Jazz, Baseball, and BBQ in Kansas City**

**PI:** Dr. David Trowbridge, *Humanities and Social Sciences*

**Co-PI:** Dr. Diane Mutti Burke, *Humanities and Social Sciences*

**\$149,855**

**Sponsor:** National Endowment for the Humanities

Development of a location-based notification system that will be tested through the creation of three new heritage tours in Kansas City, and then deployed for the more than 1,400 local history trails on the Cilo website.

# S&T Major Grant



## **Missouri Rural Transit Assistance Program**

**PI:** Heath Pickerill, *Civil, Architectural and Environmental Engineering*  
**\$960,000**

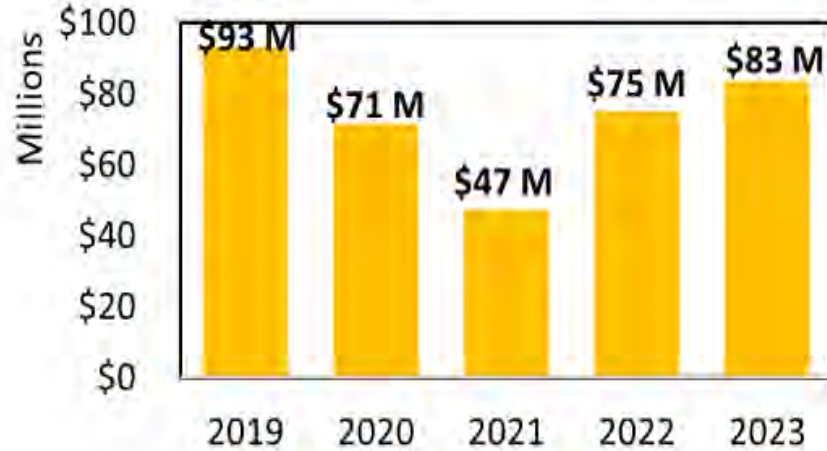
**Sponsor:** Missouri Department of Transportation

By sharing administrative efforts between the Local Technical Assistance Program (LTAP) and the Rural Transit Assistance Program (RTAP), Missouri S&T can continue benefitting both federally funded programs.

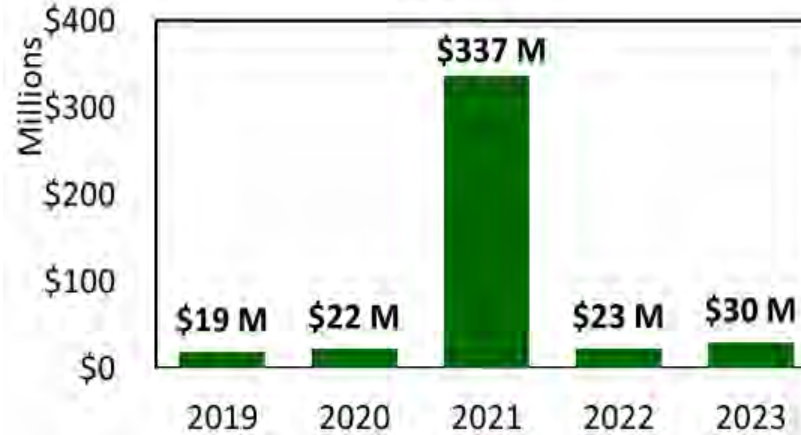


# Philanthropy (7/1-12/31)

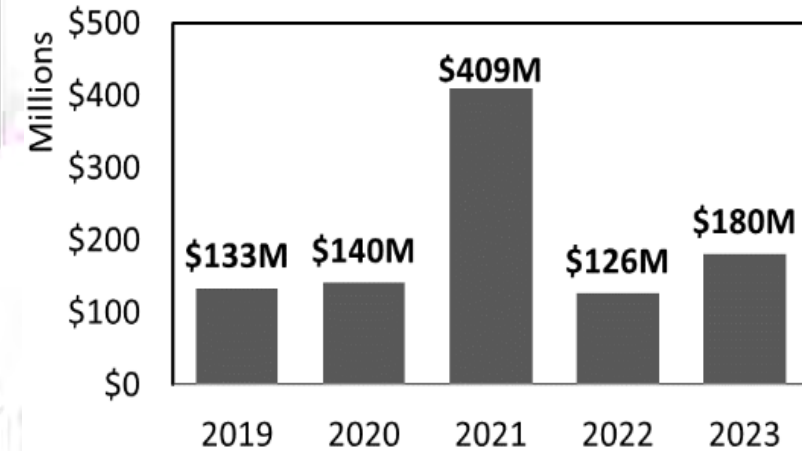
## MU



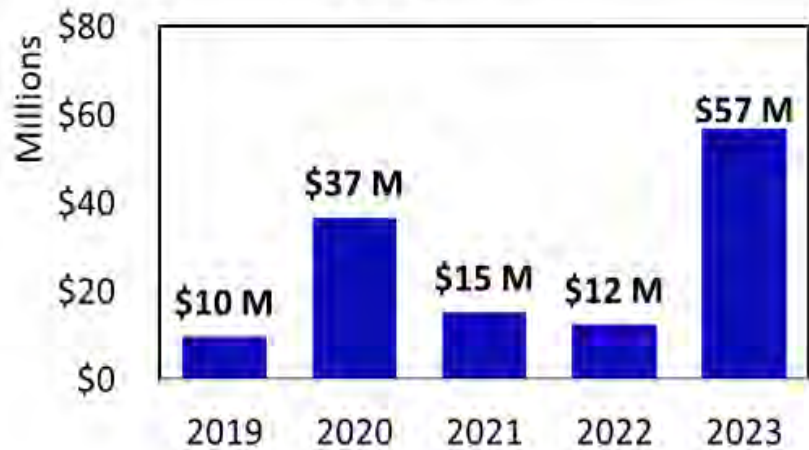
## S&T



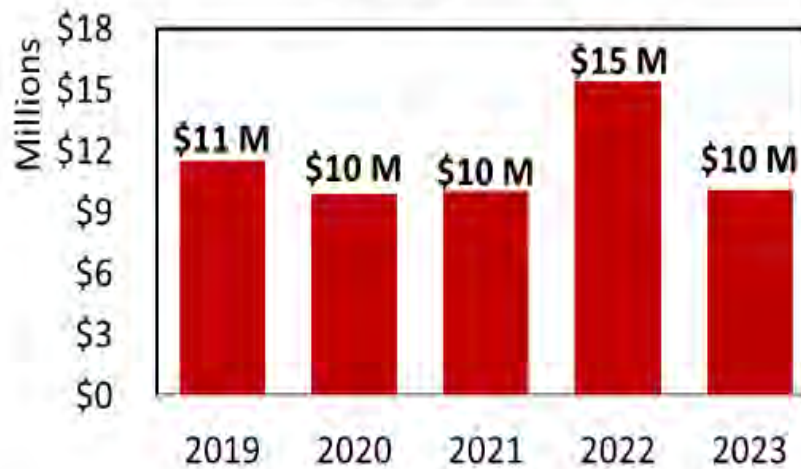
## UM System



## UMKC



## UMSL



# UM Leadership Update



**Chadwick Higgins,**

*Interim Chief Engagement Officer, UM System  
Interim Vice Chancellor for Extension  
and Engagement, MU*



**Catherine Rymph,**

*Dean, Honors College*



**David Borrok**

*Vice Provost and Dean,  
College of Engineering*



**Wayne Jones,**

*Associate Vice Chancellor of  
Institutional Effectiveness*



**Steven Berberich,**

*Provost and Vice Chancellor for  
Academic Affairs*





# University of Missouri System

COLUMBIA | KANSAS CITY | ROLLA | ST. LOUIS

## REVIEW CONSENT AGENDA

There are no materials for this information item.



Consent A

Recommended Action - Minutes, November 4, 2022 Board of Curators Special Meeting Minutes

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the November 4, 2022 Board of Curators Special meeting be approved as presented.

Roll call vote:	YES	NO
-----------------	-----	----

Curator Brncic

Curator Graves

Curator Hoberock

Curator Holloway

Curator Layman

Curator Wenneker

Curator Williams

The motion \_\_\_\_\_.

February 9, 2023

Consent B

Recommended Action - Minutes, November 17, 2022 Board of Curators Meeting

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the November 17, 2022 Board of Curators meeting be approved as presented.

Roll call vote:	YES	NO
-----------------	-----	----

Curator Brncic

Curator Graves

Curator Hoberock

Curator Holloway

Curator Layman

Curator Wenneker

Curator Williams

The motion \_\_\_\_\_.

February 9, 2023

Consent C

Recommended Action - Minutes, November 17, 2022 Board of Curators  
Committee Meeting

It was moved by Curator \_\_\_\_\_ and seconded by Curator  
\_\_\_\_\_, that the minutes of the November 17, 2022 Board of Curators  
committee meetings be approved as presented.

Roll call vote:	YES	NO
-----------------	-----	----

Curator Brncic

Curator Graves

Curator Hoberock

Curator Holloway

Curator Layman

Curator Wenneker

Curator Williams

The motion \_\_\_\_\_.

February 9, 2023

Consent D

Recommended Action - Minutes, December 20, 2022 Board of Curators Special Meeting

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the December 20, 2022 Board of Curators special meeting be approved as presented.

Roll call vote: YES NO

Curator Brncic

Curator Graves

Curator Hoberock

Curator Holloway

Curator Layman

Curator Wenneker

Curator Williams

The motion \_\_\_\_\_.

February 9, 2023

Consent E

Recommended Action - Minutes, January 6, 2023 Board of Curators Special Meeting

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the January 6, 2023 Board of Curators special meeting be approved as presented.

Roll call vote: YES NO

Curator Brncic

Curator Graves

Curator Hoberock

Curator Holloway

Curator Layman

Curator Wenneker

Curator Williams

The motion \_\_\_\_\_.

February 9, 2023



Naming Opportunity  
New Livestock Handling Facility  
Southwest Research, Extension and Education Center  
MU

*Pursuant to CRR 110.080*, naming of buildings and exterior areas requires Board approval. The University of Missouri – Columbia requests approval to name the new livestock handling facility at the Southwest Research, Extension and Education Center as the Eldon Cole MU Livestock Facility in honor of the longest serving faculty member in the UM System.

Mr. Eldon Cole worked for the University of Missouri for over 58 years, serving first as a balance farming agent, but ultimately became one of the most well-known and successful livestock specialists in the MU Extension system. Eldon was a true extension professional and is the epitome of how off-campus faculty fulfill the land-grant mission of the University of Missouri.

Eldon took advantage of his proximity to the Southwest Research, Extension and Education Center, (formerly Southwest Center), where he cooperated with state and local research personnel on multiple projects. Often research projects were developed from questions posed to the county extension office where Eldon was housed. The sheer number of projects Eldon was involved with was unprecedented by other regional specialists. Eldon’s talent to keep an ear to the industry and his ability to communicate and listen to his agriculture clients helped him develop into one of the best off-campus faculty in the state.

Due to the long tenure of his career, his ability to see trends and fads in the livestock industry and have the historical perspective to help farmers work through information, provided the absolute best combination for educational success for a land-grant institution.

Eldon’s peers, other regional specialists, state specialists and colleagues across the Midwest, held him in the highest regard. He remained loyal to University of Missouri Extension and to the mission of our land-grant university.

Based on the naming of the facility, the Southwest Cattlemen’s Association and the Lawrence County Farm Bureau is committing to help support a maintenance endowment fund. Other entities have indicated an interest in providing support as well. Numerous individuals have expressed a desire to recognize Cole through memorial contributions.

Eldon Cole provided a legacy of learning during his 58-year career that brought honor to the work of MU Extension and the University of Missouri. Eldon passed away April 17, 2022, at the age of 81. Please consider this naming request to honor that legacy.

In recognition of and tribute to Eldon Cole’s extraordinary contributions to Extension, we propose naming this new facility the Eldon Cole MU Livestock Facility. The new facility

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is funded by MU Extension and the College of Agriculture, Food and Natural Resources, and is scheduled to be completed in the Summer of 2023.

University of Missouri President Mun Choi and Provost Latha Ramchand support this naming.

No. F

Recommended Action - Naming Opportunity, MU

It was recommended and endorsed by UM System President Mun Y. Choi, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following action be approved:

that the new Livestock Handling Facility at Southwest Research, Extension and Education Center be named the Eldon Cole MU Livestock Facility.

Roll call vote Finance Committee	YES	NO
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Curator Graves

Curator Hoberock

Curator Layman

Curator Wenneker

The motion \_\_\_\_\_.

Roll call vote:	YES	NO
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Curator Brncic

Curator Graves

Curator Hoberock

Curator Holloway

Curator Layman

Curator Wenneker

Curator Williams

The motion \_\_\_\_\_.

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## **Spinal Cord Injuries and Congenital or Acquired Disease Processes Research Program**

The 91<sup>st</sup> General Assembly enacted legislation (HB 218 and HB 302, 2001) to provide support for a program of research projects that promote and advance knowledge in the areas of spinal cord injuries and congenital or acquired disease processes. As part of this legislation, there was created in the state treasury a “Spinal Cord Injury Fund” from which annual appropriations are to be made for the use of the Board of Curators of the University of Missouri. The primary source of money for this fund is a surcharge of two dollars levied on certain costs in criminal cases including violations of any county ordinance or any violation of criminal or traffic laws of the state.

The research grants funded by these appropriations are to be awarded by the Board of Curators to investigators who are affiliated with a public or private educational, health care, voluntary health association or research institution, based on the recommendations of an Advisory Board appointed by the Board of Curators for this purpose. Individual awards (\$100,000 per year) shall expire at the end of one year. The objective of the grants is to obtain preliminary data to test hypotheses and to enable investigators to develop subsequent competitive applications for long-term funding from other sources. The research projects are to be conducted in Missouri.

“Congenital” spinal cord abnormalities include birth defects affecting the spinal cord such as spina bifida. In addition to traumatic injuries to the spinal cord that lead to paralysis, “acquired” abnormalities could include Friedreich’s ataxia, which manifests itself in teenage years and appears to run in families, and paralysis due to multiple sclerosis, polio, etc. Approximately 450,000 people in the United States have sustained traumatic spinal cord injuries (SCI), with approximately 11,000 new cases of SCI in the US every year. The majority (78%) of SCI victims are males. Most of the injuries result from motor vehicle accidents (50%), falls (24%), violence (11%), or sports injuries (9%).

The action requested of the Board is to approve funding for six research proposals approved by the Spinal Cord Injury Advisory Board.

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Consent G

Recommended Action - Spinal Cord Injuries and Congenital or Acquired Disease Processes Research Program Proposals

It was recommended by interim vice chancellor for research and economic development, Thomas Spencer, Ph.D., endorsed by President Mun Y. Choi, recommended by the Academic, Student Affairs and Research and Economic Development Committee, moved by Curator \_\_\_\_\_, and seconded by Curator \_\_\_\_\_, that the following action be approved:

that the research proposals approved by the Spinal Cord Injuries Research Program Advisory Board be approved as presented on the following pages.

Roll call vote of the Committee:                      YES                      NO

Curator Graves  
Curator Hoberock  
Curator Layman

The motion \_\_\_\_\_.

Roll call vote of the Board:                      YES                      NO

Curator Brncic  
Curator Graves  
Curator Hoberock  
Curator Holloway  
Curator Layman  
Curator Wenneker  
Curator Williams

The motion \_\_\_\_\_.

**SPINAL CORD INJURIES AND CONGENITAL OR ACQUIRED DISEASE  
PROCESSES RESEARCH PROGRAM**

*PROPOSAL RECOMMENDED FOR FUNDING  
2023*

I. Spinal Motoneuronal Resiliency During Aging

William Arnold, MD  
Professor, Physical Medicine and Rehabilitation,  
NextGen Precision Health  
University of Missouri

Total funding recommended          \$100,000

II. The function of ZPR1 in amyotrophic lateral sclerosis 4 (ALS4)

Laxman Gangwani, MSc, MTech, PhD  
Professor, Veterinary Pathobiology  
University of Missouri

Total funding recommended          \$100,000

III. Injectable Hydrogels for the Treatment of SCI Inflammation & Sublesional Osteoporotic Fractures

Bret Ulery, BS, BSE, PhD  
Associate Professor, Chemical and Biomedical Engineering  
University of Missouri

Total funding recommended          \$100,000

IV. Autonomic cardiac function in subacute spinal cord injury: a quantitative study in real-world settings

Mihaela Carmen Cirstea, MD, PhD  
Assistant Research Professor, Physical Medicine & Rehabilitation  
University of Missouri

Total funding recommended          \$100,000

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- V. Understanding the role of TNF-alpha for spinal respiratory neuroplasticity and ventilatory function over the course of respiratory motor neuron loss

Nicole L Nichols, PhD  
Biomedical Sciences  
University of Missouri

Total funding recommended      \$100,000

- VI. Feasibility and Acceptability of the Spinal Cord Injury Self-Management (SCISM) Program

Bridget Comparato Kraus, B.S., MSOT, OTR/L  
Occupational Therapist  
University of Missouri

Total funding recommended      \$100,000

I. ABSTRACT:

*William Arnold, MD*

*Spinal Motoneuronal Resiliency During Aging*

Aging is associated with inevitable decline of function across biological systems, but the rate of decline (biological aging) is heterogenous across individuals during advancing chronological age. Aging is a major risk factor for the neurodegeneration including the motoneuron disorder, amyotrophic lateral sclerosis. The overarching goal of this project is to understand the variability of the effects of aging on the spinal motoneuron, or the heterogeneity of biological aging. Spinal motoneurons are non-replaceable cells that form the final link between the central nervous system and skeletal muscle and are required for movement across the lifespan. Our prior work provides strong support that age-related loss of spinal motoneuron function is a major driver of weakness in older adults. In this project we will use a mouse model to explore potential mechanisms of motoneuron resiliency and frailty during aging using single motoneuron nuclei sequencing. The results of these studies will develop new avenues for grant funding and potential therapeutic investigation and development in the context of age-related weakness (sometimes called sarcopenia) as well as amyotrophic lateral sclerosis and other neurodegenerative conditions.

II. ABSTRACT:

*Laxman Gangwani, MSc, MTech, PhD*

*The function of ZPR1 in amyotrophic lateral sclerosis 4 (ALS4)*

In this research study, we will examine the role of zinc finger protein 1 (ZPR1) as a protective gene modifier for preventing and treating amyotrophic lateral sclerosis 4 (ALS4) disease. ALS4 is a neuromuscular disease with onset of symptoms before the age of 25 years. ALS4 is caused by a mutation in the Senataxin (SETX) gene and is characterized by the degeneration of the spinal cord motor neurons. This causes progressive muscle atrophy and impaired voluntary limb movement. Gradually it affects all voluntary muscles and individuals lose their strength and the ability to speak, eat, move, and even breathe. Unfortunately, there is no treatment or cure for ALS4 disease. Although the causing gene and mutation has been identified but the biochemical defects leading motor neuron degeneration remains to be investigated. However, recently, we have demonstrated that mutation in SETX in ALS4 patient cells disrupts its binding with ZPR1 and results in alteration of one of the critical biochemical processes in the cell. Notably, increase in the ZPR1 protein levels rescue disease condition in ALS4 patient cells. Characterization and validation ZPR1 as a viable therapeutic target will be a breakthrough that will open the path to development of suitable strategies for the treatment of ALS4.

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### III. ABSTRACT:

***Bret Ulery, BS, BSE, PhD***

*Injectable Hydrogels for the Treatment of SCI Inflammation &  
Sublesional Osteoporotic Fractures*

Spinal cord injuries (SCIs) are devastating injuries associated with immediate and long-term consequences for the patients that experience them, so new healthcare approaches that span from mitigating initial injury-associated damage to treating post-SCI complications are needed. In this proposal, we offer two complementary but distinct approaches each addressing one area of particular concern in the progression of SCI and its comorbidities. First, we focus on the development of an injectable hydrogel capable of mediating effects associated with the primary site injury. Specifically, inflammation has been found to play a direct role in exacerbating the extent of long-term impacts due to SCIs, so interventions that can locally modulate the immune system are highly desirable. We propose the use of a biomaterials-based hydrogel that can deliver vasoactive intestinal peptide (VIP), an exciting immunomodulatory biomolecule potentially capable of tamping down the secondary spinal cord damage caused by the immune system. Additionally, one common issue associated with SCIs is the onset of osteoporosis below the injury site termed sublesional osteoporosis (SLOP) which leads to bone fractures and prolonged hospitalizations. Unfortunately, current treatment modalities have limited effectiveness in patients suffering for SLOP necessitating novel therapeutic approaches to address this considerable SCI comorbidity. The proposed research focuses on the development of a multicomponent biopolymer hydrogel which can directly modulate cellular functions to reverse the underlying osteoporosis responsible for the local bone mineral density that can lead to fracture. Taken together, these products can help SCI patients at various points in their healthcare needs.

### IV. ABSTRACT:

***Mihaela Carmen Cirstea, MD, PhD***

*Autonomic cardiac function in subacute spinal cord injury: a  
quantitative study in real-world settings*

A spinal cord injury (SCI) is caused by direct damage to the spinal cord itself or damage to the tissue and vertebra (bone) that surround the spinal cord. Up to 90% of SCI results from trauma. An SCI may alter a patient's life, from changes in the ability to control movement, sensation, and other body functions below the site of the injury to changes in cardiac function. Compared to well-known motor changes, cardiac changes after SCI have received little attention. It is important to understand these changes to improve life span and quality after SCI. The goal of this project is to find new and better ways to quantify cardiac changes after SCI. Currently, these changes are quantified only in hospitals/clinics and require patient transport. We will use a new, portable, and low-cost device to quantify cardiac changes in SCI patients where they reside. We will describe the longitudinal alterations in cardiac function during the course of the first three months after SCI. During this time, the patients will receive a standard rehabilitation regime. We will test whether cardiac

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alterations are improving over the course of rehabilitation. We will also test the relationships between these improvements and motor changes to see if we can predict which patients will recover the best with rehabilitation. The information we learn from this project will help better treat people with SCI. We will use these findings to design new or modify current rehabilitation treatments to target cardiac changes responsible for poor rehabilitation outcomes.

V. ABSTRACT:

*Nicole L Nichols, PhD*

*Understanding the role of TNF-alpha for spinal respiratory neuroplasticity and ventilatory function over the course of respiratory motor neuron loss*

Respiratory failure is often the cause of death in neuromuscular disorders and neurodegenerative diseases in which there is significant motor neuron loss. However, there are currently no treatment options to significantly and consistently improve ventilation in any of these disorders. By harnessing pathways or removing constraints on the pathways that underlie the ability of the respiratory system to adapt to ongoing pathology, we can enhance the contributions from spared motor neurons in the cervical spinal cord to prevent ventilatory deficits in a novel model of respiratory motor neuron loss. This project may lead to translational studies to positively increase the quality of life by preserving/restoring breathing in patients suffering from respiratory motor neuron loss, including those with neuromuscular disorders, neurodegenerative diseases or cervical spinal cord injury. Lastly, our studies may reflect general properties of motor systems in response to motor neuron death, and therefore may identify novel strategies to treat other (non-respiratory) motor behavior deficits.

VI. ABSTRACT:

*Bridget Comparato Kraus, B.S., MSOT, OTR/L*

*Feasibility and Acceptability of the Spinal Cord Injury Self-Management (SCISM) Program*

No improvements in life expectancy for people with spinal cord injury (SCI) have been made in over 40 years, despite drastic improvement in survival. This is in part due to the high rate of secondary health conditions (SHC) that the SCI population experiences such as pressure ulcers, respiratory health complications, urinary tract infections, mental health issues, and more leading to decreased quality of life, increased disability, and death. The overall objective of this study is to address this gap in care by helping individuals with SCI improve their ability to self-manage their health. The aims of this study are to evaluate the feasibility, acceptability, and estimate the effects of a virtual-based self-management program, the Spinal Cord Injury Self-Management (SCISM) Program. The SCISM Program will address the management and prevention of the most common SHC leading to costly hospitalizations, poor health outcomes, and limited participation in home and community roles. Participants with SCI will meet virtually once a week for eight weeks both in groups

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and individually (16 sessions total) to learn about and brainstorm strategies for self-management by creating individualized goals and action plans related to the weekly topic. During individual sessions, participants with SCI will work with an occupational therapist to further refine their action plans by addressing barriers and facilitators to successfully reach the goals they set during the group session. The data collection in this study will inform future development of the SCISM program which we hope will improve the health and wellbeing of persons with SCI.

## Annual Approval, Board Standing Committee Charters

### Executive Summary

Pursuant to Collected Rule and Regulation 10.050, Board Standing Committees, individual committee charters were developed that describe the following:

- The overall scope of the committee.
- Which University position serves as executive liaison to the committee.
- The responsibilities in reviewing and making recommendations on University matters.

The charters are to be reviewed by the individual committees and executive liaisons annually for any amendments and presented to the full Board for approval.

An annual review was conducted during January 2023, resulting in one minor change to the Academic, Student Affairs, Research and Economic Development committee charter and no recommended changes to the following charters:

- Audit, Compliance and Ethics
- Governance, Compensation and Human Resources
- Health Affairs
- Finance committees

The committee charters will be presented to the full Board for approval at their February 9, 2023 meeting.

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No. 1

Recommended Action - Board Standing Committee Charters

It was recommended by the Governance, Compensation and Human Resources Committee, endorsed by Chair Williams, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following action be taken:

that the Board Standing Committee Charters, as reviewed by the Committee Chairs and executive liaisons, be approved as attached.

Roll call vote of the Committee: YES NO

Curator Brncic  
Curator Holloway  
Curator Wenneker

The motion \_\_\_\_\_.

Roll call vote of the Board: YES NO

Curator Brncic  
Curator Graves  
Curator Hoberock  
Curator Holloway  
Curator Layman  
Curator Wenneker  
Curator Williams

The motion \_\_\_\_\_.

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## **CHARTER FOR ACADEMIC, STUDENT AFFAIRS, RESEARCH & ECONOMIC DEVELOPMENT COMMITTEE**

The Academic, Student Affairs, Research and Economic Development Committee (“Committee”) will review and recommend policies to enhance quality and effectiveness of academic, student affairs, research and economic development and align the available resources with the University’s academic mission.

### **I. Scope**

In carrying out its responsibilities, the Committee reviews and makes recommendations to the Board of Curators on strategies and policies relating to student and faculty welfare, academic standards, educational and instructional quality, intercollegiate athletics, degree programs, economic development, research initiatives, and associated programs.

### **II. Executive Liaison**

The ~~Senior~~ Associate Vice President for Academic Affairs of the University, or some other person(s) designated by the President of the University, with the concurrence of the Board Chair and the Committee Chair, shall be the executive liaison to the committee and responsible for transmitting committee recommendations.

### **III. Ex Officio Member**

The Student Representative to the Board of Curators shall be an ex officio member of the Committee.

### **IV. Responsibilities**

In addition to the overall responsibilities of the Committee described above and in carrying out its responsibilities, the charge of the Committee shall include reviewing and making recommendations to the Board on the following matters:

- A. Selection of Curators’ Distinguished Professors;
- B. Approval and review of new degree programs;
- C. Intercollegiate athletics, as specifically outlined in Section 270.060 of the Collected Rules and Regulations with a commitment to the academic success, and physical and social development of student-athletes;
- D. Changes to university-level admissions requirements, academic standards, student services, and graduation requirements;

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- E. Quarterly and annual reports providing information on academic programs that have been added, deactivated, or deleted;
- F. Provide oversight over the University of Missouri System's diversity, equity and inclusion programs;
- G. Highlight successful research and economic development efforts and partnerships; linking research and commercialization from the University with business and industry across the state and around the world;
- H. Additional matters customarily addressed by the academic, student affairs, research & economic development committee of a governing board for an institution of higher education.

Approved by the Board of Curators:  
4-09-20; Amended 2-4-21; 2-3-22

## **CHARTER FOR AUDIT, COMPLIANCE AND ETHICS COMMITTEE**

The Audit, Compliance and Ethics Committee (“Committee”) will review and recommend policies to enhance the quality and effectiveness of the University’s financial reporting, internal control structure and compliance and ethics programs.

### **I. Scope**

In carrying out its responsibilities, the Committee monitors and assesses the University’s financial reporting systems and controls, internal and external audit functions, and compliance and ethics programs.

### **II. Executive Liaison**

The Chief Audit and Compliance Officer of the University or some other person(s) designated by the President of the University, with the concurrence of the Board Chair and the Committee Chair, shall be the executive liaison to the committee and responsible for transmitting committee recommendations.

### **III. Responsibilities**

In addition to the overall responsibilities of the Committee described above and in carrying out its responsibilities, the charge of the Committee shall include:

#### **A. Reviewing and making recommendations to the Board in the following matters:**

1. the University risk assessment, audit plan and compliance plan;
2. in conjunction with the Governance, Compensation and Human Resources Committee, the appointment, compensation, annual performance evaluation and termination of the University’s Chief Audit and Compliance Officer;
3. the appointment, compensation, and termination of the university’s external auditors.

#### **B. Providing governance oversight regarding:**

1. development and monitoring a University code of conduct;
2. effectiveness of the internal control framework;
3. ensuring that the significant findings and recommendations are received, discussed and appropriately resolved;
4. procedures for reporting misconduct without the fear of retaliation;

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5. university compliance with applicable laws, regulations, and policies that govern all aspects of University operations including but not limited to the following:
  - a. Administrative compliance risks
  - b. Healthcare compliance risks
  - c. Research compliance risks
  - d. Information security compliance risks
  - e. Privacy compliance risks
6. those additional matters customarily addressed by the audit, compliance and ethics committee of a governing board for an institution of higher education.

C. Reviewing periodic reports regarding:

1. the independence, performance, resources and structure of the internal audit, compliance and ethics functions;
2. audit reports and open audit issue status updates;
3. management's written responses to significant findings and recommendations by the auditors;
4. the adequacy of the University's information technology methodology with regards to security, internal controls and data integrity assurance;
5. annual external audit reports, including audited financial statements, single audit and required procedures;
6. the effectiveness of the compliance and ethics program ensuring it has appropriate standing and visibility across the system;

Approved by the Board of Curators:  
4-09-20; 2-04-21; 2-3-22

## **CHARTER FOR FINANCE COMMITTEE**

The Finance Committee (“Committee”) oversees the fiscal stability and long-term economic health of the University. The Committee will review and recommend policies to enhance quality and effectiveness of the finance functions of the University.

### **I. Scope**

In carrying out its responsibilities, the Committee monitors the University’s financial operations, fundraising performance, debt level, capital priorities and investment performance; requires the maintenance of accurate and complete financial records; and maintains open lines of communication with the Board about the University’s financial condition.

### **II. Executive Liaison**

The Vice President for Finance of the University or some other person(s) designated by the President of the University, with the concurrence of the Board Chair and the Committee Chair, shall be the executive liaison to the Committee and responsible for transmitting committee recommendations.

### **III. Responsibilities**

In addition to the overall responsibilities of the Committee described above and in carrying out its responsibilities, the charge of the Committee shall include

- A. Reviewing and making recommendations to the Board on the following matters:
  - 1. University operating budget and financial plan;
  - 2. University capital budget and master facility plans;
  - 3. capital projects;
  - 4. tuition, fees and housing rates;
  - 5. state appropriation requests;
  - 6. pursuant to applicable Collected Rules and Regulations, contracts and reports;
  - 7. insurance brokers and self-insurance programs;
  - 8. pursuant to applicable Collected Rules and Regulations, real estate sales, purchases, leases, easements and right-of-way agreements;
  - 9. the issuance of debt;

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10. asset allocation guidelines and other policies related to the University's investment management function; and
11. additional matters customarily addressed by the finance committee of a governing board for an institution of higher education.

B. Providing governance oversight to:

1. long-range financial planning strategies;
2. fundraising and development strategies;
3. total indebtedness and debt capacity of the University;
4. the investment portfolio performance; and
5. the financial condition of the pension fund.

C. Reviewing periodic reports including:

1. quarterly and year-end financial reports that measure the University's fiscal condition;
2. annual purchasing reports on bids and equipment leases;
3. quarterly debt-management reports;
4. quarterly and year-end investment performance reports;
5. semi-annual reports on development and fundraising activities; and
6. other financial reports as requested by the Committee.

Approved by the Board of Curators:  
4-09-20; 2-04-21; 2-3-22

**CHARTER FOR GOVERNANCE,  
COMPENSATION AND HUMAN RESOURCES COMMITTEE**

**I. Governance, Compensation and Human Resources Committee**

The Governance, Compensation and Human Resources Committee (“Committee”) will review and recommend policies to enhance quality and effectiveness of the Board as well as compensation, benefits and human resources functions of the University.

**II. Governance**

**A. Scope**

In carrying out its responsibilities regarding governance, the Committee has the central authority of ensuring that board members are prepared to exercise their fiduciary duties and assisting the Board to function effectively, efficiently and with integrity.

**B. Executive Liaison**

The General Counsel of the University, or some other person(s) designated by the President of the University with the concurrence of the Board Chair and the Committee Chair, shall serve as executive liaison to the Committee on governance matters and be responsible for transmitting Committee recommendations related to governance.

**C. Responsibilities**

In addition to the overall responsibilities of the Committee described above, and in carrying out its responsibilities regarding governance, the Committee shall review and make recommendations on the following matters:

1. ensuring that Board members are prepared to carry out their fiduciary duties to the University;
2. providing and monitoring a substantive orientation process for all new Board members and a continuous board education program for existing Board members;
3. overseeing, or determining with the Board Chair and President, the timing and process of periodic Board self-assessment;
4. establishing expectations and monitoring compliance of individual Board members;
5. ensuring that the Board adheres to its rules of conduct, including conflict-of-interest and disclosure policies, and that it otherwise maintains the highest levels of integrity in everything it does;
6. periodically reviewing the adequacy of the Board's bylaws and other Collected Rules and Regulations adopted by the Board that pertain to its internal operations (all recommendations for bylaws amendment shall first be considered by this Committee);

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7. identifying best practices in institutional and Board governance;
8. monitoring and assessing external influences and relationships with affiliated entities;
9. assessing areas of expertise needed in future Board members; and
10. those additional matters customarily addressed by the governance committee of a governing board for an institution of higher education.

### **III. Compensation and Human Resources**

#### **A. Scope**

In carrying out its responsibilities regarding compensation and human resources, the Committee reviews and makes recommendations to the Board of Curators on strategies and policies relating to compensation, benefits and other human resources functions and associated programs.

#### **B. Executive Liaison**

The Vice President and Chief Human Resources Officer of the University, or some other person(s) designated by the President of the University, with the concurrence of the Board Chair and the Committee Chair, shall serve as executive liaison to the Committee on human resources and compensation matters and be responsible for transmitting committee recommendations related to human resources and compensation.

#### **C. Responsibilities**

In addition to the overall responsibilities of the Committee described above and in carrying out its responsibilities regarding human resources and compensation, the charge of the Committee shall include reviewing and making recommendations to the Board on the following matters:

1. Performance and compensation of individuals reporting directly to the Board:
  - a. President
  - b. General Counsel
  - c. Secretary of the Board of Curators
  - d. Chief Audit and Compliance Officer, in conjunction with the Audit, Compliance and Ethics Committee
2. Pursuant to Section 320.020 of the Collected Rules and Regulations, appointment or change of appointment of the following shall be reported to and approved by the Board before the effective date:
  - a. Vice Presidents
  - b. Chancellors

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c. Curators Professors

3. Intercollegiate Athletics

Pursuant to Section 270.060 of the Collected Rules and Regulations, contracts for Directors of Intercollegiate Athletics and Head Coaches may not exceed five (5) years and shall not include buyout clauses calling for the individual to receive more than the balance of the annual base salary the individual would have earned under the remaining terms of the contract, unless approved by the UM Board of Curators upon the recommendation of the President.

4. Benefit, retirement and post retirement plans, including an annual benefits report, as further defined in Section 520.010, Benefit Programs, of the Collected Rules and Regulations.
5. Additional employee benefits including the Education Assistance Program for University Employees, CRR 230.070, and Layoff and Transition Assistance, CRR 350.051.
6. Labor Union Recognition and matters as further defined in Section 350.020, Labor Union Recognition, of the Collected Rules and Regulations.
7. Employment related policies including those related to employee absences, conduct and grievances.
8. Provide oversight over the University of Missouri System's diversity, equity and inclusion programs.
9. Additional matters customarily addressed by the compensation and human resources committee of a governing board for an institution of higher education.

Approved by the Board of Curators:  
4-09-20; Amended 2-04-21; 2-3-22

## **CHARTER FOR HEALTH AFFAIRS COMMITTEE**

The Health Affairs Committee (“Committee”) assists the Board of Curators in overseeing the clinical health care operations of the University and in coordinating those operations in furtherance of the University’s teaching, research, and clinical missions.

### **I. Scope**

The Committee provides oversight for the University’s clinical health care operations in the areas of:

- Mission, vision, and strategy;
- Governance and operational oversight;
- Quality of care and patient safety;
- Regulatory compliance;
- Financial planning and performance;
- Coordination of the clinical, teaching, and research missions; and
- Specific projects that enable meaningful collaboration among UM universities.

### **II. Executive Liaison**

The Executive Vice Chancellor for Health Affairs of the University of Missouri-Columbia or some other person(s) designated by the President of the University, with the concurrence of the Board Chair and the Committee Chair, shall be the executive liaison to the Committee and responsible for transmitting Committee recommendations.

### **III. Responsibilities**

In addition to the overall responsibilities of the Committee described above and in carrying out its responsibilities regarding clinical health care operations, the charge of the Committee shall include:

- A. Reviewing and making recommendations to the Board regarding:
  1. actions that are appropriate or necessary to assist the Board in overseeing clinical health care operations or coordinating the teaching, research, and clinical missions;
  2. significant actions related to health care which should require advance notice or approval by the Committee or Board; and
  3. other matters referred to it by the Board and University officers.

- B. Requesting, receiving, and reviewing reports and other information from University officers and advisors regarding health care operations, coordination of the teaching, research, and clinical missions, and related matters, including meeting at least quarterly and receiving regular reports from appropriate officers of University of Missouri Health Care, the MU School of Medicine, and the MU Health Chief Compliance Officer.
- C. Additional matters customarily addressed by the health affairs committee of a governing board for an institution of higher education.

#### **IV. Committee Membership and Quorum Requirements**

The Committee's membership may include non-Curator members in addition to Curator members. Subject to approval of the Board, the Board Chair shall determine the number of Curator and non-Curator members to appoint to the Committee and shall select individuals to serve as members of the Committee; provided that, the number of non-Curator members on the Committee shall not exceed the number of Curator members on the Committee, unless the Committee temporarily has more non-Curator members than Curator members because a Curator member of the Committee has resigned from the Board or the Committee. Non-Curator members may resign their Committee membership by providing written notice to the Board Chair. Non-Curator members of the Committee serve at the pleasure of the Board and may be removed by the Board Chair at any time, subject to approval of the Board.

A quorum for the transaction of any and all business of the Committee shall exist when:

- A. Both a majority of all Curator members of the Committee and a majority of all members of the Committee are participating for Committee meetings which are held in conjunction with meetings of the Board; or
- B. Both all Curator members of the Committee and a majority of all members of the Committee are participating for Committee meetings which are not held in conjunction with meetings of the Board; or
- C. Both a majority of all Curator members of the Committee and a majority of all members of the Committee are participating for Committee meetings which are held solely for the purpose of reviewing and overseeing compliance matters.

Approved by the Board of Curators:  
4-09-20; Amended 2-04-21; 2-3-22



ANNUAL APPROVAL, BOARD STANDING  
COMMITTEE CHARTERS

Materials for this action item will be  
distributed prior to the meeting.

FY2023 Five-year Financial Plan and  
Recommended Financial Performance Targets  
UM

At the February Board of Curators Meeting, Chief Financial Officer Ryan Rapp will present the University’s five-year financial plan and targets for Board Action. The financial planning process allows leaders to connect financial outcomes to strategy over a multi-year horizon. To be successful, strategy and financial position must be aligned. The financial planning process is not a budget, but a means to test the reasonableness of strategic initiatives and investments. Financial planning balances operating performance with capital needs and debt capacity across multiple budget cycles. Financial planning also seeks to prioritize investments, quantify future risks, and consider alternative scenarios through the process. The financial plan serves as the starting place for the FY2024 budget process.

The University utilizes the financial planning process to set financial performance targets as defined in Collected Rule 140.025. Targets are set by President and Chief Financial Officer and approved by the Board of Curators. The target setting process provides the Board with a formal process to hold leadership accountable for financial outcomes over a multi-year horizon.

**EXECUTIVE SUMMARY**

The current five-year plan reflects a stable operating environment for the academic units and an industry experiencing acute financial challenges for MU Healthcare. The key risk for the academic enterprise is enrollment, as demographic factors place pressure on the number of students attending college. Each budget process through the planning horizon will be important, as cost management must occur if the academic units do not maintain or grow enrollments. MU Healthcare’s plan reflects management’s commitment to improve financial performance and return to historical levels over the five-year planning horizon. The first phase of the recovery plan is a two-year stabilization plan to stem the cost growth, with the three out years of the plan representing a measured return to historical performance levels.

The University’s financial planning process defines the University’s financial performance targets for the upcoming fiscal year. The University uses Moody’s higher education framework to define financial performance targets. The proposed performance targets remain unchanged from the prior year and are set to maintain the University’s wealth while supporting investments in growth.:

Table 1: Financial Accountability Targets by Unit

	UM	MU	UMKC	Missouri S&T	UMSL	MU Healthcare
Operating Margin	>2.5%	>2.0%	>1.0%	>2.0%	>1.0%	>7.0%
Spendable Cash to Operations	>1.0	>0.80	>0.55	>0.80	>0.55	200 DCOH
Spendable Cash to Debt	>2.0	>1.6	>1.0	>1.6	>1.0	>1.5
Debt Service Coverage*		>3.0	>2.5	>3.0	>2.5	>4.5
<i>*Metric used to determine if unit can afford to take on additional debt service</i>						

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On a consolidated basis, the five operating units' plans produce results that meet the consolidated targets across the planning horizon. While some units fall below target in a single year, the consolidated enterprise remains above target across the planning horizon:

Table 2: UM Financial Accountability Metrics to Proposed Target

	Proposed Target	FY2023	FY2024	FY2025	FY2026	FY2027
Operating Margin	>2.5%	2.5%	2.5%	3.6%	3.2%	3.6%
Spendable Cash to Operations	>1.0	1.1	0.9	1.0	1.0	1.0
Spendable Cash to Debt	>2.0	2.1	2.2	2.4	2.5	2.7
Debt to Cash Flow*	<4.0	4.4	4.1	3.6	3.6	3.4
<i>*Debt to Cash Flow is utilized for consolidated target instead of debt service coverage for debt affordability to account for bullet maturities</i>						

Key themes across the financial plan include:

1. Universities have replenished reserve balances and have capacity to invest in strategic initiatives and capital projects that support ongoing operating performance. MU Healthcare is below target on reserves and operating performance and must carefully manage resources to maintain financial performance.
2. Enrollment growth will be challenging in the future as Missouri high school graduates are projected to decline in 2026. The demographic pressures impact the universities in the last fiscal year of the current financial plan. Planned enrollment growth differs by university, and most enrollment growth underwrites recurring expenditure growth. UMSL is dependent on enrollment growth to support its current expenditure base.
3. The federal stimulus packages and current state budget surpluses offer the universities the opportunity to receive significant capital funding. Some of these extramural sources will require a matching component, and each institution has a different financial capacity to generate the funding to meet a match component. Institutions with low operating margins and smaller relative balance sheets have a higher level of risk in meeting the matching requirements over the plan horizon.
4. MU Healthcare faces financial constraints as expenditure growth has outpaced operating revenue growth while significant capital investment exhausts the health system's debt capacity. MU Healthcare's financial plan represents management's commitment to restore financial performance to target over the five-year horizon. If MU Healthcare's reserves fall below 150 days (25% less than target) in FY2023 or FY2024, MU Healthcare will submit a turnaround plan to the President and provide a detailed update to the Finance Committee.
5. The plans were built on the assumption that inflation would remain high over the next two years then level off at lower levels. Sustained increases in inflation will drive costs higher and force the University to respond with further price increases. Consistently high inflation will make it difficult for the universities to realize price increases in line with increased costs.

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No. 1

Recommended Action - FY2022 Five-year Financial Plan and Recommended Financial Performance Targets, UM

It was recommended by President Choi and Executive Vice President Ryan Rapp, recommended by the Finance Committee, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following recommendations be approved:

The financial performance targets for the University of Missouri, MU, UMKC, Missouri S&T, UMSL and MU Healthcare as presented in executive summary.

Roll call vote of the Committee: YES NO

Curator Graves  
Curator Hoberock  
Curator Layman  
Curator Wenneker

The motion \_\_\_\_\_.

Roll call vote of The Board of Curators: YES NO

Curator Brncic  
Curator Graves  
Curator Hoberock  
Curator Holloway  
Curator Layman  
Curator Wenneker  
Curator Williams

The motion \_\_\_\_\_.

## **Financial Plan**

The financial planning process allows leaders to connect financial outcomes to strategy and make decisions that are in the institution's best interests over a multi-year horizon. Financial planning quantifies operating performance, capital investments and debt utilization over a five-year planning horizon as they relate to strategic plans.

A good financial plan will:

- Link the institution's strategic mission to measurable financial outcomes
- Identify which strategies can be supported financially given the institution's resource capacity
- Quantify future financial risk, consider alternative scenarios, and help determine reactions to changes
- Mitigate risk in a proactive manner
- Support decision making with better data and allow those decisions to be communicated throughout the organization

The financial planning process is also when the University proposes financial performance targets for each operating unit for the upcoming plan. Per Collected Rule 140.025, primary responsibility for deciding financial performance targets for the enterprise rests with the UM System President and UM System Chief Financial Officer (CFO) and will be approved by the Board of Curators. Each Chancellor/CEO and their respective chief financial officer are responsible for meeting the financial performance targets over time. Updates to financial performance are provided annually with the financial status report in the fall and in quarterly budget to actual updates mailed to the Board.

## **The Financial Performance Formula**

The financial performance formula demonstrates the sources and uses of cash across the financial plan and is a simplistic way to look at the tradeoffs within financial plans and targets. The formula shows the relationships amongst the key components of financial performance and how they move together over time:

Starting Reserves + Operating Performance +/- Debt – Capital Spending = Ending Reserves

Units with higher operating performance can afford higher levels of capital investment and debt issuance. The formula also shows that institutional wealth (reserves) only moves as a function of operating performance, debt issuance and repayment, and investment in capital. The only formula element that generates wealth over the long term is operating performance, as debt must always be repaid with interest and investment in capital spends resources.

## Financial Performance Targets

The University uses the Moody’s Higher Education Framework as the basis for the financial performance targets. By utilizing Moody’s Framework, the University ensures that financial performance aligns with the quantitative aspects of the institution’s credit rating.

The targets included in the framework are:

- **Operating Margin** demonstrates management’s ability to adjust expenditures within revenues received in an annual period. Operating margin is managed by the University through the annual budget process which is approved by the Board in June.
- **Spendable Cash to Operations** shows the relative size of liquid wealth (non-endowed investments) to the operating expenses of the organization. This wealth metric targets the size of reserves to the expenditure base they support. Reserve numbers for academic organizations tend to be large, as expenditure bases are large and business cycles are long.
- **Spendable Cash to Debt** shows the relative size of liquid wealth compared to the outstanding debt of the organization. This metric moves over a longer time horizon, eroding when debt is issued and rebuilding as cash grows with positive operating margins.
- **Debt Service Coverage** measures the ability to generate cash flow to pay debt service. The University evaluates debt affordability with each project for approval, and then manages total affordability for each business unit with debt service coverage. On the consolidated basis, the University uses **debt to cash flow** to account for bullet maturities.

Targets approved by the Board in February 2022 were set to pre-pandemic levels based upon industry and peer financial performance indicators. Due to the ongoing disruption from the pandemic and market financial indicators remaining volatile, UM System Finance has proposed that the performance targets remain unchanged from the prior year. Performance targets represent long term goals. The pandemic created large shifts in actual performance, first with a drop-off then with a significant recovery on federal stimulus and investment performance. The University and its financial advisor expect industry financial performance to stabilize at pre-pandemic averages. This will continue to be reviewed on an annual basis:

Table 3: Financial Accountability Targets by Unit

	UM	MU	UMKC	Missouri S&T	UMSL	MU Healthcare
Operating Margin	>2.5%	>2.0%	>1.0%	>2.0%	>1.0%	>7.0%
Spendable Cash to Operations	>1.0	>0.80	>0.55	>0.80	>0.55	200 DCOH
Spendable Cash to Debt	>2.0	>1.6	>1.0	>1.6	>1.0	>1.5
Debt Service Coverage*		>3.0	>2.5	>3.0	>2.5	>4.5
<i>*Metric used to determine if unit can afford to take on additional debt service</i>						

The UM System Finance team will continue to monitor financial performance trends in the industry or significant shifts in strategy necessitating a change in target for either the consolidated enterprise or amongst the units.

## Consolidated Performance

On a Consolidated basis, the five operating units' plans produce results that meet enterprise targets across the planning horizon. While some units fall below target in a single year, the consolidated enterprise's wealth is maintained across the planning horizon:

Table 4: UM Financial Plan Performance to Proposed Target

	Target	FY2023	FY2024	FY2025	FY2026	FY2027
Operating Margin	>2.5%	2.5%	2.5%	3.6%	3.2%	3.6%
Spendable Cash to Operations	>1.0	1.1	0.9	1.0	1.0	1.0
Spendable Cash to Debt	>2.0	2.1	2.2	2.4	2.5	2.7
Debt to Cash Flow*	<4.0	4.4	4.1	3.6	3.6	3.4
<i>*Debt to Cash Flow is utilized for consolidated target for debt affordability due to bullet maturities</i>						

Table 5: Consolidated Financial Performance Formula

Operating Performance	+/-	Net Debt	-	Net Capital	➔	Ending Reserves
<b><i>Historical Financial Performance FY2018-2022</i></b>						
\$2.6 B	-	\$(0.4) B	-	\$(1.2) B	➔	\$3.8 B
<b><i>Projected Financial Performance FY2023-2027</i></b>						
\$2.3 B	-	\$(0.5) B	-	\$(1.1) B	➔	\$4.5 B
<b><i>Targeted Financial Performance FY2023-2027</i></b>						
\$2.1 B	-	< \$(0.1) B	-	< \$(1.1) B	➔	\$4.5 B
Target 2.5% <b><i>Operating Margin</i></b>		Target 2.0 <b><i>Spendable Cash to Debt</i></b>				Target 1.0 <b><i>Spendable Cash to Operations</i></b>

## Enrollment Impact on Financial Plan

Enrollment is the key factor to meeting the revenue projections in each academic institution's financial plan. Enrollments drive both tuition and auxiliary revenues; any declines put pressure on the expenditure base. Enrollment at public institutions has fallen over the past five years. Enrollment growth will be further challenged in the future as Missouri high school graduates are projected to decline beginning in 2026. This decline would impact the universities in the last fiscal year of the financial plan. Without enrollment growth, institutions must find other revenue streams such as grants & contracts or else face cost reduction actions.

Table 6: Historical Enrollment Headcount to Planned Headcount Enrollment Change

Unit	Historical FY2018-22		Projected FY2023-27	
	Change	% Change	Change	% Change
MU	(1,829)	(5%)	(556)	(2%)
UMKC	(1,254)	(9%)	688	6%
Missouri S&T	(1,450)	(18%)	269	4%
UMSL	(2,290)	(21%)	(381)	(4%)

Enrollment as measured by headcount of undergraduate, graduate, and professional students. Excludes dual-credit high school as these students do not significantly contribute to revenue.

### **Plan Highlights by Business Unit**

*MU*'s plan projects moderate revenue growth on continued research growth coupled with stable enrollment and inflationary growth in state and tuition rates. Recurring operating revenues in the plan grow by 3% per year over the planning horizon after growing by 4% for the previous five-year period. *MU*'s financial plan includes an incoming first-time freshman cohort of 5,500 students across FY2024 to FY2027. This cohort size is larger than the past two years for first time college students. Enrollment growth over historical trends in the financial plan equates a \$22 million risk on a cumulative basis across five years for *MU*.

Over the plan, expenses grow in-line with revenues and operating margin remains at target. Faculty hires included in the plan are supported by continued research growth. If revenue streams to support Mizzou Forward strategic initiatives are not realized, *MU*'s financial performance provides for time to adjust expenditures to recurring revenue streams. *MU*'s capital plan includes significant investments from both federal and state sources for specific purposes. Further updates will be provided on the capital plan as the University receives more clarity from the state through the 2023 legislative session.

#### MU Financial Performance Formula:

Timeframe	Operating Performance	+/-	Net Debt	-	Net Capital	➔	Ending Reserves
Historical (2018-2022)	\$996M	-	\$(151)M	-	\$(625)M	➔	\$1,281M
Planned (2023-2027)	\$985M	-	\$(270)M	-	\$(300)M	➔	\$1,696M
Plan Target	>\$979M		<56M				>1,471M

*UMKC*'s financial health improved with the federal stimulus funding and cost containment measures put into place after five years of consistent negative operating margins. Academic realignment reduced the number of schools and colleges and closed programs, providing *UMKC* with the flexibility to make investments which produce future returns to support the mission of the institution.



UMKC’s financial plan reflects continuing previous revenue growth trends while managing costs within available revenue streams. Enrollment projections generate increased enrollment in key graduate and professional programs while undergraduate enrollment remains stable. The enrollment growth included in the financial plan compared to historical trends equates to a \$63 million risk across five years. The financial plan includes continued research growth at rates similar to those from the prior five years.

UMKC’s financial plan includes faculty and staff hires to support enrollment growth, hiring that will not happen without the enrollment growth and related revenues. The plan also includes additional expenditures to support building and physical plant maintenance that was deferred through the pandemic. UMKC’s financial capacity has the ability to sustain a miss on enrollment as long as operating expenditures do not outpace enrollment growth.

UMKC Financial Performance Formula:

Timeframe	Operating Performance	+/-	Net Debt	-	Net Capital	➔	Ending Reserves
Historical (2018-2022)	\$314M	-	\$(122)M	-	\$(23)M	➔	\$319M
Planned (2023-2027)	\$203M	-	\$(62)M	-	\$(132)M	➔	\$328M
Plan Target	>\$194M		<62M				>289M

**Missouri S&T’s** financial plan reflects significant investments to become one of the top STEM focused universities in the country. Operating revenues in the plan grow by 30% over the five-year period. In the previous five years, revenues for S&T grew by 2%.

Missouri S&T’s plan includes a cumulative \$47 million in enrollment-related revenue growth over the five-year planning horizon. Missouri S&T experienced a 20% decline in first-time college (FTC) over the past five years. The smallest FTC cohort was in Fall 2020, and has since remained flat. The financial plan for the next five years is to slowly build the FTCs back, growing by about 6% over the plan term. The growth in the planning horizon includes retention and recruitment initiatives along with new degree programs that generate additional enrollment growth. Compared to the historical trend, the enrollment risk included in Missouri S&T’s financial plan is \$47 million across the five years. Unlike UMKC where the majority of the growth occurs in graduate programs, S&T’s growth is concentrated in undergraduate students. In addition to tuition, philanthropy grows by \$64 million from the Kummer Institute (KI) distributions. Research grows in the plan at historical rates.

Over the plan, expenses grow in-line with revenues reflecting additional investment in S&T’s key initiatives. Faculty and staff grow back to 2018 levels to support enrollment growth. If expense increases happen before enrollment growth, cost reductions will be necessary if enrollment growth and related revenues are not realized. Compensation for additional hires totals \$31 million across the plan.

Missouri S&T Financial Performance Formula:

Timeframe	Operating Performance	+/-	Net Debt	-	Net Capital	➔	Ending Reserves
Historical (2018-2022)	\$240M	-	\$(51)M	-	\$(135)M	➔	\$222M
Planned (2023-2027)	\$207M	-	\$(52)M	-	\$(139)M	➔	\$238M
Plan Target	>\$191M		<34M				>222M

UMSL’s financial plan is built upon recapturing lost enrollments to match the institution’s expenditure base. Regaining these enrollments represent the key risk in UMSL’s financial plan, as current revenues are insufficient to support ongoing expenditures. Over the past 10 years, UMSL’s enrollment has declined by 30% while it’s faculty and staff headcount has declined by 18%. The plan requires enrollment growth and improvement in net tuition per student starting in FY2024 and sustaining through the plan term. If enrollment growth is not achieved, expense reductions will be necessary.

UMSL’s student population differs from the other three institutions. 43% of UMSL undergraduate population is part-time and 70% of the graduate students are also part-time. These students’ consumption patterns are more sensitive to economic shifts and are more difficult to predict. UMSL’s plan targets 4% annual enrollment growth over fiscal years 2024-2027 for undergraduates. UMSL plans a shift towards full-time students with this change which should provide for more stable consumption. There is a \$42 million enrollment risk over historical trends included in the financial plan.

If enrollment growth is not achieved, UMSL will need to identify cost reductions of \$8 million annually on a recurring basis through the annual budget cycle. If permanent reductions are not recognized with current enrollment levels, UMSL will draw cash reserves and may fall below target. The plan includes investments to enable space consolidation and reduce the load of the building footprints to a more reasonable level for the future. Even with enrollment growth, UMSL’s physical footprint is too large for the ongoing operations.

UMSL Financial Performance Formula:

Timeframe	Operating Performance	+/-	Net Debt	-	Net Capital	➔	Ending Reserves
Historical (2018-2022)	\$153M	-	\$(52)M	-	\$(46)M	➔	\$155M
Planned (2023-2027)	\$112M	-	\$(51)M	-	\$(46)M	➔	\$169M
Plan Target	>\$125M		No Additional Capacity				>134M

**MU Healthcare** faces financial constraints currently, which differs from the academic units who may face future challenges, but maintain above target performance. MU Healthcare’s expenditure growth has outpaced operating revenues over the past three years while capital investments have exhausted the health system’s debt capacity. As of FY2022, MU Healthcare is the only business unit below its wealth/reserve target. Operating performance for FY2022 was below the five-year target level. Operating performance for FY2023 YTD through the second quarter is below target.

MU Healthcare’s financial plan represents management’s commitment to turn around operating performance and restore financial performance to target over the five-year planning horizon. The financial plan includes a reforecast of FY2023 with projected operating income of \$30M after interest expense and targeted operating income of \$67M for FY2024. Days cash on hand ends at 166 days for FY2023 and 155 for FY2024. If MU Healthcare’s reserves fall below the 200 days cash on hand target by more than 25% (i.e., MU Health’s DCOH < 150 DCOH), they will submit a turnaround plan to the President and provide a detailed update to the Finance Committee on a turnaround plan. Management has committed to hitting both the operating margin and days cash on hand numbers reflected in the plan through FY2023 and FY2024.

MU Healthcare’s plan includes annual volume growth of 3-4% driven by strategic subspecialty growth. Controlling operating expenses will require reductions in agency labor and improving productivity as measured by labor per occupied bed. MU Healthcare’s financial plan also includes a reduction of planned capital investments until reserve levels begin to replenish. MU Healthcare’s plan does not include the Medical Alliance and its affiliates.

**MU Healthcare Financial Performance Formula:**

Timeframe	Operating Performance	+/-	Net Debt	-	Net Capital	➔	Ending Reserves
Historical (2018-2022)	\$439M	-	\$(43)M	-	\$(415)M	➔	\$555M
Historical Target	\$503M		<\$44M		No More than \$380M	➔	\$687M
Planned (2023-2027)	\$645M	+	\$94M	-	\$(470)M	➔	\$824M
Plan Target	>\$763M		No Additional Capacity				>\$824M

**Capital Investments**

The state and federal budget have awarded \$540 million to support specific capital investments. The financial plans do not include any additional capital from the state for the 2023 legislative session. Some of these extramural sources may require a matching component, and each institution has a different financial capacity to generate the funding to meet a match component. With the substantial amount of external funding awarded and

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project timelines, each university will be tasked with completing projects on time and managing spend within externally defined restrictions. Five-year capital plans are presented to the Board for approval at the April meeting.

Table 7: Capital Investment included in the Financial Plan by Funding Source

<i>\$'s in millions</i>	Reserves	Debt	External Sources			Total
			Gifts	Federal	State	
MU	\$309	\$7	\$99	\$207	\$156	\$778
UMKC	94	37	190	23	42	386
Missouri S&T	139		119	23	47	328
UMSL	46		33		43	122
MU Healthcare	248	222	35			505
<b>Total</b>	<b>\$837</b>	<b>\$266</b>	<b>\$476</b>	<b>\$253</b>	<b>\$288</b>	<b>\$2,120</b>
<b>5-yr Historical Spend</b>	<b>\$1,026</b>	<b>\$216</b>	<b>\$199</b>	<b>\$28</b>	<b>\$30</b>	<b>\$1,499</b>

### Consolidated Credit Rating & Debt Capacity

At the April 2023, Board of Curators meeting, UM Finance will provide an update to the Board on the university’s consolidated credit rating and debt portfolio. Within the financial plan, debt demand from the universities remains limited. The financial planning process did not identify any new debt funded capital projects, but it is possible the budget process will identify projects with sufficient cash flows to fund new debt. In the current enrollment environment, the universities remain hesitant to take on additional debt service without certain operating cash flows to fund the debt service.

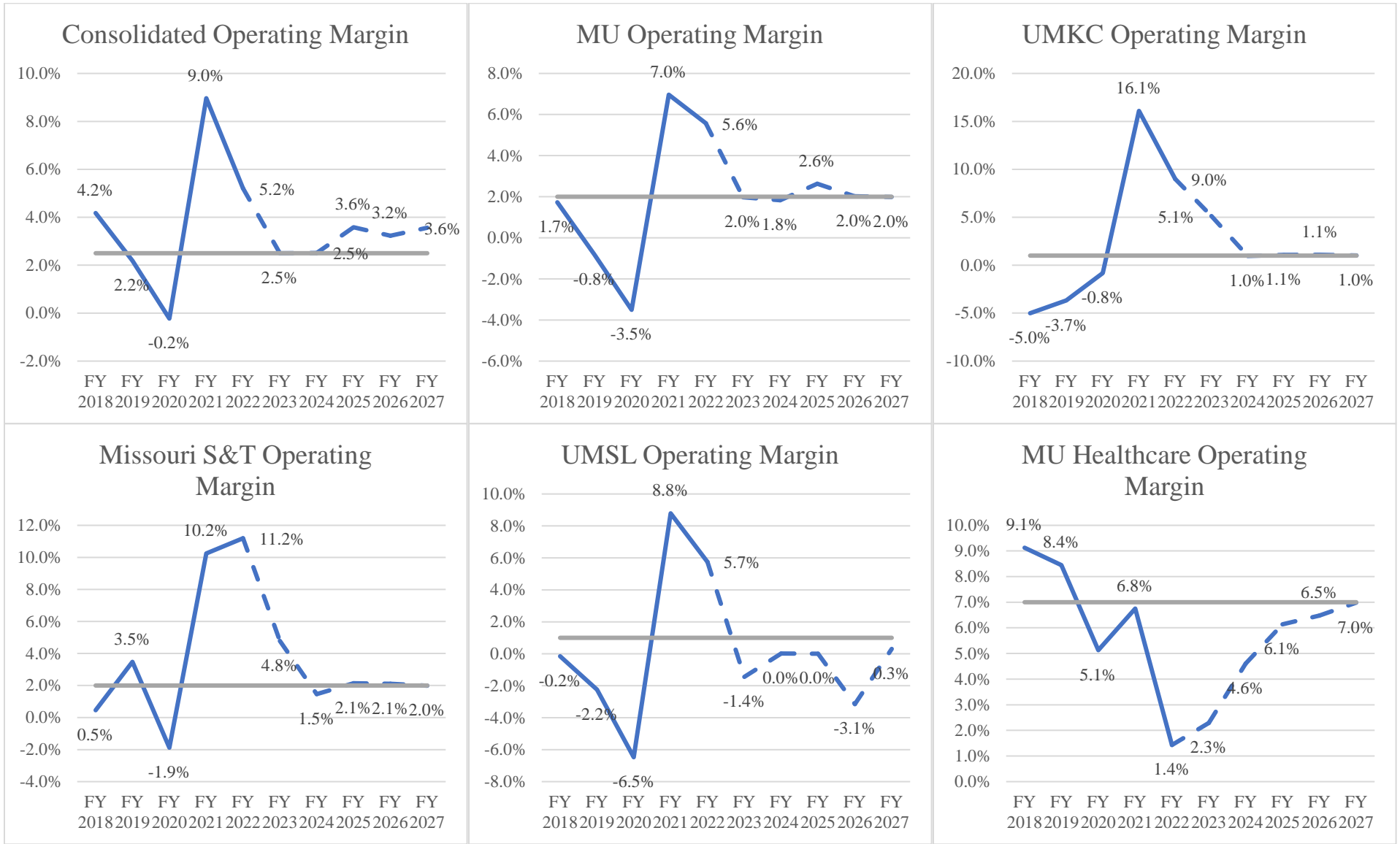
### Next Steps

With the approval of the financial plans, the University will begin preparations for the FY2024 budget cycle. Key actions in the cycle include:

- April: Operating Budget Update, Debt Update and Capital Plan Approval
- May: Special Meeting to Approve Tuition & Fees
- June: FY2024 Budget Approval and FY2025 Request for Appropriations
- November: Financial Status Update

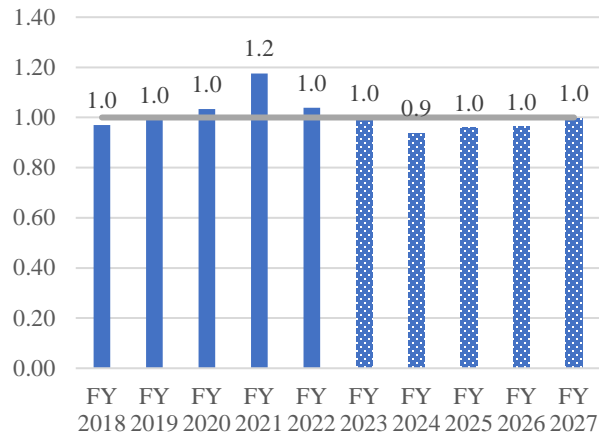
To be successful, strategy and financial position must be aligned. The February 2023 financial plans position the Universities to achieve their strategic goals balanced within financial performance and for MU Healthcare to recover to prior levels of performance. Going forward, it is incumbent upon the University leaders to build a budget in line with these financial plans and deliver actual performance within that planned budget.

### Appendix: Financial Accountability Metrics by Unit

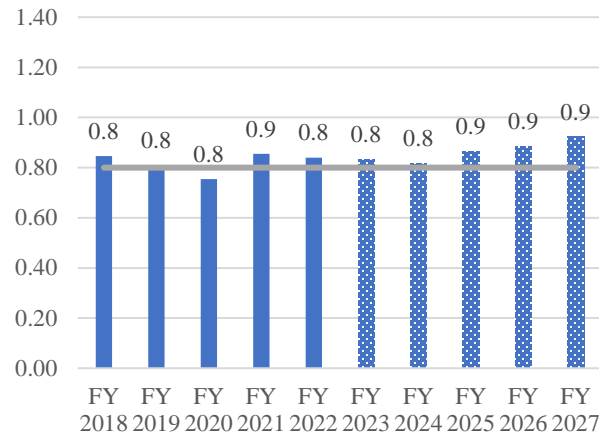


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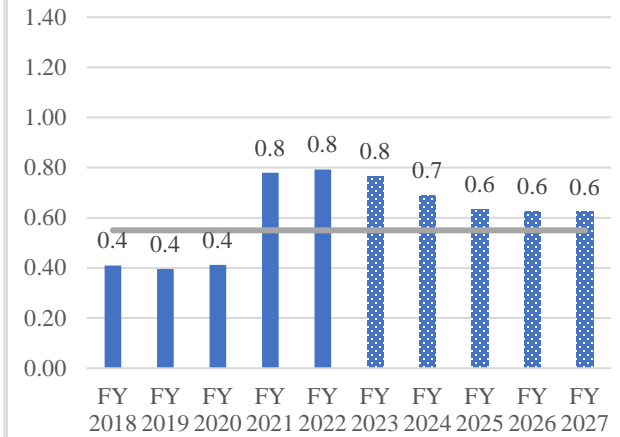
Consolidated Spendable Cash to Operations



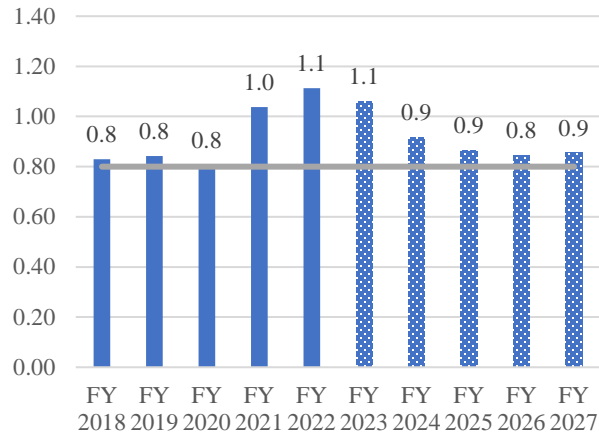
MU Spendable Cash to Operations



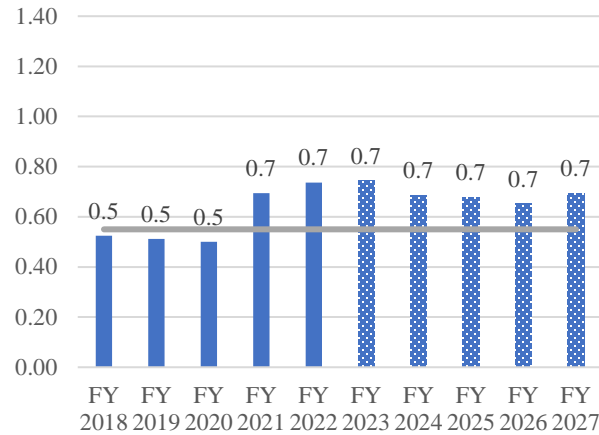
UMKC Spendable Cash to Operations



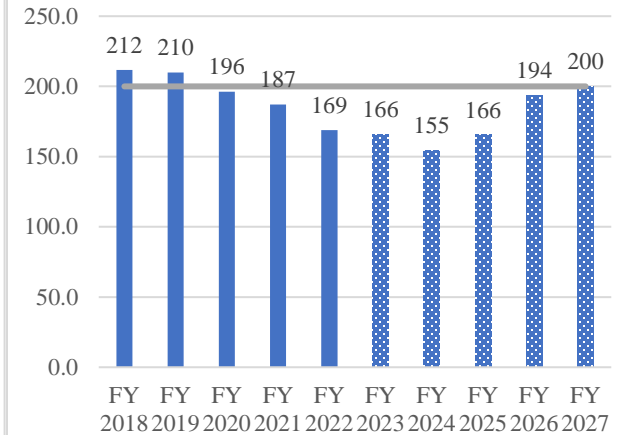
Missouri S&T Spendable Cash to Operations

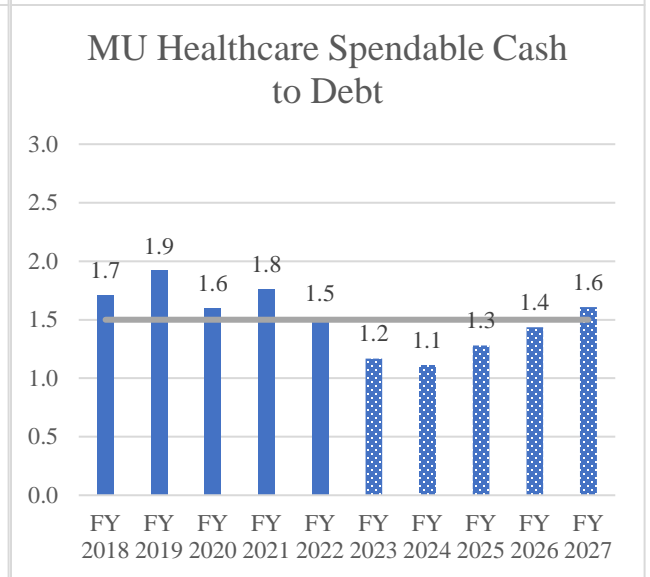
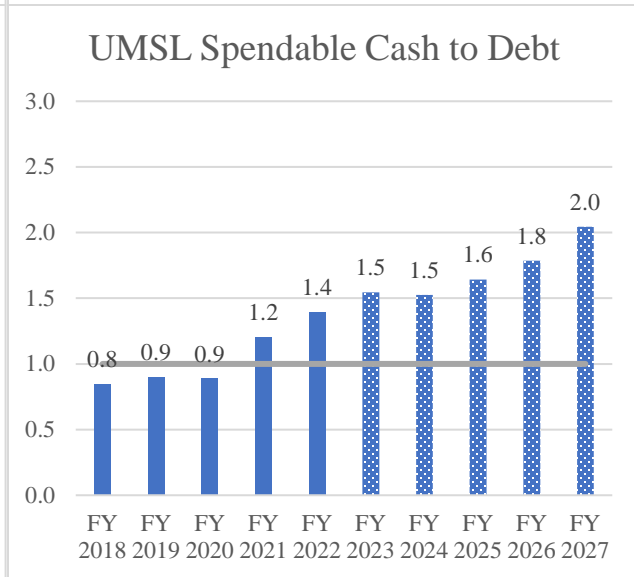
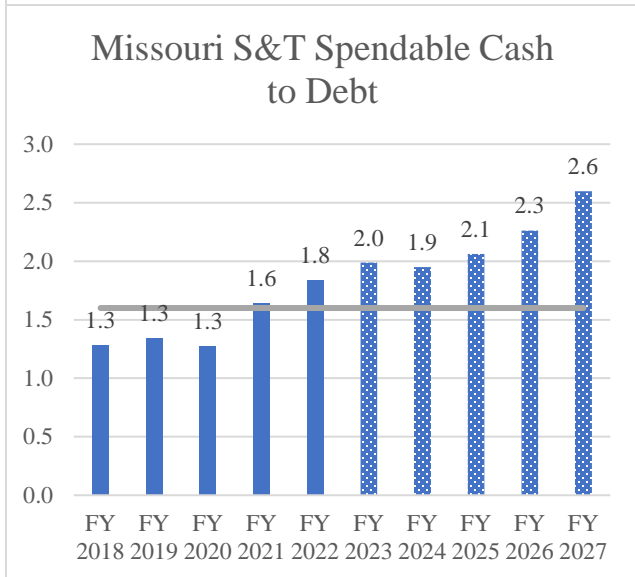
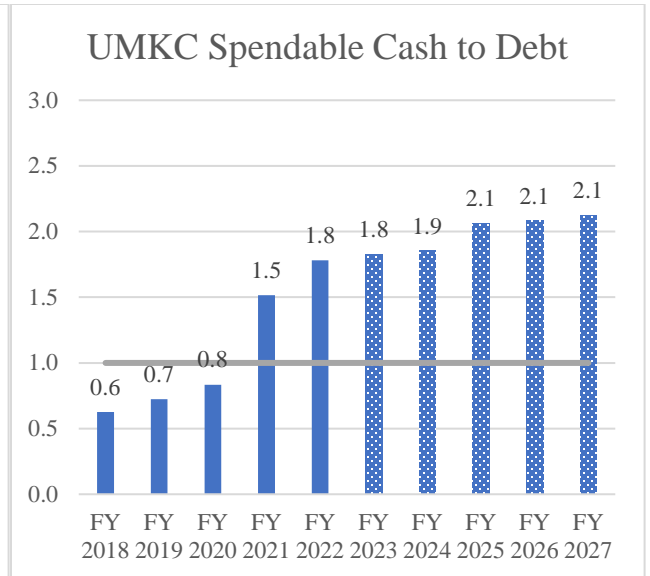
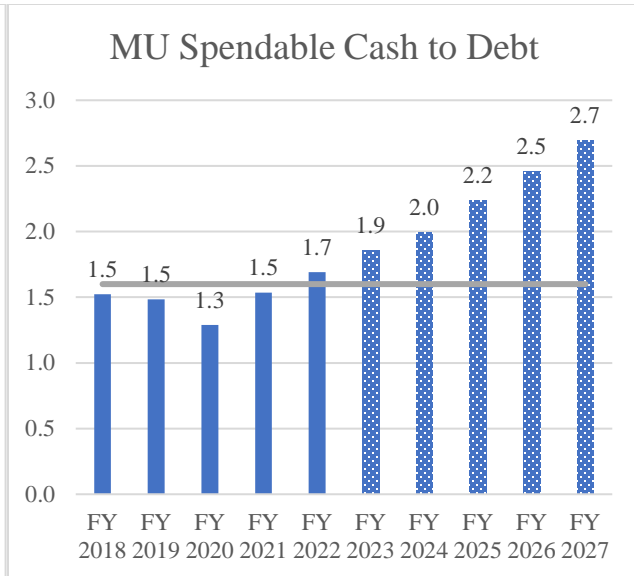
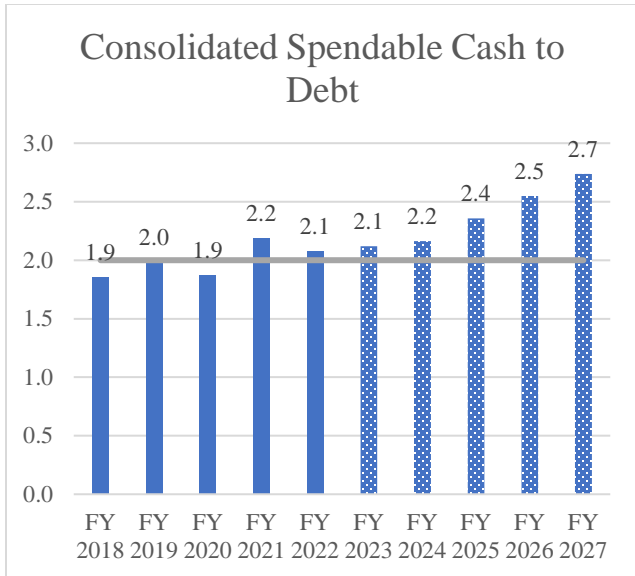


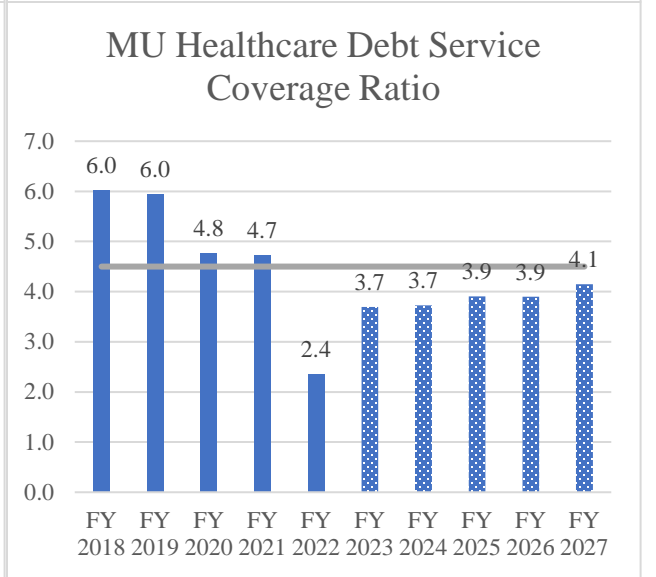
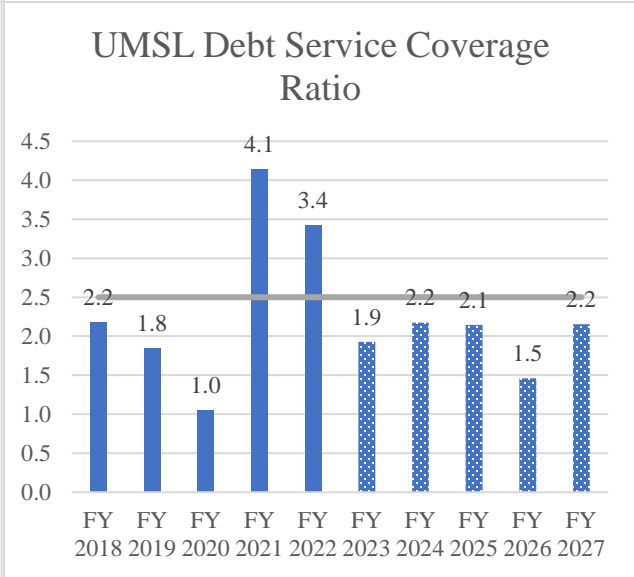
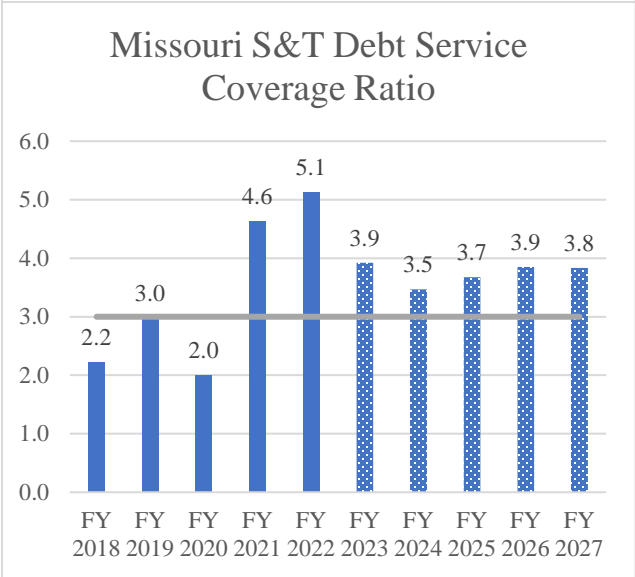
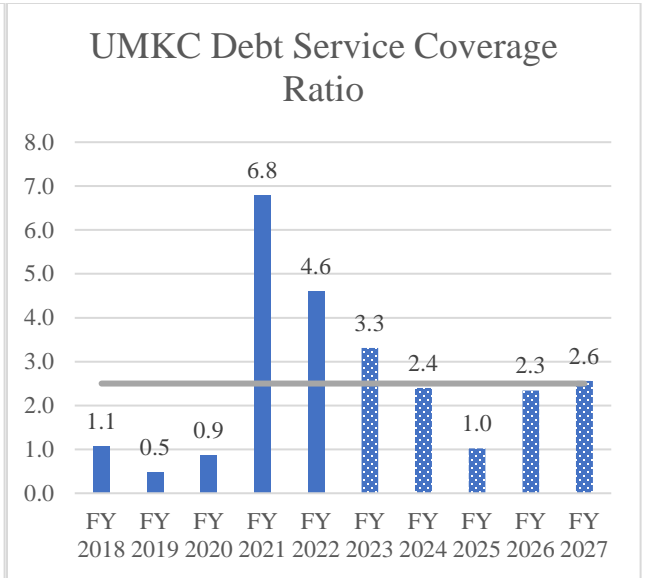
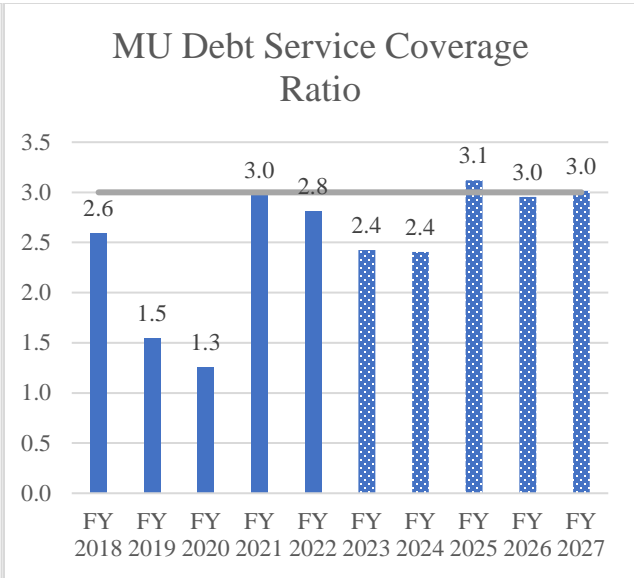
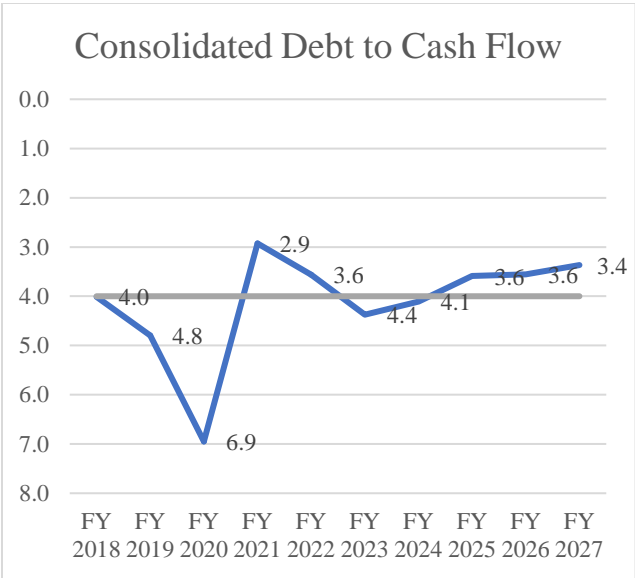
UMSL Spendable Cash to Operations



MU Healthcare Days Cash on Hand









# FY 2023 Five-year Financial Plan and Recommended Targets

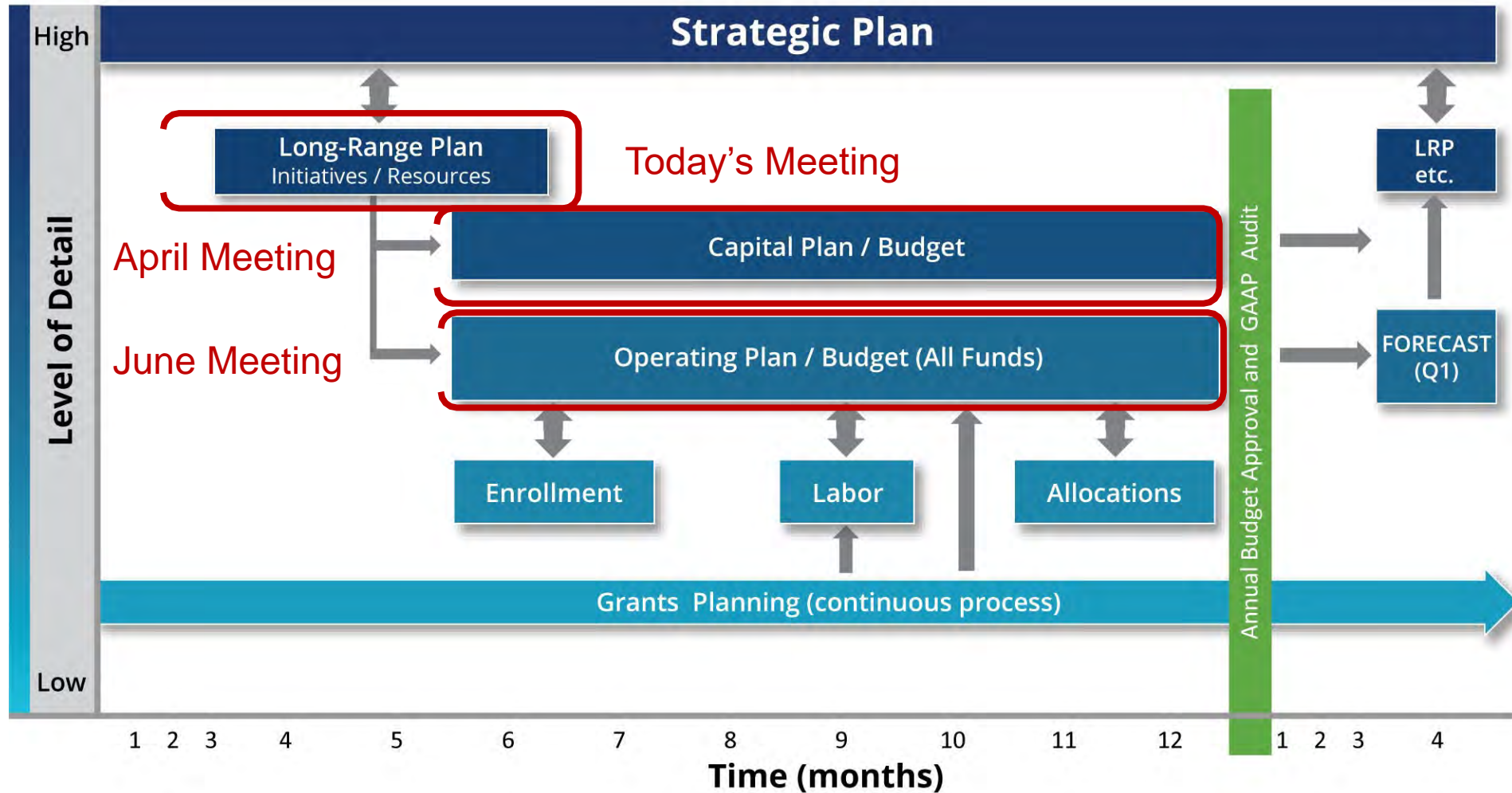
February 9, 2023



# Financial Accountability Remains Key

- Board Approves financial performance targets as a part of the financial planning process – Today's Action
- University Leadership is responsible for:
  - Managing financial performance within target
  - Balancing financial resources with mission demands
  - Completing financial plans that tie together resources
- Consequences for falling below target include:
  - Lack of participation in strategic dividend investment
  - Capital project prohibition
  - Debt prohibition
  - Reserve Lockbox

# Financial Plan Used to Define Performance



# Recommended Financial Performance Targets

The proposed performance targets for the upcoming planning cycle were developed to maintain the University's wealth while supporting investments in growth

	UM	MU	UMKC	Missouri S&T	UMSL	MU Healthcare
Operating Margin	>2.5%	>2.0%	>1.0%	>2.0%	>1.0%	>7.0%
Spendable Cash to Operations	>1.0	>0.80	>0.55	>0.80	>0.55	200 DCOH
Spendable Cash to Debt	>2.0	>1.6	>1.0	>1.6	>1.0	>1.5
Debt Service Coverage*		>3.0	>2.5	>3.0	>2.5	>4.5

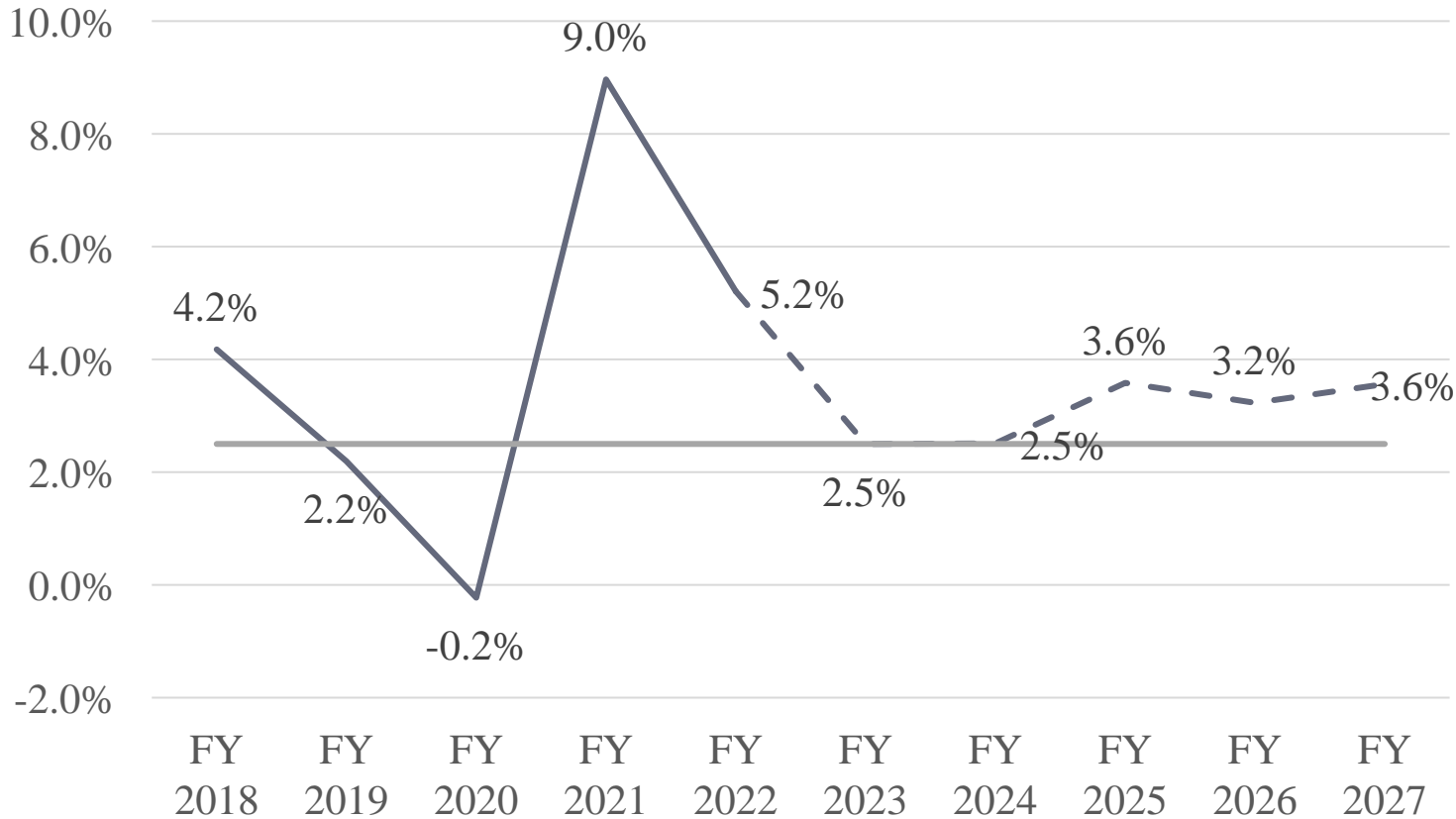
*\*Metric used to determine if unit can afford to take on additional debt service*

# Key Themes

- Academic units have balance sheet capacity to invest in ways that support ongoing balanced operating performance.
- Enrollment growth is the key driver of and risk to future revenues.
- Plans incorporate significant extramural capital available through state and federal sources. More detailed capital plans will be shared at the April meeting.
- MU Healthcare faces financial constraints as it faces financial headwinds similar to others within the industry. Management remains focused on returning financial performance to historical levels over the plan.
- Plans were built on the assumption that inflation would start out high and return to historical levels. Consistently high inflation makes it difficult to realize revenue increases at the same rate as cost increases.

# Final Plans Meet Performance Targets on Consolidated Basis

Consolidated Operating Margin



- Cash to operations ends at 1.0 on target of 1.0
- Cash to debt ends at 2.7 on target of 2.0
- Cash flow to total debt remains better than target by 15%

# Next Steps

- February: Board approves financial plan and financial performance targets
- April: Budget Update, Debt Update and Capital Plan Approval
- May: Special Meeting to Approve Tuition and Fees
- June: FY2024 Budget Approval

*The key to our continued financial success is each individual unit managing their operations in a sustainable manner and prioritizing investments*

# Questions?



Project Approval  
National Swine Resource and Research Center – Addition  
MU

University of Missouri – Columbia requests project approval for the National Swine Resource and Research Center (NSRRC) – Addition project. The total project budget of \$8,000,000 will be funded by a \$7,969,580 National Institutes of Health (NIH) CO6 Grant and \$30,420 from University funds.

The National Swine Resource and Research Center (NSRRC) is the only NIH funded swine resource center to develop and supply swine models to biomedicine fields. Over the past 19 years, the NSRRC has developed the infrastructure needed to assist swine-based research across multiple disciplines. Increasingly, pigs are being used as models for human disease, and pig models are predicted to make a major contribution to the FDA Critical Path and NIH National Center for Advancing Translational Sciences initiatives directed toward increasing the efficacy of identifying new therapeutic agents and facilitating their more rapid entry into clinical practice. With a sequenced pig genome, major advances have been made in developing swine-specific reagents and creating germline modifications for making genetically engineered swine models. With these tools in place, swine models are making unprecedented contributions toward unraveling the molecular basis of human disease and developing new therapeutic strategies.

The project will construct an expansion of 12,220 gross square feet to the NSRRC. The expansion will allow the NSRRC to double animal housing capacity, expand swine lines through breeding under specific pathogen free conditions, supply swine models at various ages, establish novel swine models for new research areas, and supply swine models free of certain viruses for xenotransplantation and gene therapy. The project scope was established in a study developed to submit with the NIH CO6 grant proposal in March 2022.

Clark & Enersen, Inc., Kansas City, Missouri is the recommended architect for this project. The Clark & Enersen team designed the original NSRRC facility and has significant experience and expertise in designing animal research and holding facilities. Clark and Enersen will provide structural, mechanical, plumbing, and electrical engineering; FSC, Inc., Overland Park, Kansas (MBE) will provide fire protection engineering; and SK Design, Inc., Shawnee Mission, Kansas (MBE) will provide civil engineering.

The selection committee also interviewed BSA LifeStructures, Inc., St. Louis, Missouri.

The fee for basic architectural and engineering services has been determined by referencing the University of Missouri's "Architectural and Engineering Basic Services Fee Estimating Guidelines." The project is considered a Type III – New Construction (average complexity), and the calculated basic services fee is \$364,000 based upon 6.5% of the estimated \$5,600,000 construction cost. Additional services to the basic design fee include preparation of submissions and responses to NIH review comments is estimated at \$30,000 for a total design fee of \$394,000.

The project is expected to be complete by Spring 2025. The project will be delivered as a traditional Design-Bid-Build project.

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No. 2

Recommended Action - Project Approval, National Swine Resource and Research Center  
– Addition, MU

It was recommended by President Choi, recommended by the Finance Committee, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following action be approved:

the project approval for the National Swine Resource and Research Center – Addition, MU

Funding of the project budget is from:

Federal NIH CO 6 Grant	\$7,969,580
University Funds	<u>\$30,420</u>
Total Funding	\$8,000,000

Roll call vote Finance Committee	YES	NO
Curator Graves		
Curator Hoberock		
Curator Layman		
Curator Wenneker		

The motion \_\_\_\_\_.

Roll call vote Full Board:	YES	NO
Curator Brncic		
Curator Graves		
Curator Hoberock		
Curator Holloway		
Curator Layman		
Curator Wenneker		
Curator Williams		

The motion \_\_\_\_\_.

Project Approval  
Thompson Center – New Building  
MU

University of Missouri – Columbia requests project approval for the Thompson Center – New Building project. The total project budget of \$55,000,000 is funded by a \$27,500,000 State Appropriation, \$15,000,000 in Gifts, and \$12,500,000 in University funds.

The Thompson Center for Autism and Neurodevelopment at the University of Missouri was inaugurated in 2005 and has been leading the field of autism and neurodevelopment as a model of collaborative best practices in evidence-based care, translational research, and training excellence. Based on the medical home model, Thompson Center diagnostic, assessment, and treatment services emphasize family-centered care that is comprehensive, coordinated, compassionate, culturally sensitive, and accessible for all. The mission of the Thompson Center is to improve the lives of individuals and families affected by autism spectrum disorder and neurodevelopmental disorders through world class programs that integrate research, clinical service delivery, education, and public policy.

Over years of growth in services and programs, the Thompson Center has outgrown its original Portland Avenue location and expansion into an adjacent building on the same property is underway. The two buildings are located on a sloped site, not physically connected, with space on two stories in each building, making it challenging to provide an easy to navigate environment for individuals and families receiving care through the Thompson Center.

The new facility will provide approximately 74,000 square feet of space to comprehensively house all aspects of the Thompson Center under one roof including clinical diagnostic and intervention services, translational research, and training initiatives. The new facility will expand access to appointments with additional clinic space to accommodate more clinicians, development of new types of spaces for observation to enhance research opportunities and provide integrated training space in the facility that will serve both internal providers and others involved in the specialties of serving individuals, families, and communities.

SFS Architecture, Inc., Kansas City, Missouri and BSA LifeStructures, Inc., St. Louis, Missouri with additional consulting from Magda Mostafa, PhD, an Autism Design Specialty Advisor are the recommended team for this project. The team proposed has significant experience and expertise in designing for neurodiverse populations. The team also includes Ross & Baruzzini, Inc., St. Louis, Missouri for mechanical, plumbing, and electrical engineering; FSC, Inc., Overland Park, Kansas (MBE) for fire protection engineering; and David Mason & Associates, Inc., St. Louis, Missouri (MBE) for civil and structural engineering.

The selection committee also interviewed Christner Inc., St. Louis, Missouri and HOK, Inc., St. Louis, Missouri

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The fee for basic architectural and engineering services has been determined by referencing the University of Missouri's "Architectural and Engineering Basic Services Fee Estimating Guidelines." The project is considered a Type V – New Construction (considerably more than average complexity), and the calculated basic services fee is \$2,772,000 based upon 6.6% of the estimated \$42,000,000 construction cost. Additional services for preparation of up to three separate bid packages, AV planning, and engagement of specialty expert consultants for acoustical design and lighting design for neurodiverse populations is anticipated at \$120,000, for a total design fee of 2,892,000.

The project is expected to be complete by December 2025. The project will be delivered as a Construction Manager at Risk Project due to the size, complexity, and schedule requirements of this project.

No. 3

Recommended Action - Project Approval, Thompson Center – New Building, MU

It was recommended by President Choi, recommended by the Finance Committee, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following action be approved:

the project approval for Thompson Center – New Building, MU

Funding of the project budget is from:

State Appropriation	\$27,500,000
Gifts	\$15,000,000
University Funds	<u>\$12,500,000</u>
Total Funding	\$55,000,000

Roll call vote Finance Committee	YES	NO
Curator Graves		
Curator Hoberock		
Curator Layman		
Curator Wenneker		

The motion \_\_\_\_\_.

Roll call vote Full Board:	YES	NO
Curator Brncic		
Curator Graves		
Curator Hoberock		
Curator Holloway		
Curator Layman		
Curator Wenneker		
Curator Williams		

The motion \_\_\_\_\_.

Project Approval  
Middlebush Farm – NextGen Center for Influenza Research – Phase II Addition  
MU

The University of Missouri – Columbia requests project approval for the Middlebush Farm – NextGen Center for Influenza Research – Phase II Addition project. The total project budget of \$7,500,000 is funded by a Federal Health Resources and Services Administration (HRSA) Grant and, if necessary, \$2,500,000 could be provided by State and University funds.

The mission of the Middlebush Farm – NextGen Center for Influenza Research is to develop and apply systems of biology-based translational approaches to counteract influenza and emerging infectious diseases. The center includes a facility to study infectious disease transmission and vaccinology using various animal models, primarily swine. The Center for Influenza and Emerging Infectious Disease has garnered over \$15 million in NIH and CDC funding during the past two years. Continued investment in this program area is a component of Mizzou Forward.

The current building provides specialized laboratory space for innovative research inquiry related to replicating a variety of climates. The facility contains two holding rooms and associated procedure rooms with temperature and humidity control to produce extreme conditions. This type of space was not previously available at Mizzou and is rare in the country, making it a unique attribute when competing for grants. The Phase II addition of 8,300 gross square feet is intended to enhance the BSL-2 animal capacity and increase throughput of research studies in influenza and emerging infectious diseases. The Phase II addition will include adaptable animal holding rooms that can transition between animal models, procedure rooms, support spaces, and a connectivity plan for a future Phase III.

Clark & Enersen, Inc., Kansas City, Missouri is the recommended architect for this project. The team proposed by Clark & Enersen includes team leaders and subconsultants with significant experience and expertise in designing animal research and holding facilities. Clark and Enersen will provide structural, mechanical, plumbing, and electrical engineering; FSC, Inc., Overland Park, Kansas (MBE) will provide fire protection engineering; and SK Design, Inc., Shawnee Mission, Kansas (MBE) will provide civil engineering.

The selection committee also interviewed BSA LifeStructures, Inc., St. Louis, Missouri.

The fee for basic architectural and engineering services has been determined by referencing the University of Missouri’s “Architectural and Engineering Basic Services Fee Estimating Guidelines.” The project is considered a Type III – New Construction (average complexity), and the calculated basic services fee is \$325,000 based upon 6.07% of the estimated \$5,350,000 construction cost.

The project is expected to be complete by Spring 2025. The project will be delivered as a traditional Design-Bid-Build project.

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No. 4

Recommended Action - Project Approval, Middlebush Farm – NextGen Center for Influenza Research – Phase II Addition, MU

It was recommended by President Choi, recommended by the Finance Committee, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following action be approved:

the project approval for the Middlebush Farm – NextGen Center for Influenza Research – Phase II Addition, MU

Funding of the project budget is from:

Federal HRSA Grant	\$5,000,000
State and University	<u>\$2,500,000</u>
Total Funding	\$7,500,000

Roll call vote Finance Committee	YES	NO
Curator Graves		
Curator Hoberock		
Curator Layman		
Curator Wenneker		

The motion \_\_\_\_\_.

Roll call vote Full Board:	YES	NO
Curator Brncic		
Curator Graves		
Curator Hoberock		
Curator Holloway		
Curator Layman		
Curator Wenneker		
Curator Williams		

The motion \_\_\_\_\_.

Project Approval  
South Farm - Swine Research and Education Facility Addition  
MU

University of Missouri – Columbia requests project approval for the South Farm - Swine Research and Education Facility Addition project. The total project budget of \$5,000,000 will be funded by a Federal Health Resources and Services Administration (HRSA) Grant.

The existing 14,000 gross square feet (gsf) South Farm Swine Research and Education Facility was completed in Spring 2022 and is comprised primarily of animal holding space. This facility provides critical animal space to accommodate the research programs of new faculty in large animal genetic engineering and will support the National Swine Resource and Research Center, and the Center for Somatic Cell Gene Editing. Increasingly, pigs are being used as models for human disease, and pig models are predicted to make a major contribution to the FDA Critical Path and NIH National Center for Advancing Translational Sciences initiatives directed toward increasing the efficacy of identifying new therapeutic agents and facilitating their more rapid entry into clinical practice.

The project will construct an expansion of approximately 12,000 gsf to the South Farm Swine Research and Education Facility. The expansion will allow the South Farm facility to nearly double animal housing capacity. The project scope was established in a study developed to submit with the HRSA grant proposal in December 2022.

Clark & Enersen, Inc., Kansas City, Missouri is the recommended architect for this project. The team proposed by Clark & Enersen includes team leaders and subconsultants with significant experience and expertise in designing animal research and holding facilities. Clark and Enersen will provide structural, mechanical, plumbing, and electrical engineering; FSC, Inc., Overland Park, Kansas (MBE) for fire protection engineering; and SK Design, Inc., Shawnee Mission, Kansas (MBE) for civil engineering.

The selection committee also interviewed BSA LifeStructures, Inc., St. Louis, Missouri.

The fee for basic architectural and engineering services has been determined by referencing the University of Missouri’s “Architectural and Engineering Basic Services Fee Estimating Guidelines.” The project is considered a Type III – New Construction (average complexity), and the calculated basic services fee is \$245,050 based upon 6.5% of the estimated \$3,770,000 construction cost. A total of \$14,000 in pre-design services was added to the basic services fee amount to arrive at a total maximum fee of \$259,050.

The project is expected to be complete by January 2025. The project will be delivered as a traditional Design-Bid-Build project.

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No. 5

Recommended Action - Project Approval, South Farm - Swine Research and Education Facility Addition, MU

It was recommended by President Choi, recommended by the Finance Committee, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following action be approved:

the project approval for the South Farm - Swine Research and Education Facility Addition, MU

Funding of the project budget is from:

Federal HRSA Grant	<u>\$5,000,000</u>
Total Funding	\$5,000,000

Roll call vote Finance Committee	YES	NO
Curator Graves		
Curator Hoberock		
Curator Layman		
Curator Wenneker		

The motion \_\_\_\_\_.

Roll call vote Full Board:	YES	NO
Curator Brncic		
Curator Graves		
Curator Hoberock		
Curator Holloway		
Curator Layman		
Curator Wenneker		
Curator Williams		

The motion \_\_\_\_\_.

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Project Approval  
Healthcare Innovation and Delivery Building  
UMKC

The University of Missouri – Kansas City requests project approval for the new Healthcare Innovation and Delivery Building project. The total project budget of \$120,000,000 is funded from \$80,000,000 from a State Appropriation and \$40,000,000 from Gifts.

When the UMKC School of Medicine (SOM) opened its doors in 1971, it did so with a goal of training physicians who would become the primary care workforce for the people in Missouri. Between 2019-2021, more than 60% of the SOM graduates chose a primary care residency with up to 40% of graduates remaining in residency programs in Missouri. According to the 2021-2022 US News and World report rankings, UMKC ranks as one of the top medical schools in the country where graduates pursue primary care training, but they do so in aging teaching facilities and research laboratories. The School of Dentistry is the only dental school in the state of Missouri, preparing the next generation of oral health care professionals, two thirds of which practice in Missouri, while conducting cutting-edge research, and delivering high-quality care to patients in their aging clinic environment housed in the dental school.

The UMKC Health Science District (HSD) brings together 12 public and private partners in an 18-block region that support the growth of rural interprofessional health education programs. Through shared expertise, resources, and personnel; the HSD represents opportunities for collaboration on research, grants, and community outreach. State funding has the potential to catalyze new collaborations across the UMKC region and among University of Missouri academic campuses. It also has the potential to attract industry partnerships and One Health partnerships to advance the fields of biomedical engineering, tissue regeneration, and Big Data; with the broader University of Missouri System, allowing for increased investment in bioinformatics and data science focus toward the goal of personalized medicine and treatment for patients in Missouri.

This project would construct a new Health Science Building of approximately 120,000 gross square feet on the UMKC Health Science Campus. While the new facility will serve all of the UMKC Health Science programs, the building will focus on the needs of the UMKC School of Dentistry and School of Medicine. Deficiencies in both of UMKC's aging clinical, research, and teaching facilities require urgent focus to construct a new facility to meet growing clinical, research, and education needs, and fuel UMKC's success in building upon current research strengths in areas that disproportionately affect lives of individuals in Kansas City and Missouri such as perinatal death, drug addiction, dental health, cardiovascular, and neurodegenerative diseases. An additional 70,000 gross square feet of office space will be designed for University Health. Funding for this additional space is pending.

Clark and Enersen, Inc., Kansas City, Missouri and RDG Planning and Design, Inc., Omaha, Nebraska is the recommended team for this project. They presented a well-balanced and experienced team with in-depth knowledge of complex needs of schools of dentistry and

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medicine shown through their ongoing work with the UMKC Schools of Dentistry and Medicine, as well as the recent completion of similar projects for Creighton University and the Davis Global Center for Interprofessional Learning for the University of Nebraska Medical Center. Clark and Enersen will provide mechanical, plumbing, and electrical engineering; Leigh & O’Kane, LLC, Lee’s Summit, Missouri (WBE) will provide structural engineering; and Taliaferro & Brown, Inc., Kansas City, Missouri (MBE) will provide civil engineering.

The selection committee also interviewed Helix Architecture & Design, Inc., Kansas City, Missouri, and Berkebile Nelson Immenschuh McDowell, Inc., Kansas City, Missouri.

The fee for basic architectural and engineering services has been determined by interpolating the University of Missouri’s “Architectural and Engineering Basic Services Fee Estimating Guidelines.” The project is considered a Type V – New Construction (considerably more than average complexity), and the calculated basic services fee is \$5,544,000 based upon 6.60% of the \$84,000,000 estimated construction cost. Additional services for equipment planning; research, clinical, and academic lab planning; and high-rise design; is anticipated at \$406,000, for a total design fee of \$5,950,000. Additional fee will be calculated at the same rate for the University Health space.

The project is expected to be completed in May 2026. Project delivery will be Construction Manager at Risk (CMR) due to the size, complexity, and schedule requirements of this project.

No. 6

Recommended Action - Project Approval, Healthcare Innovation and Delivery Building, UMKC

It was recommended by Chancellor Agrawal, endorsed by President Choi, recommended by the Finance Committee, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following action be approved:

the project approval for Healthcare Innovation and Delivery Building, UMKC

Funding of the project budget is from:

State Appropriation	\$80,000,000
Gifts	<u>\$40,000,000</u>
Total Funding	\$120,000,000

Roll call vote Finance Committee	YES	NO
Curator Graves		
Curator Hoberock		
Curator Layman		
Curator Wenneker		

The motion \_\_\_\_\_.

Roll call vote Full Board:	YES	NO
Curator Brncic		
Curator Graves		
Curator Hoberock		
Curator Holloway		
Curator Layman		
Curator Wenneker		
Curator Williams		

The motion \_\_\_\_\_.

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Architect/Engineer Hiring  
Electric Interconnection and Substation  
MU

The University of Missouri – Columbia requests approval for Architect/Engineer hiring for the Electric Interconnection and Substation project. A funding plan for the total project budget of \$42,000,000 will be presented as part of the request for project approval.

The primary source of electrical power for the campus is provided by the MU Power Plant. A secondary source was provided in 1995 with the installation of a 69kV interconnection to the City of Columbia's transmission grid through a single 40 MVA transformer. This connection provides critical back up power for the campus in the event the power plant has issues or shuts down for any reason.

Current peak electric demand on the MU campus is 15% higher than the intertie capacity and continues to grow as new facilities are completed. Campus planned growth is forecasted to exceed the power plant's 54 MW capacity within the next five years. Once this occurs, the campus will be at an increased risk of power outages since it will be dependent on electric supply from both sources. Failure of any major system component, such as the main tie breaker, tie transformer, or a plant generator would require procurement of long lead equipment which would result in a shortage of power for an extended period.

A study was completed in late 2021 that looked at options to provide reliable, cost-effective electrical power to the campus. The study recommended a second 40 MVA transformer as well as a second utility interconnection with the city transmission grid as the most resilient and cost-effective solution to facilitate future growth on campus without compromising the reliability of the power distribution infrastructure.

This project will either expand or relocate the Stadium Road Electrical Substation located on the southeast corner of Monk Drive and Hospital Drive to accommodate new redundant transformers, medium voltage breakers, switchgear, and other electrical equipment. Two new overhead 69kV transmission lines, one from the Hinkson Creek Substation and the other from the Grindstone Substation will be constructed from the south of campus to a new 69kV switch station located south of the General Services Building. An underground electrical duct bank will be constructed between the new switch station and the Stadium Road Substation.

Implementation of this project would allow either or both University transformers at the Stadium Road Substation to be served from either utility connection, thus eliminating single points of failure currently compromising the electric power reliability to campus as well as addressing the need for increased electric power supply to support campus's growth.

Jacobs Engineering Group, Inc., St. Louis, Missouri, is the recommended engineer for this project. Jacobs presented a well-balanced team of experts with in-depth knowledge of electric distribution and provided good examples of relevant project experience. The design

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team includes SK Design Group, Inc., Shawnee Mission, Kansas (MBE) for civil engineering.

The selection committee also interviewed Gannett Fleming, Inc., St. Louis, Missouri, and Burns & McDonnell Engineering Company, Inc., Kansas City, Missouri.

The fee for basic architectural and engineering services has been determined by referencing the University of Missouri's "Architectural and Engineering Basic Services Fee Estimating Guidelines." The project is considered a Type VI Engineering Renovation and the calculated basic service fee is \$2,272,164 based upon 7.46% of the \$30,450,000 estimated construction cost.

The project is expected to be complete by May 2025. The project will be delivered as a traditional Design-Bid-Build project.

No. 7

Recommended Action - Electric Interconnection and Substation, MU

It was recommended by President Choi, recommended by the Finance Committee, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following action be approved:

the project approval for the Electric Interconnection and Substation, MU

Funding of the project budget is from:

TBD	<u>\$42,000,000</u>
Total Funding	\$42,000,000

Roll call vote Finance Committee	YES	NO
Curator Graves		
Curator Hoberock		
Curator Layman		
Curator Wenneker		

The motion \_\_\_\_\_.

Roll call vote Full Board:	YES	NO
Curator Brncic		
Curator Graves		
Curator Hoberock		
Curator Holloway		
Curator Layman		
Curator Wenneker		
Curator Williams		

The motion \_\_\_\_\_.

# HEALTH AFFAIRS COMMITTEE

Robin R. Wenneker, Chair  
Julia G. Brncic  
Keith A. Holloway  
Jeff L. Layman  
Ronald G. Ashworth (non-curator)  
Dan P. Devers (non-curator)  
Dr. James H. Whitaker (non-curator)

The Health Affairs Committee (“Committee”) assists the Board of Curators in overseeing the clinical health care operations of the University and in coordinating those operations in furtherance of the University’s teaching, research, and clinical missions.

## I. Scope

The Committee provides oversight for the University’s clinical health care operations in the areas of:

- Mission, vision, and strategy;
- Governance and operational oversight;
- Quality of care and patient safety;
- Regulatory compliance;
- Financial planning and performance; and
- Coordination of the clinical, teaching, and research missions.
- Specific projects that enable meaningful collaboration among UM universities.

## II. Executive Liaison

The Executive Vice Chancellor for Health Affairs of the University of Missouri-Columbia or some other person(s) designated by the President of the University, with the concurrence of the Board Chair and the Committee Chair, shall be the executive liaison to the Committee and responsible for transmitting Committee recommendations.

## III. Responsibilities

In addition to the overall responsibilities of the Committee described above and in carrying out its responsibilities regarding clinical health care operations, the charge of the Committee shall include:

- A. Reviewing and making recommendations to the Board regarding:
  1. actions that are appropriate or necessary to assist the Board in overseeing clinical health care operations or coordinating the teaching, research, and clinical missions;
  2. significant actions related to health care which should require advance notice or approval by the Committee or Board; and
  3. other matters referred to it by the Board and University officers.
- B. Requesting, receiving, and reviewing reports and other information from University officers and advisors regarding health care operations, coordination of the teaching, research, and clinical missions, and related matters, including meeting at least quarterly and receiving regular reports from appropriate officers of University of Missouri Health Care, the MU School of Medicine, and the MU Health Chief Compliance Officer.



- C. Additional matters customarily addressed by the health affairs committee of a governing board for an institution of higher education.

#### **IV. Committee Membership and Quorum Requirements**

The Committee's membership may include non-Curator members in addition to Curator members. Subject to approval of the Board, the Board Chair shall determine the number of Curator and non-Curator members to appoint to the Committee and shall select individuals to serve as members of the Committee; provided that, the number of non-Curator members on the Committee shall not exceed the number of Curator members on the Committee, unless the Committee temporarily has more non-Curator members than Curator members because a Curator member of the Committee has resigned from the Board or the Committee. Non-Curator members may resign their Committee membership by providing written notice to the Board Chair. Non-Curator members of the Committee serve at the pleasure of the Board and may be removed by the Board Chair at any time, subject to approval of the Board.

A quorum for the transaction of any and all business of the Committee shall exist when:

1. Both a majority of all Curator members of the Committee and a majority of all members of the Committee are participating for Committee meetings which are held in conjunction with meetings of the Board; or
2. Both all Curator members of the Committee and a majority of all members of the Committee are participating for Committee meetings which are not held in conjunction with meetings of the Board; or
3. Both a majority of all Curator members of the Committee and a majority of all members of the Committee are participating for Committee meetings which are held solely for the purpose of reviewing and overseeing compliance matters.

## EXECUTIVE VICE CHANCELLOR AND DEAN REPORT

Materials for this item will be posted prior to the meeting.

# ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE

Jeff L. Layman, Chair  
Todd P. Graves  
Greg E. Hoberock

The Academic, Student Affairs, Research and Economic Development Committee (“Committee”) will review and recommend policies to enhance quality and effectiveness of academic, student affairs, research and economic development and align the available resources with the University’s academic mission.

## **I. Scope**

In carrying out its responsibilities, the Committee reviews and makes recommendations to the Board of Curators on strategies and policies relating to student and faculty welfare, academic standards, educational and instructional quality, intercollegiate athletics, degree programs, economic development, research initiatives, and associated programs.

## **II. Executive Liaison**

The Senior Associate Vice President for Academic Affairs of the University, or some other person(s) designated by the President of the University, with the concurrence of the Board Chair and the Committee Chair, shall be the executive liaison to the committee and responsible for transmitting committee recommendations.

## **III. Ex Officio Member**

The Student Representative to the Board of Curators shall be an ex officio member of the Committee.

## **IV. Responsibilities**

In addition to the overall responsibilities of the Committee described above and in carrying out its responsibilities, the charge of the Committee shall include reviewing and making recommendations to the Board on the following matters:

- A. Selection of Curators’ Distinguished Professors;
- B. Approval and review of new degree programs;
- C. Intercollegiate athletics, as specifically outlined in Section 270.060 of the Collected Rules and Regulations with a commitment to the academic success, and physical and social development of student-athletes;
- D. Changes to university-level admissions requirements, academic standards, student services, and graduation requirements;
- E. Quarterly and annual reports providing information on academic programs that have been added, deactivated, or deleted;
- F. Provide oversight over the University of Missouri System’s diversity, equity and inclusion programs;
- G. Highlight successful research and economic development efforts and partnerships; linking research and commercialization from the University with business and industry across the state and around the world.
- H. Additional matters customarily addressed by the academic, student affairs, research & economic development committee of a governing board for an institution of higher education.

**Executive Summary**  
**Intercollegiate Athletics Annual Report - MU**

Pursuant to Collected Rule and Regulation 270.060 Intercollegiate Athletics Section (E) relating to Campus Athletic Directors and Compliance Officers, the University of Missouri - Columbia's attached report for the 2021-2022 academic year is submitted for your information. The report includes information relating to student-athlete admissions exceptions, academic progress of student-athletes, graduation rates by sport, financial performance, and other comments. More detailed information relating to the report can be found in the appendix of this section.

The MU Athletic Director will be available to answer any questions you have regarding the contents of the report.



November 1, 2022

Mr. Darryl M. Chatman  
Board Chairman  
University of Missouri Board of Curators  
316 University Hall  
Columbia, MO 65211

Dear Curator Chatman,

This letter serves as the 2021-2022 annual athletics report required by CRR 270.060 (E). More specifically, this letter summarizes data provided per subparts of CRR 270.060 (E) (1) through (5).

1. Rates of admissions exceptions for Athletics as compared to campus admissions exceptions.

The University of Missouri does not currently admit students (student-athlete or otherwise) on academic probation for the following reasons and therefore has no exceptions to report for the 2021-2022 academic year.

All test-optional applicants are reviewed for admission under a comprehensive and holistic process taking into account successful completion of minimum core curriculum, high school performance, accelerated high school coursework, a writing sample, and academic competitiveness of the high school. Pursuant to action taken by Undergraduate Deans in September 2020 effective for the 2021-22 academic year, a student who would have been normally admitted conditionally may now be admitted fully without being placed on academic probation to begin their academic career at the University of Missouri.

2. Academic Progress Rates (APR) by sport, as defined by the National Collegiate Athletic Association (NCAA), if applicable.

NCAA rules require each sport to have a four-year APR rate above 930 in order to avoid penalties. All Mizzou Athletics women's team APR rates were above 992 while all men's team APR rates were above 963. The Football team APR was 983, while the Men's Basketball team APR was 963. Complete APR details can be found in the attached annual athletics report (spreadsheet).

3. Graduation rates by sport, as defined by the NCAA, if applicable.

There are two main metrics used to track student-athlete graduation rates, the Federal Graduation Rate (FGR) and Graduation Success Rate (GSR). Both methods analyze the graduation rates from freshmen cohorts over a four-year period, beginning ten years prior. For example, the most recent 2021-2022 FGR and GSR rates are generated by looking at the freshmen cohorts from 2012-2013, 2013-2014, 2014-2015, and 2015-16. The primary difference between the two metrics is that the FGR does not take into account transfers to or from any cohort, while the GSR does. For 2021-2022, the FGR was 63% and the GSR (four-year cohort) was 86%. The GSR for the Football team was 76%, while the Men's Basketball team was at 83%. Complete graduation rate details can be found in the attached annual athletics report (spreadsheet).

4. Financial performance of all operations of the Department of Intercollegiate Athletics.

The department had a \$3,569,324.00 overall budget surplus in 2021-22. Although our 2021-22 report shows a surplus, these dollars are earmarked for the Stephens Indoor Football Facility construction project. More detailed information regarding the budget and financial picture can be found in the attached annual athletics report (spreadsheet).

5. Those items as the President may from time to time direct be added to the annual reports.

### **Introduction:**

This past year, our top priorities were to assess the department, identify opportunities for growth and begin building a foundation for future success.

### **Student-Athlete Academic Highlights:**

Record academic success was achieved during the 2021-22 academic year. 93 student-athletes graduated in 2021-22, with 22 earning degrees in the Fall, 59 in the Spring, and 12 in the summer semester. 347 student-athletes earned a 3.00 GPA or higher in Fall 2021, while 332 student-athletes earned a 3.00 GPA or higher in Spring 2022. While these totals account for approximately 67% of the total student-athlete population we look forward to increasing these numbers in the coming years.

University of Missouri student-athletes collectively had a record academic performance in Fall 2021 with an overall department GPA of 3.22. The student-athlete Spring 2022 GPA was a 3.20. Academically, 16 sports in the Fall and 14 sports in the Spring recorded team GPAs of 3.00 or better. A comprehensive list of sports who achieved a 3.0 or better team GPA is below.

- Fall – 16 (Baseball, Women's Basketball, Men's Golf, Women's Golf, Gymnastics, Soccer, Softball, Men's Swim & Dive, Women's Swim & Dive,

Tennis, Men's Track & Field, Men's Cross Country, Women's Track & Field, Women's Cross Country, Volleyball, Wrestling)

- Spring – 14 (Baseball, Women's Basketball, Men's Golf, Women's Golf, Gymnastics, Soccer, Softball, Men's Swim & Dive, Women's Swim & Dive, Tennis, Women's Track & Field, Women's Cross Country, Volleyball, Wrestling)

The 2021-22 academic year also brought 12 record team GPAs. Sports with record setting team GPAs include:

- Fall – Men's Basketball, Women's Golf, Soccer (tied), Softball, Women's Track & Field, Women's Cross Country
- Spring (exempting Spring 2020 due to the campus satisfactory/unsatisfactory policy) – Baseball (tied), Football, Soccer, Softball, Women's Golf, Women's Swim & Dive

Institutionally, 423 student-athletes were recognized on their respective Dean's List at Mizzou; 222 in the Fall and 201 in the Spring.

Numerous Mizzou Athletics teams and individual student-athletes received national recognition for their academics in 2021-22. These national awards include:

- 313 student-athletes on the Southeastern Conference (SEC) Honor Roll. A more specific breakdown of those on the SEC Honor Roll can be found below.
  - Fall (Football, Soccer, Volleyball, Cross Country) – 78 student-athletes on the SEC Honor Roll
  - Winter (Men's Basketball, Women's Basketball, Gymnastics, Men's Swim & Dive, Women's Swim & Dive, Wrestling) – 50 student-athletes on the SEC Honor Roll
  - Spring (Baseball, Men's Golf, Women's Golf, Men's Track & Field, Women's Track & Field, Softball, Tennis) – 104 student-athletes on the SEC Honor Roll
- The Men's and Women's Cross Country teams received the 2021 NCAA Division-I All-Academic Team honors and Sarah Chapman received the All-Academic Individual distinction.
- The Women's Track & Field team received the 2022 USTFCCA All-Academic team honor and 15 individual Track & Field student-athletes earned All-Academic Individual Recognition: Christopher Conrad, Rece Rowan, William Sinclair, Taylor Ciccolini, Ava Curry, Claudina Diaz, Arianna Fisher, Ayele Gerken, Mara Haeusler, Atina Kamasi, Melissa Menghini, Sydney Oberdiek, Sophia Rivera-Hassemer, Emily Stauffer, and Erin Zimmerman.
- Thirteen members of the Wrestling team were named to the Academic All-Big 12 Team. First Team: Noah Surtin, Trey Crawford, Keegan O'Toole, Cordel

Duhart, Peyton Mocco, Jarrett Jacques, Allan Hart, Rodrigo Diaz, and Jacob Raschka. Second Team: Rocky Elam, Zach Elam, Dack Punke, and Jack Flynn.

- Five members of the Wrestling team were named NWCA Division I Scholar All-Americans: Noah Surtin, Allan Hart, Jarrett Jacques, Keegan O'Toole, and Peyton Mocco.
- Jack Dahlgren (Men's Swim & Dive) was named the SEC Scholar-Athlete of the Year at the 2022 SEC Championships.
- 25 members of the Men's and Women's Swim & Dive team were selected to the 2021-2022 CSCAA Scholar All-America Team. First Team: Amy Feddersen, Alex Moderski, Meredith Rees, Sarah Rousseau, Sierra Smith, Sarah Thompson, Taylor Williams, Grant Bochenski, Jack Dahlgren, Danny Kovac, Ben Patton, and Calvin Windle. Second Team: Allison Bloebaum, Katrina Brathwaite, Molly Gowans, Brecken Merkel, Ana Pozder, Abbey Taute, Luke Davis, Jude Dierker, Will Goodwin, Mikolaj Malec, Josh Pales, Freddie Rindshoej, and Ty Spillane. Both teams were also awarded team honors for both the Fall 2021 and Spring 2022 semesters.
- Kimberly Wert (Softball) was named a 2022 CoSIDA Academic All-American.
- 12 members of the Softball team were recognized as Easton/NFCA All-America Scholar-Athletes: Kendyll Bailey, Kara Daly, Gabi Deters, Vanessa Hollingsworth, Alex Honnold, Jayci Kruse, Megan Moll, Chantice Phillips, Emma Raabe, Megan Schumacher, Kimberly Wert, and Brooke Wilmes.

In an effort to maximize our student-athletes' academic success in 2021-22, approximately 14,500 student-athlete tutoring appointments were scheduled to aid student-athletes in understanding their course material and approximately 6,750 mentoring appointments were scheduled to enhance student-athletes' study skills and assist with time management. We look forward to continuing to provide excellent academic services, building on these numbers, and setting records in the classroom.

### **Student-Athlete Development Highlights:**

After a review of student-athlete surveys, discussions with coaches and an analysis of national trends, we began our work of revitalizing our student-athlete support offerings and creating a holistic and integrated model. Mental health and nutrition were identified as immediate priorities and as such we have added resources and team members in both areas. Specifically, recognizing the importance of individualized counseling and nutrition services, we hired three new staff members in mental health services; we partnered with the School of Social Work to develop a pipeline of individuals interested in working in college athletics; hired two new nutritionists and invested in our nutrition resources.

Hearing from our end users is critical and as such we implemented new student-athlete survey protocols to open lines of communication between student-athletes and administration personnel.



We still have work to do in preparing individualized career development programming, however, during the 2021-2022 academic year, approximately 500 hours were spent aiding student-athletes in the career center with assessments, resumes, mock interviews, personal branding, and career coaching sessions and our student-athletes spent approximately 3,400 hours volunteering with 80 different organizations virtually, in Columbia and the surrounding communities.

The 2021-22 individual honors and achievements include:

- Jack Dubois (Men's Swim & Dive) and Brooke Wilmes (Softball) were both finalists for the SEC Boyd McWhorter Postgraduate Scholarship earning \$10,000 postgraduate scholarships.
- Dawson Downing (Football) and Ellie Wright (Tennis) were both finalists for the SEC Brad Davis Community Service Award earning \$5,000 postgraduate scholarships.
- Arianna Fisher (Women's Track & Field) was awarded as a top 10 female finalist for the Arthur Ashe Junior Sports Scholar Award.
- Jack Dubois (Men's Swim & Dive) and Ellie Wright (Tennis) were named to the MU Letter Winners Club.
- Marta Oliveira (Tennis) was awarded the NCAA Women's Enhancement Graduate Scholarship.
- Adalayna Hufendiek (Gymnastics) was awarded the 2021 Extra Yard for Teachers Award.
- Jack Flynn (Wrestling) was the recipient of the Go Teach Tuition Award.
- Luke Mann (Baseball), Sarah Thompson (Women's Swim & Dive), Olivia Evans (Women's Track & Field) and Anna Sullentrup (Women's Track & Field) were Mizzou '39 Recipients.
- KENDYLL BAILEY (Softball), Eduardo Favela (Men's Track & Field), Megan Keil (Women's Swim & Dive), and Ellie Wright (Tennis) were all honored with the AD Leadership Award.

### **Name, Image, and Likeness:**

Missouri Senate Bill 718 was signed into law by Governor Parson and now allows state institutions to assist student-athletes in maximizing Name, Image, and Likeness (NIL) opportunities. After an analysis of national trends, Mizzou Athletics has devoted resources to NIL by hiring a specific Assistant Athletic Director for NIL. As NIL continues to evolve, our staff will work together to position our department among industry leaders in this space. During the 2021-22 year Mizzou Athletics took meaningful steps towards building our NIL programming through the following initiatives:

- Mizzou Athletics created a Mizzou-specific Opendorse marketplace, increased educational programming and created an in-house team to work directly in the

NIL space;

- Mizzou Athletics – partnered with the Griggs Innovators Nexus, Missouri School of Journalism, and Trulaske College of Business and created a three-day NIL experiential learning program for Tigers student-athletes; and
- Established a partnership with Fanatics to allow for the creation of personalized student-athlete merchandise.

### **Diversity, Equity, and Inclusion:**

The University of Missouri Department of Athletics strives to create a diverse and inclusive workplace and athletic department.

We used the 2021-22 academic year to assess the Diversity, Equity, and Inclusion (DEI) programming offered to our student-athletes and staff. We look forward to meaningful additions to our DEI programming in the coming year. In 2021-22 Mizzou Athletics continued to engage in the following diversity, equity, and inclusion initiatives:

- Athletics and university staff, along with student-athletes traveled to St. Louis Public Schools and Kansas City Public Schools to host the Mizzou Youth Experience and provide academic learn shops for sixth grade underserved and underrepresented youth who have not had the opportunity to experience the University of Missouri
- Mizzou Athletics Committee on Inclusive Excellence (MACIE) provided each new employee a commemorative onboarding gift box to ensure they feel welcomed and valued.
- Mizzou Athletics participated in monthly SEC Diversity, Equity, and Inclusion meetings to assist with conference wide initiatives and increase our networking resources to generate more diverse candidate pools for open positions in Athletics.
- Student-Athletes Fostering Equality (SAFE), Black Student-Athlete Association (BSAA) and Female Athletic Minorities at Mizzou (FAMM) continue to provide on-going education and awareness of inclusive topics relative to the multiple identities of student-athletes.
- Similar to our SEC colleagues, Athletics sent 12 student-athletes and 4 staff members to the Black Student-Athlete Summit that took place at Rice University in May 2022. This Summit is a three-day conference that focuses on the holistic development of the black student-athlete and empowering them to maximize their college experience.

### **Compliance and Rules Education Enhancements:**

Although our probation for a Level-I major infractions case is now complete, education and monitoring efforts are still the primary focus of the compliance office.

- The education and monitoring systems were reviewed this year and identified

as an opportunity for growth and, as a result, steps have been taken to systematically plan out compliance rules education efforts for the upcoming 2022-23 academic year.

- This plan includes efforts to provide meaningful education to our student-athletes, coaches, athletics department staff, university staff, prospective student-athletes, local businesses, etc.

### **Outreach and Engagement:**

After a review of our season ticket numbers and fan survey data, we began work of engaging Missouri and our season ticket base. We recognize the importance of community outreach and engagement at Mizzou and took part in the following initiatives in 2021-22:

- Athletics received and reviewed over 25,000 fan survey responses during the 2021 football season, which led us to make some significant gameday enhancements, including but not limited to: moving the student section to one centralized area and moving visiting team fans away from the 50-yard line; introducing mobile ordering and a locker pickup system for concessions; improving tailgate areas; revamping the pregame show; providing a less-commercialized in-game presentation with fewer sponsor announcements; and adding additional flyovers.
- Started two fan engagement initiatives – Tiger Tuesdays, a weekly community service event for Mizzou student-athletes, coaches, and staff locally; and Black & Gold Fridays – a statewide program to encourage people to show off their Mizzou Black & Gold on Fridays during football season.
- Our 2022 Summer Caravan, the Come HOME Tour, featured 25 stops in Missouri, Kansas, Illinois, and Texas. This tour included the most events ever completed by Mizzou Athletics, surpassing the usual total of six to eight events. The Mizzou Athletics staff and coaches attended 25 events, meeting with 7,500 fans and traveling 7,309 miles.
- Student engagement was made a high priority resulting in Mizzou students purchasing the most All-Sport Passes since 2016.
- We engineered a six-school swap which allowed the Tigers to add a seventh home game to the 2022 schedule against Louisiana Tech – which was later moved to Thursday night, Sept. 1, to showcase Mizzou before a national TV audience on ESPNU affording our team the best opportunity for competitive success.
- Mizzou Athletics initiated the 21 Days of Winter Sports – 21 consecutive days of community and student engagement focused on engaging directly with our fans leading into the start of winter sport seasons.
- Athletics participated in over 75 community events across the state and in the Columbia community including Mizzou Night with the St. Louis Cardinals and Kansas City Royals, the Missouri State Fair and Columbia Parks & Recreation

events around the city.

- Athletics successfully bid on two Missouri State High School Activities Association Championships and will host the basketball event from 2024-28 and wrestling from 2025-29. The basketball championships return to Columbia for the first time since 2017. Mizzou's facilities had previously played host to both events annually from 1992-2017 while the wrestling championship has been held on campus for 46 of the last 47 years.

### **Athletic Highlights:**

In 2021-22, Mizzou Athletics saw some remarkable success on the field, court, pool, however, with a 57<sup>th</sup> finish in the Learfield Directors' Cup, there is still room for growth. Mizzou Athletics' athletic highlights are as follows:

- Wrestler Keegan O'Toole was the 2022 NCAA Champion in the 165-pound weight class, and he helped lead the wrestling team to a Big 12 Conference Championship – its 11th-straight conference title – and a Top-10 team finish at the NCAA meet.
- The gymnastics team earned a Top-10 finish at nationals and six teams – Football, Men's Golf, Gymnastics, Softball, Women's Basketball, and Wrestling – qualified for team postseason play. The Swim & Dive, and Track & Field teams both sent individuals to NCAA competitions, Men's Golf's regional bid was its first since 2018 and Softball hosted an NCAA Regional for the second-straight year.
- Three individuals – Keegan O'Toole (Wrestling), Roberto Vilches (Indoor High Jump), and Mitch Weber (Outdoor Discus) – were conference champions while O'Toole was also tabbed as the Big 12 Wrestler of the Year.
- Mizzou featured 33 All-Southeastern Conference performers and 18 All-Americans across its sports program. Football player Tyler Badie was a finalist for the Doak Walker Award as the nation's top running back, gymnast Sienna Schreiber was the SEC's Event Specialist of the Year and coaches Brian Smith (Big 12 / Wrestling), and Shannon Welker (SEC / Gymnastics) won their league's respective coach of the year honor.
- The department welcomed three new coaches, including Whitten Family Head Men's Basketball Coach Dennis Gates, Women's Golf Head Coach Caroline Westrup, and Men's and Women's Cross Country Coach Lindsey Anderson – all tireless recruiters, values-based leaders, and impressive tacticians which are already having an impact on their programs.
- Some incredible stories played themselves out through the year from Women's Basketball knocking off No. 1 South Carolina, to swimmer Alex Moore triumphing over a chronic illness and returning to championship form and volleyball player Brynn Carlson being elected by her peers to lead a national student-athlete organization.
- Construction started on the Stephens Indoor Practice Facility for Football and

Athletics hosted an extremely successful Southeastern Conference Cross Country Championships at the Gans Creek XC Course.

We are hopeful that this information is helpful to you and to the Board of Curators. Please feel free to contact me for any additional questions you may have.

Sincerely,

A handwritten signature in black ink that reads "Mun Y. Choi". The signature is written in a cursive style with a large initial "M" and a long, sweeping underline.

Mun Y. Choi, Ph.D.  
President  
University of Missouri

Enclosures: Annual Athletic Department Report 2021-22 – Missouri – Columbia

cc: Desiree Reed-Francois, MU Director of Intercollegiate Athletics

**2021-22 ANNUAL REPORT**  
**Department of Intercollegiate Athletics**  
**University of Missouri - Columbia**  
**List of Sponsored Sports**

**Men's Sports**

- Baseball
- Basketball
- Cross Country
- Football
- Golf
- Indoor Track & Field
- Outdoor Track & Field
- Rifle
- Soccer
- Swimming & Diving
- Wrestling

**Women's Sports**

- Basketball
- Cross Country
- Golf
- Gymnastics
- Indoor Track & Field
- Outdoor Track & Field
- Rifle
- Soccer
- Softball
- Swimming & Diving
- Tennis
- Volleyball

**2021-22 ANNUAL REPORT**  
**Department of Intercollegiate Athletics**  
**University of Missouri - Columbia**  
**FY2022 Actuals**

<b>Revenues:</b>	<b>Football</b>	<b>Men's Basketball</b>	<b>Women's Basketball</b>	<b>Other Sports</b>	<b>Non-Program Specific</b>	<b>Operating Total</b>	<b>Capital Projects</b>	<b>Total</b>
Ticket Sales	8,882,977	2,919,275	177,802	316,364	1,698,517	13,994,935	-	13,994,935
Guarantees	-	-	-	25,000	-	25,000	-	25,000
Contributions	7,132,361	1,690,955	226,335	447,644	10,196,735	19,694,030	9,818,414	29,512,444
Direct Institutional Support	-	-	-	-	12,030,003	12,030,003	-	12,030,003
Indirect Facilities and Administrative Support	612,252	407,161	-	-	108,011	1,127,424	-	1,127,424
NCAA/Conference Distributions incl. All Tournament Revenues	9,214,970	2,631,878	-	-	5,029,740	16,876,588	-	16,876,588
Broadcast, Television, Radio, and Internet Rights	14,720,000	4,097,779	-	-	17,931,724	36,749,503	-	36,749,503
Program Sales, Concessions, Novelty Sales, and Parking	1,500,161	267,221	24,523	91,435	500,244	2,383,584	-	2,383,584
Royalties, Advertisements, and Sponsorships	-	-	-	-	7,986,678	7,986,678	-	7,986,678
Endowment and Investment Income	-	-	-	-	1,334,994	1,334,994	87,285	1,422,279
Other Revenues*	231,762	231,625	82,812	943,929	17,558,463	19,048,591	-	19,048,591
<b>Total Revenues</b>	<b>42,294,483</b>	<b>12,245,894</b>	<b>511,472</b>	<b>1,824,373</b>	<b>74,375,109</b>	<b>131,251,331</b>	<b>9,905,699</b>	<b>141,157,029</b>

<b>Expenses:</b>	<b>Football</b>	<b>Men's Basketball</b>	<b>Women's Basketball</b>	<b>Other Sports</b>	<b>Non-Program Specific</b>	<b>Operating Total</b>	<b>Capital Projects</b>	<b>Total</b>
Athletics Student Aid	4,162,568	698,797	610,626	7,834,593	206,688	13,513,272	-	13,513,272
Guarantees	3,250,000	340,000	178,000	37,227	-	3,805,227	-	3,805,227
Coaching Salaries, Benefits, & Bonuses Paid by the University	10,193,980	4,609,115	1,370,125	5,899,295	-	22,072,515	-	22,072,515
Support Salaries Paid by the University	3,821,246	639,817	399,897	1,026,185	17,853,809	23,740,954	-	23,740,954
Recruiting	1,215,934	329,224	75,705	485,788	-	2,106,651	-	2,106,651
Team Travel	2,471,784	1,393,135	765,312	3,810,034	38,538	8,478,803	-	8,478,803
Equipment, Uniforms, and Supplies	1,851,859	188,576	88,183	586,424	67,200	2,782,242	166	2,782,408
Game Expenses	1,189,350	464,951	266,466	657,325	1,166,639	3,744,731	-	3,744,731
Fundraising, Marketing, and Promotion	19,070	91	6,575	597	1,438,590	1,464,923	-	1,464,923
Direct Facilities, Maintenance, and Rental	227,216	-	2,298	44,621	15,614,445	15,888,580	21,872,109	37,760,689
Spirit Groups	-	-	-	-	324,510	324,510	-	324,510
Indirect Facilities and Administrative Support	612,252	407,161	-	-	108,011	1,127,424	-	1,127,424
Medical Expense and Medical Insurance	-	-	-	-	1,492,121	1,492,121	-	1,492,121
Membership and Dues	5,982	4,213	758	44,966	40,289	96,208	-	96,208
Other Operating Expenses	3,786,905	1,211,712	310,668	1,198,331	8,569,653	15,077,269	-	15,077,269
<b>Total Expenses</b>	<b>32,808,146</b>	<b>10,286,792</b>	<b>4,074,613</b>	<b>21,625,387</b>	<b>46,920,493</b>	<b>115,715,430</b>	<b>21,872,275</b>	<b>137,587,705</b>
<b>Excess (Deficiency of Revenues over Expenses)</b>	<b>9,486,337</b>	<b>1,959,102</b>	<b>(3,563,141)</b>	<b>(19,801,014)</b>	<b>27,454,616</b>	<b>15,535,900</b>	<b>(11,966,576)</b>	<b>3,569,324</b>

<b>Net Assets</b>	<b>6/30/2022</b>	<b>6/30/2021</b>
<b>Unrestricted</b>	5,714,899.24	(10,571,934.61)
<b>Restricted Expendable</b>	2,204,654.49	14,922,164.09
<b>Restricted Non-expendable</b>	41,263,879.79	43,062,745.25
<b>TOTAL</b>	<b>49,183,433.52</b>	<b>47,412,974.73</b>

\*Previous years' debt was supported by campus in FY2022 in the amount of \$15M and is represented in 'Other Revenues'.\*

**2021-22 ANNUAL REPORT**  
**Department of Intercollegiate Athletics**  
**University of Missouri - Columbia**  
**Athletic Participation by Student Athletes**

<b>Men's Sports (indicate if not applicable--n/a)</b>	<b>Scholarship</b>	<b>Walk-On</b>	<b>Total</b>
Baseball	32	24	56
Basketball	15	3	18
Football	111	37	148
Golf	8	0	8
Rifle	N/A	N/A	N/A
Soccer	N/A	N/A	N/A
Swimming & Diving	31	0	31
Track & Field/Cross Country	19	33	52
Wrestling	28	13	41
<b>Subtotal</b>	<b>244</b>	<b>110</b>	<b>354</b>

<b>Women's Sports (indicate if not applicable--n/a)</b>	<b>Scholarship</b>	<b>Walk-On</b>	<b>Total</b>
Basketball	14	0	14
Gymnastics	14	5	19
Golf	7	4	11
Rifle	N/A	N/A	N/A
Soccer	32	0	32
Softball	26	5	31
Swimming & Diving	36	0	36
Tennis	9	4	13
Track & Field/Cross Country	36	16	52
Volleyball	12	4	16
<b>Subtotal</b>	<b>186</b>	<b>38</b>	<b>224</b>

<b>Grand Total</b>	<b>430</b>	<b>148</b>	<b>578</b>
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*NOTE: Scholarship student-athletes include all students receiving athletic aid awards, including post-eligible and medical awards.*



**2021-22 ANNUAL REPORT**  
**Department of Intercollegiate Athletics**  
**University of Missouri - Columbia**

**Academic Progress Rate by Sport and  
Respective Sport Ranking within the Southeastern Conference**

<b>Men's Sports (indicate if not applicable--n/a)</b>	<b>APR Score</b>	<b>Ranking*</b>
Baseball	981	
Basketball	963	
Cross Country	973	
Football	983	
Golf	992	
Outdoor Track & Field	974	
Swimming & Diving	992	
Wrestling	986	

<b>Women's Sports (indicate if not applicable--n/a)</b>	<b>APR Score</b>	<b>Ranking*</b>
Basketball	1000	
Cross Country	1000	
Golf	1000	
Gymnastics	995	
Outdoor Track & Field	998	
Soccer	996	
Softball	992	
Swimming & Diving	994	
Tennis	1000	
Volleyball	995	

APR Score based upon multi-year rate including the 2017-18, 2018-19, 2019-20, 2020-21 academic years.

\*APR Data for 2019-20 and 2020-21 is not publicly released in response to the COVID-19 pandemic and its impact on intercollegiate athletics.

**2021-2022 ANNUAL REPORT**  
**Department of Intercollegiate Athletics**  
**University of Missouri - Columbia**  
**Grade Point Averages by Semester**

(indicate if not applicable - - n/a)

	2010-2011		2011-2012		2012-2013		2013-2014		2014-2015		2015-2016		2016-2017		2017-2018		2018-2019		2019-2020		2020-2021		2021-2022	
<b>Men's Sports</b>	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring
Baseball	2.99	2.87	3.08	3.06	3.05	2.94	2.96	2.76	2.47	2.62	2.86	2.56	2.90	2.52	2.98	2.94	3.13	2.95	3.03	3.36	3.14	3.03	3.11	3.06
Basketball	2.55	2.42	2.74	2.47	3.06	2.45	2.46	2.30	2.31	2.37	2.29	2.20	2.61	2.70	2.50	2.46	2.69	2.73	2.62	2.89	2.63	2.49	2.99	2.52
Football	2.48	2.64	2.65	2.64	2.62	2.59	2.41	2.57	2.58	2.55	2.69	2.52	2.48	2.34	2.48	2.62	2.90	2.87	2.97	3.12	2.79	2.91	2.83	2.94
Golf	3.41	3.53	3.48	3.42	3.32	3.23	3.46	3.43	3.08	3.31	3.38	3.07	3.47	3.40	3.41	3.26	3.38	3.38	3.45	3.64	2.89	3.01	3.15	3.16
Swimming & Diving	2.91	2.94	2.74	2.93	2.93	2.89	2.84	2.97	2.95	3.14	3.24	3.09	3.18	3.18	3.21	3.05	3.19	3.20	3.22	3.64	3.40	3.32	3.25	3.07
Track & Field/Cross Country																								
Cross Country	3.29	3.27	3.33	3.38	2.93	3.05	3.01	2.93	3.07	3.07	3.09	3.27	3.43	3.34	2.92	3.27	3.02	3.05	2.83	3.60	3.22	3.38	3.19	2.95
Track	3.06	3.12	3.27	3.27	2.97	3.04	2.84	2.88	2.81	2.89	2.99	3.18	3.11	3.16	2.81	2.80	2.90	2.91	2.84	3.33	3.08	3.05	3.11	2.95
Wrestling	2.81	2.95	2.91	2.60	3.02	2.91	2.79	2.64	2.68	2.63	2.80	2.78	2.67	2.62	2.89	2.87	2.89	2.79	2.80	3.16	3.14	3.17	3.03	3.14
Suit	2.94	2.97	3.03	2.97	2.99	2.89	2.85	2.81	2.74	2.82	2.92	2.83	2.98	2.91	2.90	2.91	3.01	2.99	2.97	3.34	2.99	3.01	3.01	2.99

	2010-2011		2011-2012		2012-2013		2013-2014		2014-2015		2015-2016		2016-2017		2017-2018		2018-2019		2019-2020		2020-2021		2021-2022	
<b>Women's Sports</b>	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring
Basketball	3.00	2.91	3.03	3.01	3.13	3.04	2.99	3.12	2.89	2.86	3.17	3.31	3.29	3.28	3.34	3.40	3.14	3.11	3.05	3.39	2.90	3.10	3.26	3.16
Golf	3.29	3.30	3.27	3.46	3.21	3.40	3.08	3.26	3.48	3.55	3.44	3.22	3.36	3.20	3.53	3.33	3.35	3.38	3.34	3.61	3.45	3.53	3.57	3.65
Gymnastics	3.41	3.63	3.41	3.19	3.32	3.38	3.35	3.39	3.34	3.43	3.34	3.42	2.94	3.18	3.30	3.40	3.20	3.24	3.28	3.76	3.45	3.45	3.37	3.49
Soccer	3.08	2.79	2.89	3.12	3.20	3.30	3.27	3.24	3.11	3.29	3.40	3.21	2.93	3.29	3.14	3.26	3.13	3.29	3.44	3.61	3.39	3.46	3.44	3.55
Softball	3.35	3.22	3.31	3.18	3.10	3.05	2.89	2.98	3.22	3.03	3.14	3.17	3.22	3.08	3.02	3.19	3.14	3.14	3.19	3.52	3.21	3.38	3.41	3.46
Swimming and Diving	3.12	3.23	3.12	3.14	3.38	3.22	3.29	3.37	3.26	3.35	3.57	3.52	3.43	3.49	3.40	3.38	3.53	3.47	3.50	3.73	3.63	3.52	3.60	3.72
Tennis	3.27	3.44	3.29	3.47	3.16	3.32	3.08	3.18	3.32	3.33	3.46	3.27	3.31	3.32	3.54	3.42	3.39	3.52	3.77	3.92	3.66	3.73	3.52	3.65
Track & Field/Cross Country																								
Cross Country	3.17	3.33	3.57	3.59	3.26	3.55	3.68	3.52	3.32	3.35	3.44	3.33	3.35	3.37	3.50	3.33	3.39	3.47	3.60	3.82	3.44	3.57	3.71	3.43
Track	3.41	3.40	3.47	3.43	3.40	3.53	3.50	3.39	3.28	3.32	3.18	3.34	3.32	3.34	3.37	3.35	3.42	3.41	3.49	3.73	3.50	3.60	3.64	3.42
Volleyball	2.86	3.03	3.12	3.22	3.26	3.26	3.40	3.38	3.44	3.55	3.55	3.57	3.55	3.50	3.53	3.56	3.30	3.57	3.38	3.74	3.53	3.39	3.35	3.16
Suit	3.20	3.23	3.25	3.28	3.24	3.31	3.43	3.43	3.27	3.31	3.37	3.34	3.27	3.31	3.37	3.36	3.30	3.36	3.40	3.68	3.43	3.48	3.49	3.49

<b>Grand Total</b>	3.07	3.10	3.14	3.13	3.11	3.10	3.14	3.12	3.00	3.06	3.14	3.08	3.13	3.11	3.13	3.14	3.16	3.17	3.19	3.51	3.18	3.21	3.22	3.20
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**2021-22 ANNUAL REPORT**  
**Department of Intercollegiate Athletics**  
**University of Missouri - Columbia**

**STUDENT-ATHLETE GRADUATION RATES (Freshman cohort)**

<b>Four-year average (Federal IPEDS Rate)</b>	<b>All Students</b>	<b>Student-Athletes</b>
2022 (15-16, 14-15, 13-14, 12-13 freshman cohort)	<b>71%</b>	<b>63%</b>
2021 (14-15, 13-14, 12-13, 11-12 freshman cohort)	<b>73%</b>	<b>61%</b>
2020 (13-14, 12-13, 11-12, 10-11 freshman cohort)	<b>69%</b>	<b>64%</b>
2019 (12-13, 11-12, 10-11, 09-10 freshman cohort)	<b>69%</b>	<b>66%</b>

<b>Four-year average (Graduation Success Rate)</b>	<b>All Students</b>	<b>Student-Athletes</b>
2022 (15-16, 14-15, 13-14, 12-13 freshman cohort)	<b>N/A</b>	<b>86%</b>
2021 (14-15, 13-14, 12-13, 11-12 freshman cohort)	<b>N/A</b>	<b>85%</b>
2020 (13-14, 12-13, 11-12, 10-11 freshman cohort)	<b>N/A</b>	<b>89%</b>
2019 (12-13, 11-12, 10-11, 09-10 freshman cohort)	<b>N/A</b>	<b>89%</b>

<b>Men's Sports (2012-2015 Cohorts)</b>	<b>GSR Score</b>
Baseball	67
Basketball	83
Cross Country	70
Football	76
Golf	85
Outdoor Track & Field	70
Swimming & Diving	84
Wrestling	80

<b>Women's Sports (2012-2015 Cohorts)</b>	<b>GSR Score</b>
Basketball	93
Cross Country	97
Golf	100
Gymnastics	100
Outdoor Track & Field	97
Soccer	92
Softball	93
Swimming & Diving	100
Tennis	100
Volleyball	90

**2021-22 ANNUAL REPORT**  
**Department of Intercollegiate Athletics**  
**University of Missouri - Columbia**  
**Admission Exceptions**

	Summer 2021	Fall 2021	Spring 2022	
Student-Athlete Admission Exceptions (# of individual exceptions)	0	0	0	
All Student Admission Exceptions (# of individual exceptions)	0	0	0	
Percent of Admissions Exceptions who are Student-Athletes	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	

MU does not currently admit students (student-athlete or otherwise) on probation for the following reasons and thus, has no exceptions to report for the 2021-2022 academic year.

All test-optional applicants are reviewed for admission under a comprehensive and holistic process taking into account successful completion of minimum core curriculum, high school performance, accelerated high school coursework, a writing sample and academic competitiveness of the high school. Pursuant action taken by Undergraduate Deans in September 2020 effective for the 2021-2022 academic year, a student who would have been normally admitted conditionally may now be admitted fully without being placed on academic probation to begin their academic career at MU.



**2021-22 MIZZOU ATHLETICS  
ANNUAL REPORT  
270.060**

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- VIII. Compliance and Rules Education
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# INTRODUCTI ON

This past year, our top priorities were to assess the department, identify opportunities for growth and begin building a foundation for future success.



## MEN'S SPORTS

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Baseball, Basketball, Cross Country, Football, Golf, Swim & Dive, Track & Field and Wrestling



## WOMEN'S SPORTS

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Basketball, Cross Country, Golf, Gymnastics, Soccer, Softball, Swim & Dive, Tennis, Track & Field and Volleyball





# ATHLETIC PARTICIPATION BY STUDENT-ATHLETES

<b>Men's Sports (indicate if not applicable--n/a)</b>	<b>Scholarship</b>	<b>Walk-On</b>	<b>Total</b>
Baseball	32	24	56
Basketball	15	3	18
Football	111	37	148
Golf	8	0	8
Rifle	N/A	N/A	N/A
Soccer	N/A	N/A	N/A
Swimming & Diving	31	0	31
Track & Field/Cross Country	19	33	52
Wrestling	28	13	41
<b>Subtotal</b>	<b>244</b>	<b>110</b>	<b>354</b>
<b>Women's Sports (indicate if not applicable--n/a)</b>	<b>Scholarship</b>	<b>Walk-On</b>	<b>Total</b>
Basketball	14	0	14
Gymnastics	14	5	19
Golf	7	4	11
Rifle	N/A	N/A	N/A
Soccer	32	0	32
Softball	26	5	31
Swimming & Diving	36	0	36
Tennis	9	4	13
Track & Field/Cross Country	36	16	52
Volleyball	12	4	16
<b>Subtotal</b>	<b>186</b>	<b>38</b>	<b>224</b>
<b>Grand Total</b>	<b>430</b>	<b>148</b>	<b>578</b>

February 9, 2023

# BUDGET: REVENUE

Revenues:	Football	Men's Basketball	Women's Basketball	Other Sports	Program Specific	Operating Total	Capital Projects	Total
Ticket Sales	8,882,977	2,919,275	177,802	316,364	1,698,517	13,994,935	-	13,994,935
Guarantees	-			25,000		25,000	-	25,000
Contributions	7,132,361	1,690,955	226,335	447,644	10,196,735	19,694,030	9,818,414	29,512,444
Direct Institutional Support				-	12,030,003	12,030,003	-	12,030,003
Indirect Facilities and Administrative Support	612,252	407,161		-	108,011	1,127,424	-	1,127,424
NCAA/Conference Distributions incl. All Tournament Revenu	9,214,970	2,631,878	-	-	5,029,740	16,876,588	-	16,876,588
Broadcast, Television, Radio, and Internet Rights	14,720,000	4,097,779		-	17,931,724	36,749,503	-	36,749,503
Program Sales, Concessions, Novelty Sales, and Parking	1,500,161	267,221	24,523	91,435	500,244	2,383,584	-	2,383,584
Royalties, Advertisements, and Sponsorships				-	7,986,678	7,986,678	-	7,986,678
Endowment and Investment Income				-	1,334,994	1,334,994	87,285	1,422,279
Other Revenues*	231,762	231,625	82,812	943,929	17,558,463	19,048,591	-	19,048,591
<b>Total Revenues</b>	<b>42,294,483</b>	<b>12,245,894</b>	<b>511,472</b>	<b>1,824,373</b>	<b>74,375,109</b>	<b>131,251,331</b>	<b>9,905,699</b>	<b>141,157,029</b>

February 9, 2023

- Year over year revenue numbers have improved in several categories (FY21 numbers were impacted due to COVID 19):
  - Ticket Sales (292% or \$10.4M increase)
  - Fundraising (20% or \$4.9M increase)
  - Institutional Support (1085% or \$11M increase)
    - Additional Out-of-State Fee Waiver Support (\$3,500,000)
    - Campus loan to balance the budget for FY2022 (\$7,515,003)
- Revenue amount includes \$15M of campus support to eliminate previous years' debt for loss revenue due to the Covid-19 pandemic.

# BUDGET: EXPENSES

Expenses:	Football	Men's Basketball	Women's Basketball	Other Sports	Non-Program Specific	Operating Total	Capital Projects	Total
Athletics Student Aid	4,162,568	698,797	610,626	7,834,593	206,688	13,513,272		13,513,272
Guarantees	3,250,000	340,000	178,000	37,227	-	3,805,227		3,805,227
Coaching Salaries, Benefits, & Bonuses Paid by the University	10,193,980	4,609,115	1,370,125	5,899,295	-	22,072,515		22,072,515
Support Salaries Paid by the University	3,821,246	639,817	399,897	1,026,185	17,853,809	23,740,954		23,740,954
Recruiting	1,215,934	329,224	75,705	485,788	-	2,106,651		2,106,651
Team Travel	2,471,784	1,393,135	765,312	3,810,034	38,538	8,478,803		8,478,803
Equipment, Uniforms, and Supplies	1,851,859	188,576	88,183	586,424	67,200	2,782,242	166	2,782,408
Game Expenses	1,189,350	464,951	266,466	657,325	1,166,639	3,744,731		3,744,731
Fundraising, Marketing, and Promotion	19,070	91	6,575	597	1,438,590	1,464,923		1,464,923
Direct Facilities, Maintenance, and Rental	227,216	-	2,298	44,621	15,614,445	15,888,580	21,872,109	37,760,689
Spirit Groups				-	324,510	324,510		324,510
Indirect Facilities and Administrative Support	612,252	407,161		-	108,011	1,127,424		1,127,424
Medical Expense and Medical Insurance				-	1,492,121	1,492,121		1,492,121
Membership and Dues	5,982	4,213	758	44,966	40,289	96,208		96,208
Other Operating Expenses	3,786,905	1,211,712	310,668	1,198,331	8,569,653	15,077,269		15,077,269
<b>Total Expenses</b>	<b>32,808,146</b>	<b>10,286,792</b>	<b>4,074,613</b>	<b>21,625,387</b>	<b>46,920,493</b>	<b>115,715,430</b>	<b>21,872,275</b>	<b>137,587,705</b>
<b>Excess (Deficiency of Revenues over Expenses)</b>	<b>9,486,337</b>	<b>1,959,102</b>	<b>(3,563,141)</b>	<b>(19,801,014)</b>	<b>27,454,616</b>	<b>15,535,900</b>	<b>(11,966,576)</b>	<b>3,569,324</b>

- Indoor Football practice facilities expenses are shown in this report. A total of \$12.9M of expenses were incurred in FY2022.
- Team travel expenses increase by 49% or \$2.8M compared to FY21. Reasons include a more normal schedule for some of our sports, and inflation in travel costs. We still see inflation impacting our budget in FY2023.

# STUDENT-ATHLETE ACADEMIC HIGHLIGHTS

We look forward to continuing to provide excellent academic services, building on these numbers and setting records in the classroom.

Of our 550 total student-athletes:

- 93 Student-Athlete graduates in 2021-22
- 347 Fall Student-Athletes/ 332 Spring Student-Athletes with a 3.0 or better
- Record Fall 2021 GPA – 3.22 (we have since surpassed this record)
- 16 Fall Sports with 3.0 or better/ 14 Spring Sports with 3.0 or better
- 12 Record Team GPAs
- 423 Student-Athletes on their respective Dean's List
- 313 Student-Athletes on the SEC Honor Roll



# ACADEMIC PROGRESS RATE

Men's Sports (indicate if not applicable--n/a)	APR Score
Baseball	981
Basketball	963
Cross Country	973
Football	983
Golf	992
Outdoor Track & Field	974
Swimming & Diving	992
Wrestling	986
Women's Sports (indicate if not applicable--n/a)	APR Score
Basketball	1000
Cross Country	1000
Golf	1000
Gymnastics	995
Outdoor Track & Field	998
Soccer	996
Softball	992
Swimming & Diving	994
Tennis	1000
Volleyball	995

APR Score based upon multi-year rate including the 2017-18, 2018-19, 2019-20, 2020-21 academic years.

\*APR Data for 2019-20 and 2020-21 is not publicly released in response to the COVID-19 pandemic and its impact on intercollegiate athletics.

- Mizzou's 18 programs combined to average a multi-year score of 990 – above the national four-year average of 984.
- 15 teams matched or improved their APR over the last public release in 2018-19.
- Football produced its highest APR in the 18-year history of the metric while 12 Mizzou teams scored 990 or better.
- 1000 is the best score available.

# GRADUATION SUCCESS RATE

Four-year average (Federal IPEDS Rate)	All Students	Student-Athletes
2022 (15-16, 14-15, 13-14, 12-13 freshman cohort)	71%	63%
2021 (14-15, 13-14, 12-13, 11-12 freshman cohort)	73%	61%
2020 (13-14, 12-13, 11-12, 10-11 freshman cohort)	69%	64%
2019 (12-13, 11-12, 10-11, 09-10 freshman cohort)	69%	66%
Four-year average (Graduation Success Rate)		Student-Athletes
2022 (15-16, 14-15, 13-14, 12-13 freshman cohort)	N/A	86%
2021 (14-15, 13-14, 12-13, 11-12 freshman cohort)	N/A	85%
2020 (13-14, 12-13, 11-12, 10-11 freshman cohort)	N/A	89%
2019 (12-13, 11-12, 10-11, 09-10 freshman cohort)	N/A	89%

Men's Sports	GSR Score
Baseball	67
Basketball	83
Cross Country	70
Football	76
Golf	85
Outdoor Track & Field	70
Swimming & Diving	84
Wrestling	80
Women's Sports	GSR Score
Basketball	93
Cross Country	97
Golf	100
Gymnastics	100
Outdoor Track & Field	97
Soccer	92
Softball	93
Swimming & Diving	100
Tennis	100
Volleyball	90

The University of Missouri posted an 86 in the NCAA's Graduation Success Rate metric, designed to assess student-athlete academic achievement. The Tigers improved from their score of 85 from last year's report.





## STUDENT-ATHLETE DEVELOPMENT

### HIGHLIGHTS

1. Mental Health and Nutrition identified as immediate priorities and we have added resources and team members in both areas.
  1. *Three new staff members in mental health*  
February 9, 2023
  2. *Two new staff members in nutrition*
2. New student-athlete survey protocols to open lines of communication between student-athletes and administration personnel.
3. Approximately 500 hours assisting student-athletes in the career center.
4. Student-Athletes spend approximately 3,400 hours volunteering with 80 different organizations.
5. We still have work to do and look forward to building on 2021-22.



# NAME, IMAGE & LIKENESS



Missouri Senate Bill 718 was signed into law by Governor Parson and now allows state institutions to assist student-athletes in maximizing Name, Image and Likeness (NIL) opportunities.

- After an analysis of national trends, Mizzou Athletics has devoted resources by hiring a specific Assistant Athletic Director for NIL.
- Mizzou Athletics created a Mizzou-specific Opendorse marketplace, increased educational programming and created an in-house team to work directly in the NIL space;
- Mizzou Athletics – partnered with the Griggs Innovators Nexus, Missouri School of Journalism, and Trulaske College of Business and created a three-day NIL experiential learning program for Tigers student-athletes;
- Established a partnership with Fanatics to allow for the creation of personalized student-athlete merchandise.





## DIVERSITY, EQUITY & INCLUSION

1. Athletics & University staff traveled to St. Louis and Kansas City Public Schools to host the Mizzou Youth Experience.
2. Monthly diversity, equity and inclusion meetings with the SEC.
3. Student-Athletes Fostering Equality (SAFE), Black Student-Athlete Association (BSAA) and Female Athletic Minorities at Mizzou (FAMM) continued to provide ongoing education and awareness of inclusive topics relative to multiple identities of student-athletes.  
February 9, 2023
4. Twelve student-athletes and four staff members attended the Black Student-Athlete Summit in May 2022.





## COMPLIANCE & RULES EDUCATION

1. Education and monitoring were identified as opportunities for growth.
2. Systematic planning in place for compliance rules education efforts in 2022-23.
3. In 2022-23, we look forward to meaningful education for student-athletes, coaches, athletics department staff, university staff, prospective student-athletes, businesses, etc.



# OUTREACH & ENGAGEMENT

1. Reviewed over 25,000 fan survey responses during the 2021 football season leading to significant gameday enhancements:
  1. Moving student section to one centralized area
  2. Moving visit team fans away from 50-yard line
  3. Mobile ordering and locker pickup system for concessions  
February 9, 2023
  4. Improving tailgate areas
  5. Revamping the pregame show
  6. Less-commercialized in-game presentation with fewer sponsor announcements



# OUTREACH & ENGAGEMENT

1. Tiger Tuesdays and Black & Gold Fridays
2. Summer 2022 Come HOME Tour
  1. Four States: Missouri, Kansas, Illinois and Texas
  2. 25 events, 7,500 fans and 7,309 miles
3. 2021-22 saw the most student all-sport passes sold since 2016
4. Addition of 7<sup>th</sup> home game, which was later moved to Thursday night February 9, 2023
5. High school basketball championships moving back to Columbia for the first time since 2017



# ATHLETIC HIGHLIGHTS

Mizzou Athletics saw some remarkable success on the field, court, pool, in 2021-22, however, with a 57th-place finish in the Learfield Directors' Cup, there is still room for growth. Athletic highlights are as follows:



- Keegan O'Toole – 2022 NCAA Wrestling Champion in the 165-pound weight class and helped the team to a Big 12 Conference Championship
- Gymnastics earned a Top-10 finish at NCAAs
- Six teams qualified for post-season play: Football, Men's Golf, Gymnastics, Softball and Wrestling.
- Three conference champions: Keegan O'Toole (wrestling), Roberto Vilches (indoor high jump) and Mitch Weber (outdoor discuss)



# ATHLETIC HIGHLIGHTS



- 33 All-SEC performers and 18 All Americans
- 2 coach of the year awards: Brian Smith (Big 12) and Shannon Welker (SEC)
- 2 new head coach hires in 2021-22:
  - Dennis Gates
  - Caroline Westrup
- Construction began on Stephens Indoor Practice Facility



**Executive Summary**  
**Amendments to CRR 300.010,**  
**Faculty Bylaws of the University of Missouri – Columbia**

**Background**

The revisions to Collected Rules and Regulations, Section 300.010, Faculty Bylaws of the University of Missouri – Columbia were designed to clarify the representation of non-tenure track (NTT) faculty on the MU Faculty Council. Specific revisions include:

- Language modified to include Extension field faculty and librarians as members of the MU Faculty Council, consistent with definitions of NTT faculty in CRR 310.035.B.
- Added language to treat Extension faculty, who report to a vice chancellor rather than a dean, as an academic unit for the purposes of determining representation on Faculty Council. This arrangement is already in place for librarian faculty.
- Updated language throughout the document to be gender-neutral, per July 2020 guidance from the Board. Additional language was updated to reflect the Faculty Council’s method of reporting its actions on a public website.

This proposal was passed by the Faculty Council on December 15, 2022 and put to a general vote of the MU Faculty, which approved the proposal 368 to 50.

No. 2

Recommended Action – Revisions to Collected Rules and Regulations 300.010,  
Faculty Bylaws of the University of Missouri – Columbia

It was recommended and endorsed by President of the University of Missouri Mun  
Y. Choi, recommended by the Academic, Student Affairs and Research & Economic  
Development Committee, moved by Curator \_\_\_\_\_, seconded by  
Curator \_\_\_\_\_ that the following action be approved:

that Collected Rules and Regulations, Section 300.010, Faculty Bylaws of the  
University of Missouri – Columbia, be revised as attached.

Roll call vote of the Committee: YES NO

Curator Layman

Curator Graves

Curator Hoberock

The motion \_\_\_\_\_.

Roll call vote of Board: YES NO

Curator Brncic

Curator Graves

Curator Hoberock

Curator Holloway

Curator Layman

Curator Wenneker

Curator Williams

The motion \_\_\_\_\_.



# 300.010 Faculty Bylaws of the University of Missouri-Columbia

Bd. Min. 11-22-74; Amended Bd. Min. 2-15-80 and 4-25-80; Amended Bd. Min. 1-31-91; 6-6-08; Amended 6-17-11; Amended 4-12-13; Amended 4-22-21; Amended 2-9-23.

A. **The Faculty Bylaws** for the University of Missouri-Columbia as approved by the faculty on November 14, 1974 (a copy of which is on file with the Secretary), be approved, subject to the following:

1. That the Bylaws are subject to all rules and regulations of the Board of Curators.
2. That any amendment of the Bylaws shall be submitted to the Board of Curators for approval before becoming effective.
3. This action be printed as part of the printed Bylaws.

B. **Membership** -- The University of Missouri-Columbia\* faculty shall consist of the president, chancellor, all persons with regular academic appointments, and all full-time, ranked non-tenure track (NTT) faculty with professorial designation as defined in CRR 310.035.B. Campus-wide faculty votes on issues specific to tenure or tenured/tenure track (T/TT) faculty will be restricted to T/TT faculty.

\*(Hereafter referred to as UMC. Also, when "faculty" is used alone, it is meant to refer to the UMC faculty, unless otherwise specified.)

C. **Faculty Rights, Ethics, Responsibilities and Authority**

1. **Rights**

- ~~a.~~ **Academic Rights** -- Faculty members have the right to freedom of inquiry,  
a. discourse, research, publication and teaching. These rights are accompanied by their correlative responsibilities as noted in 300.010.C.1 and C.2 in this section (Also Ref: Sections 310.010-310.070).
- b. **Civil Rights** -- Faculty members do not relinquish any of their constitutional rights by virtue of employment with the University of Missouri (Ref: Sections 330.020, 330.030 and 90.050).
- c. **Employment Rights** -- Faculty members have rights consistent with their continuous appointment or term appointment. These include the right to be notified as early as possible of their appointments and conditions of contract renewal (Ref: Sections 310.010-310.070).
- d. **Right to be Kept Informed** -- The faculty has the right to be informed of actions and activities of committees and executive officers of the campus and of the University-wide system, including those related to budget matters, as well as decisions of other bodies which affect UMC. Where possible, this information shall be made available to the faculty before being made available to the general public.

2. **Professional Ethics and Academic Responsibilities** -- The [professor/faculty member](#), guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities placed upon [him/her/them](#). [His/her/They/The faculty member's](#) primary responsibility to [his/her/their](#) subject is to seek and to state the truth as [he/she/the faculty member](#) sees it. To this end [he/she/the faculty member](#) devotes [his/her/their](#) energies to developing and improving [his/her/their](#) scholarly competence. [He/she/They/The faculty member](#) accepts the obligation to exercise critical self-discipline and judgment in using, extending and transmitting knowledge. [He/she/They/The faculty member](#) practices intellectual honesty. Although [he/she/they/the faculty member](#) may follow subsidiary interests, these interests must never seriously hamper or compromise [his/her/their](#) freedom of inquiry.
- a. **As a teacher**, the [professor/faculty member](#) encourages the free pursuit of learning in [his/her/their](#) students. [He/she/They/The faculty member](#) holds before them the best scholarly standards of [his/her/their/the faculty member's](#) discipline. [He/she/They/The faculty member](#) demonstrates respect for the student as an individual, and adheres to [his/her/their](#) proper role as intellectual guide and counselor. [He/she/They/The faculty member](#) makes every reasonable effort to foster honest academic conduct and to assure that [his/her/their](#) evaluation of students reflects their true merit. [He/she/They/The faculty member](#) respects the confidential nature of the relationship between [professor/faculty member](#) and student. [He/she/They/The faculty member](#) avoids any exploitation of students for [his/her/their/the faculty member's](#) private advantage and acknowledges significant assistance from them. [He/she/They/The faculty member](#) protects [their-students'](#) academic freedom.
  - b. **As a colleague**, the [professor/faculty member](#) has obligations that derive from common membership in the community for scholars. [He/she/They/The faculty member](#) respects and defends the free inquiry of [his/her/their](#) associates. In the exchange of criticism and ideas [he/she/they/the faculty member](#) shows due respect for the opinions of others. [He/she/They/The faculty member](#) acknowledges [his/her/their](#) academic debts and strives to be objective in [his/her/their](#) professional judgment of colleagues. [He/she/They/The faculty member](#) accepts [his/her/their](#) share of faculty responsibilities for the governance of [his/her/their](#) institution.
  - c. **As a member of [his/her/their](#) institution**, the [professor/faculty member](#) seeks above all to be an effective teacher and scholar. Although [he/she/they/the faculty member](#) observes the stated regulations of the institution, provided they do not contravene academic freedom,

~~he/she/they~~the faculty member maintains ~~his/her/their~~ right to criticize and seek revision. ~~He/she/They~~The faculty member determines the amount and character of the work ~~he/she/they~~ does outside ~~his/her/their~~ institution with due regard to ~~his/her/their~~ paramount responsibilities within it. When considering the interruption or termination of ~~his/her/their~~ service ~~he/she/ , they~~the faculty member recognizes the effect of ~~his/her/their~~ decision upon the program of the institution and gives due notice of ~~his/her/their~~ intentions.

- d. **As a member of ~~his/her/their~~ community**, the ~~professor~~faculty member has the rights and the obligations of any citizen. ~~He/she/They~~The faculty member measures the urgency of those obligations in the light of ~~his/her/their~~ responsibilities to ~~his/her/their~~ subject, to ~~his/her/their~~ students, to ~~his/her/their~~ profession, and to ~~his/her/their~~ institution. When ~~he/she/they~~the faculty member speaks or acts as a private person ~~he/she/they~~the faculty member avoids creating the impression that ~~he/she/they~~ speaks or acts for ~~his/her/their~~ college or university. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the ~~professor~~faculty member has a particular obligation for promoting conditions of free inquiry and to further public understanding of academic freedom. Further, the faculty accepts the responsibility of monitoring its own members if accepted standards of professional responsibility are abrogated (Section 300.010.L of these Bylaws).
3. **Authority** -- The faculty's authority, as delegated by the Board of Curators, is of three types: direct and primary, in which the faculty has essential decision-making authority; shared, in which the faculty participates with others; and advisory, in which the faculty counsels with the person or offices with ultimate decision-making authority. (On those matters requiring multi-campus coordination, the faculty shall act through its appropriate bodies, Section 300.010.F.)
- a. **Primary and Direct Authority** -- The UMC faculty has essential decision-making authority in matters directly affecting the educational program of UMC, including but not limited to:
- (1) Articulation and maintenance of standards of academic performance -- this includes but is not limited to guidelines for appropriate research, service, and scholarships; requirements for graduation; and related matters.
  - (2) Construction and approval of courses of instruction and of curricula.
  - (3) Construction and approval of procedures governing educational support programs on the UMC campus.

- (4) Formulation of criteria determining professional standing of faculty -- including but not limited to such matters as tenure, promotion, termination, guidelines for responsibility, faculty standing with regard to graduate faculty membership and doctoral dissertation supervision.
- (5) Determination of an appropriate faculty committee structure.
- (6) Determination of minimum admission requirements.
- (7) Selection of awardees for academic scholarships.

**b. Shared Authority** -- The UMC faculty has shared authority by which it participates cooperatively with other persons or offices in matters such as:

- (1) Development and articulation of students' rights and responsibilities.
- (2) Determination of an appropriate academic calendar.
- (3) Selection of awardees for honorary degrees.
- (4) Application of criteria affecting professional standing of faculty.

**c. Advisory Authority** -- The UMC faculty has advisory authority and responsibility with other persons or offices in matters such as:

- (1) Budget and resource allocation.
- (2) Planning, including capital expenditures and physical facilities.
- (3) Selection of departmental, divisional, campus, and university-level administrators.
- (4) Determination of the campus standing committee structure.
- (5) Development and implementation of general business procedures which facilitate academic program excellence.
- (6) Use of facilities for program activities.
- (7) Application of criteria affecting promotion, tenure and termination.

**d. Faculty Delegation of Authority** -- The faculty, recognizing that handling matters through meetings of the faculty is cumbersome, that attendance at such meetings varies, and that it is often difficult to have complete discussion of issues at such meetings, may delegate its authority to the Faculty Council. Such delegation, if made, shall be in accord with and subject to the following provisions:

- (1) The delegation shall be made by majority vote of the faculty by mail ballot or at a regular meeting of the faculty. The delegation may be for a specific period (not less than one academic year) or for an indefinite period. However, the delegation may be withdrawn at any time by specific action of the Faculty.
- (2) The delegation shall not prevent the calling of meetings of the faculty under the provisions of Section 300.010.C. Regular meetings of the faculty shall be held at least once a semester.

(3) The delegation shall give the Faculty Council authority to act for the faculty and, except as provided below, to take such actions as the faculty could take. (a) This authority shall include but not be limited to:

- Proposing revisions of the Bylaws to be submitted to the faculty for adoption.
- Referring any matter to the faculty either by calling a meeting of the faculty or by mail ballot.
- Appointing special committees (whose members need not be members of the Faculty Council) to report to the Faculty Council

(b) The authority to amend these Bylaws is not delegated.

(c) The delegation shall not affect the prerogatives of individual faculty members nor of individual faculties.

(4) Any member of the faculty may request any matter to be placed on the agenda of the Faculty Council and may request to be allowed to appear before the Faculty Council. Such requests may be made either through ~~his/her~~their representatives or the chairperson of the Faculty Council.

(5) Meetings of the Faculty Council shall be open to all members of the faculty.

(6)       -The actions of the Council, in those areas in which it has delegated authority, shall be deemed final unless challenged within 10 days. Such challenge shall require a petition signed by 25 faculty members from at least three divisions calling for a review by the faculty of a particular council action.

(7) The Faculty Council shall report its actions to the faculty either at a meeting of the faculty or in the Faculty Bulletin via the Faculty Council website.

#### D. Meetings

1. The faculty shall meet at times determined by it or when called by the chancellor. Upon written request of twenty (20) members of the faculty addressed to the chancellor, a meeting shall be called within fifteen (15) days of receipt by the chancellor.
2. Reasonable notice (preferably one week minimum) shall be given by the chancellor to all members of the faculty of the time and place of all faculty meetings.
3. Fifty (50) members of the faculty representing at least three (3) academic divisions shall constitute a quorum.
4. The agenda for faculty meetings shall be determined jointly by the chairperson of the Faculty Council on UMC Policy and the chancellor.

Any item of new business not included on the distributed agenda of a faculty meeting will require either a 50 percent vote of approval of those present to be considered at the next faculty meeting or, to be enacted at the meeting at which it is introduced, two-thirds vote of approval of those present.

**5. E. Faculty Organization**

1. The authority of the faculty as delegated by the Board of Curators shall include the responsibilities set forth in Section 300.010.C. In order to perform these functions, the faculty takes cognizance of the consequences of its size and complexity and therefore delegates specific policy making and coordinating functions to representative bodies. The main representative body shall be a Faculty Council.
2. The Faculty Council is established as the elected representative body of the faculty. It shall act for the general faculty on all matters within the framework of the policies expressed in these Bylaws and shall function in accordance with the specifications formulated in Section 300.010.C. The Faculty Council shall have the right to delegate some of its operation tasks to an executive committee and/or its officers.
3. The Faculty as a whole shall approve all policies which involve a modification or change of the principles set forth in these Bylaws. The faculty further may review decisions and actions by the Faculty Council provided that a petition requesting such action has been signed by at least 25 faculty members representing at least three divisions of the campus.
4. There shall be a Graduate Faculty organization. It shall develop its own criteria for membership, organizational structure, its own obligations and rights providing they are consonant with the philosophy and principles of the federal faculty Bylaws. The Graduate Faculty shall determine the functions of the Graduate Faculty Senate. The Graduate Faculty shall set standards for graduate education on the campus, provided they meet at least the minimum standards established by the general faculty.
5. Divisional faculties are established in the various academic divisions. They shall develop policies adapted to their specific needs, but standards of performance must not be set below those established by the general faculty. Establishment of new divisions shall entitle them to representation where divisional representation is designated in these Bylaws or otherwise deemed appropriate.

**6. F. Faculty Participatory Authority and Functions in Campus Governance**

1. Participatory authority and functions of the faculty are expressed through faculty involvement in the campus committee structure including those committees which govern academic and administrative matters affecting the campus, faculty and students. The faculty participates in the selection of

administrative officers. The faculty participates in the monitoring of administrative and academic operating procedures. These participatory functions of the faculty are articulated as follows:

- a. The faculty, through its elected representative structure, the Faculty Council, nominate faculty members to participate in a specially designated body currently called the University Assembly which is charged with advising the chancellor on matters mutually affecting all constituencies of the University (faculty, students, administration, and non-academic employees), and nominating members to campus-wide standing committees. The participation of the UMC faculty in this Assembly will represent faculty participation to the extent that the domains of faculty primary and direct authority are not infringed upon.
  - b. An Academic Regulations Committee shall be established consisting of representatives of the Faculty Council (which may be the Executive Committee) and campus administration. This committee will assume responsibility for the development and monitoring of campus standard operating guidelines which, after approval by the Faculty Council, administration, and students where appropriate, shall be published as "Academic Regulations Manual." These guidelines will cover the academic schedule of studies and examinations, calendar, academic procedures and policies and campus governance and shall be consonant with these Bylaws. This committee will meet regularly to monitor these guidelines and to coordinate the need for modification and changes.
  - c. The Faculty Council will nominate faculty members to participate in ad hoc committees, including Search and Screening Committees for campus administrators and academic officers.
2. The faculty representatives to the University Assembly and the Academic Regulations Committee will report to the Faculty Council at appropriate intervals.

#### **G. Faculty Participation in University-wide Governance**

1. The faculty shall participate in education policy determination about those matters which are University-wide; some of these will be parallel to those issues in which the faculty exercises shared authority at the campus level (Section 300.010.C.3.a). The faculty's responsibility in these matters shall be exercised through mechanisms such as:
  - a. The Intercampus Faculty Council on which the UMC faculty shall have representatives designated by the UMC Faculty Council.
  - b. The University Doctoral Council to which the UMC Graduate Faculty shall elect its members.

- c. Ad hoc and standing University-wide committees to which the faculty (often acting through its elected campus body, the Faculty Council) shall designate its members.
- d. Intercampus committees concerned with cooperation in educational and research activities within the respective disciplines.

#### H. Faculty Council on UMC Policy

~~4.~~ **Representative Faculty Voice:** A Faculty Council shall be composed of faculty members who shall be elected by the several divisional faculties as hereinafter provided. The Faculty Council shall have certain delegated authority to act on behalf of the General Faculty (Section 310.010.C.3.c of these Bylaws). In addition, the Council, as a representative faculty voice, shall advise the chancellor and the UMC faculty on questions of UMC policy submitted by either to the Council, and may initiate recommendations concerning changes in the UMC policy for consideration and appropriate action by the chancellor or UMC faculty.

~~1.~~

~~2.~~ **Academic Unit Selections:** All colleges and schools that are headed by a dean who reports to the provost for academic affairs shall be entitled to voting representation. For the purposes of Academic Unit Selections both MU Libraries and MU Extension each will be treated as schools entitled to voting representation.

~~2.~~

~~3.-~~

~~4-3.~~ **Allocation of Representatives:** Faculty Representatives shall be allocated to a college or school on the basis of the total number of full-time ranked faculty members of the UMC faculty (as defined in section B above) within the college or school. The determination of the number of full-time ranked faculty representatives shall be made on November 1 of each academic year, and the number so determined shall govern representation for the next academic year. A full-time ranked representative who has a joint appointment in two or more colleges or schools shall be assigned to the college or school in which the representative devotes the largest percentage of the representative's time. If the assignment cannot be made on this basis, the Council shall make the assignment, first having consulted with the representative to the extent feasible. A full-time ranked representative who has an Extension appointment and an appointment in a college or school shall represent that college or school; a full-time ranked representative who has an Extension appointment and does not have an appointment in a college or school shall represent Extension. Representation of the various colleges and schools shall be based upon persons holding eligible ranks listed in the most recent UMC general catalog. Emeritus professor/faculty members



will not be included in the computations, with the exception that retired [professor/faculty member](#)s on continued service will be counted.

Each college or school shall be entitled to representation at a basic ratio of one representative for each fifty (50) full-time ranked faculty members or majority fraction thereof (26-49), and in particular as follows: one (1) representative for 1-75; two (2) representatives for 76-125; and so on for each additional fifty (50) full-time ranked faculty or major fraction thereof. Notwithstanding the basic ratio, no school or college is entitled to more than eight representatives.

In the event the number of full-time ranked faculty members changes to the point where the basic ratio would give less than 30 or more than 35 representatives, the Council by a finding recorded in its minutes shall adjust the ratio to produce not less than 30 and not more than 35 representatives.

**5.4. Minimum Number of T/TT and NTT Representatives:** The minimum number of T/TT faculty representatives on the Council shall be four, and the minimum number of NTT faculty representatives on Council shall be four. If, as the result of academic unit selections of representatives, fewer than four NTT faculty or four T/TT faculty are included in the makeup of Faculty Council on September 15 of any year, Faculty Council shall organize and hold a special election of the respective full-time ranked NTT or T/TT faculty to achieve the minimum. Only full-time ranked NTT faculty will vote in a special election for an NTT representative; Only full-time ranked T/TT faculty will vote in a special election for a T/TT representative.

The selected representatives will be added to the Faculty Council in addition to those chosen by the academic unit selections, and their addition may increase the size of Faculty Council to more than 35 full-time faculty ranked faculty representatives. Representatives elected in special elections will serve regular three-year terms.

**6.5. Limitation on Administrative Members:** Members of the UMC faculty who hold administrative positions with the rank of assistant dean or higher, or equivalent positions regardless of the title, are ineligible for election or service. Only those eligible to serve on the Faculty Council as full-time ranked faculty are eligible to vote for full-time ranked representatives on the Council.

**7.6. Election Procedures:** The full-time ranked faculty of each college or school shall determine the election procedures for the election of its representative or representatives and shall report these to the Faculty Council. Election shall be by secret ballot. In those divisions that have two or more representatives, terms shall be staggered.

**8.7. T/TT Matters:** As defined in the Faculty Council Rules of Order, NTT faculty representatives are not eligible for service on the Faculty Council

Board of Tenured or Tenure-Track Faculty, which votes on matters specific to tenure or tenured/tenure track (T/TT) faculty.

**8. Term of Office:** The regular term of office for a member shall be three years beginning on the first day of the fall semester. No member shall serve more than two terms in succession, but a member may serve any number of discontinued terms, and even though the member has served two terms in succession may from time to time serve two more terms in succession after a break in service. Terms of less than three years, whether of one or two years duration or fraction thereof shall count the same as a three-year term.

**9. I. Officers of the Faculty**

1. The chairperson of the general faculty shall be the chancellor. The vice chairperson of the faculty shall be the chairperson of the Faculty Council. Ordinarily, the chairperson shall preside at faculty meetings, but determination of who shall preside will be guided by the nature of the business at hand. The vice chairperson shall preside at meetings of the general faculty in the absence of the chairperson, or at other times when so designated by the chairperson.
2. The secretary of the faculty shall be a member of the general faculty and shall be appointed by the Faculty Council. The secretary shall keep minutes of all faculty meetings and shall distribute copies of the same to all members of the general faculty, and shall provide copies of the agenda of all faculty meetings to all members of the faculty prior to any faculty meeting. (By Faculty Council action October 21, 1982, the recorder of Faculty Council shall be secretary of the faculty, with the technical assistance of the registrar; the minutes of the general faculty meetings shall be reviewed, approved and distributed to all faculty in the same manner as the minutes of the Faculty Council meetings.)
3. A parliamentarian shall be appointed by the chairperson from among members of the faculty.

**J. Designation of Faculty Representatives**

1. The Faculty Council shall monitor faculty representation on all committees where such representation is required by the Bylaws and on other committees where faculty representation is appropriate.
- 2.** Faculty-originated appointments to campus and university committees may be challenged by a signed petition calling for a campus-wide election from at least 25 members of the faculty representing at least three divisions of UMC. The Faculty Council shall vote on such petition, and if approved, shall initiate a campus-wide election.

**2. K. Faculty Tenure Committee**

1. The University of Missouri-Columbia Faculty Committee on Tenure shall be composed of members elected by the faculty of colleges and schools that are

headed by deans who report to the provost for academic affairs. The faculty of each such college or school shall be entitled to have one single elected member of the University of Missouri-Columbia Faculty Committee on Tenure at any given time.

2. Faculty of each college or school shall, at a regular meeting during the second semester in each academic year, elect one of its members to membership on the University of Missouri-Columbia Faculty Committee on Tenure to serve for the following academic year, and also elect an alternative member, who shall serve in the event the regular committee member is unable to serve. If a faculty fails to elect during the second semester, or a vacancy in its representation occurs after it has elected, a later election may be conducted. Elections of members and alternate members shall be reported to the provost of academic affairs who shall cause the names of the members, alternate members and officers of the committee to be published in the same manner as the membership of the Faculty Council on University Policy.
3. At the inception of a hearing before the committee, the respondent and the relator may challenge members present (including alternate members and the chairperson and secretary) for cause. A member challenged for cause is entitled to be present during the hearing on the challenge but ~~he/she~~ the member, the relator and respondent, shall withdraw from the meeting during the vote on the challenge. If a challenge for cause of the chairperson is sustained, the secretary shall act as chairperson. If neither the chairperson nor the secretary is present after action on challenges for cause, the committee shall elect a chairperson pro tempore to preside at the hearing.
4. As prescribed by Sections 310.010-310.070, University of Missouri Collected Rules and Regulations, at least ten members of the committee or their alternates must be present to constitute a quorum at a meeting to elect a permanent chairperson or secretary and at the inception of a hearing. For the purposes of acting on challenges and conducting a hearing after the disposition of challenges, seven members of the committee, or their alternates, shall constitute a quorum. If, during the course of a hearing, the number of members, or their alternates, not previously removed by challenge, are present. The relator and the respondent shall be given opportunities to challenge for cause members or their alternates who were not present from the inception of the hearing and to request that such members or alternates listen to or read the taped or stenographic record of any portion of the hearing at which they were not present.

#### **L. Procedures Governing the Disposition of Charges of Faculty Irresponsibility**

1. **Basis for the Article** -- This faculty has affirmed its commitment to the principles of academic freedom repeatedly, and has recognized that academic freedom implies also academic and professional responsibility and obligations. In support of this recognition the faculty has accepted the

American Association of University Professors' statement of ethical standards (1966) and other standards pertaining to specific duties. (Ref: Section 300.010.C of these Bylaws; Section 420.010 Research Dishonesty) Following the principle that a faculty should monitor its own members, Section 300.010.L establishes appropriate procedures for dealing with cases of alleged violation of professional responsibility.

**2. Definition of Faculty Member and Teacher**

a. The term "faculty member" as used in this article means a person holding a regular or non-regular academic staff position at the rank of instructor or above.

~~b.~~ The term "teacher" as used in this article means a person other than a "faculty

b. member" who holds an academic staff position.

**3. Purpose and Limits of the Article** -- This article shall govern the filing and disposition of charges alleging breaches of professional ethics or commission of irresponsible acts made against UMC faculty members and teachers. No portion of this article shall be deemed to amend or affect Section 10 of the Academic Tenure Regulations, March 10, 1950, or any revision thereof; nor shall this article be construed to affect adversely the rights which any person may have under the University Tenure Regulations.

**4. Initiation and Transmission of a Charge** -- A charge of unethical or irresponsible action may be brought against a faculty member or teacher by a person or group of persons associated with the University, such as a student, faculty member, teacher, administrator, or board member.

a. The charge must be submitted in writing and signed by the person or persons making the charge. The charge must specify the act or acts which allegedly constitute unethical or irresponsible action, and must be supported by pertinent details such as time(s), the act(s) was/were committed, specific place(s) where the act(s) occurred, names of witnesses who are able to support the charge, the conditions under which the alleged act(s) occurred, and any additional relevant information.

b. The charge shall be transmitted promptly to the UMC provost for academic affairs, whose office shall ascertain the extent to which the charge describes the act(s) that allegedly constitutes unethical or irresponsible action, and determine that all necessary details have been supplied. The provost shall discuss the substances of the charge with the accuser(s) to assure further that the facts and nature of the charge are understood clearly. Once the provost has verified the procedural adequacy of the charge, ~~he/she~~ the provost shall forward it promptly to

- the dean of the division in which the accused faculty member or teacher has [his/her/their](#) academic appointment.
- c. Upon receipt of the signed, written charge against a faculty member or teacher employed within [his/her/their](#) division, the dean shall consult with the accused's department chairperson, in those divisions with more than one department. They shall review the charge for adequacy of procedural detail. If in their opinions, the charge is vague or insufficiently detailed, they shall so inform the provost in writing and return the charge to [him/her/them](#) with a request for clarification, or addition of information, and resubmission.
  - d. If in the opinions of the divisional dean and the department chairperson the charge is properly described, the department chairperson, or dean in those divisions without departments, as soon as possible, shall provide the accused with a full copy of the charge, including the name of the person, or persons, making the charge.
5. **Action by the Department Chairperson (or Divisional Dean)** -- The department chairperson shall discuss the alleged violation informally with the accused and with the accuser, meeting them either together or separately, or both, and shall attempt to reconcile differences and find a solution acceptable to all persons involved.
- a. If an acceptable solution is found, this shall be reported by the chairperson in writing to the divisional dean along with any explanation and justification. A copy of the report shall be furnished the accused. If an acceptable solution is not found, the department chairperson shall report this fact in writing to the divisional dean along with such comments as [he/she](#) considered [sed](#) appropriate. A copy of this report shall be supplied to the accused. In addition, the chairperson shall provide the accused with a written statement of [his/her/their](#) recommendations for disposition of the charge and shall describe the rights of the accused to an informal hearing.
  - ~~b.~~ If the divisional dean agrees with the acceptable solution and the provost for
  - ~~b.~~ academic affairs concurs, this shall end the matter and the accused shall be so informed. If the divisional dean or the provost for academic affairs does not agree with the acceptable solution or if no acceptable solution was reached, the matter may be referred back to the department chairperson for further negotiation, or the procedures under Section 300.010.L.6 shall be followed.
  - c. In those divisions having only one department, the divisional dean shall take the steps set out in Section 300.010.L.5 and shall report to the provost for academic affairs.

~~d.~~ The department chairperson or the divisional dean shall be disqualified from action

~~d.~~ under Section 300.010.L.5 if ~~he/she~~that individual is the accuser or the accused and in such case the respective department or division shall elect a chairperson pro tem to act instead.

**6. Informal Hearing Before Peers at the Department or Divisional Level** ~~---~~ If a resolution of the charge is not reached under the provisions of Section 300.010.L.5, the ~~divisional dean~~divisional dean or equivalent shall inform the accused in writing of ~~his/her~~their recommendations for disposition of the charge, and shall describe the rights of the accused to an informal hearing. The accused may request in writing an informal hearing at either the department level (in divisions with more than one department) or the divisional level, but not both. If no written request is made by the accused within ten (10) school days, or if ~~he/she~~the accused waives in writing the informal hearing, the procedures of Section 300.010.L.7 shall be followed.

~~a.~~ After a written request for an informal hearing, such hearing shall be held by a

~~a.~~ committee designated for this function according to the following procedure:

(1) A Department Committee on Faculty Responsibility shall be established annually according to normal procedures in the structuring of committees in the department. If the accused or the accuser is a member of the committee, ~~he/she is~~they are disqualified from the committee for that case. If the accused is a teacher, the department committee must be adjusted to include peers of the same academic rank, in proportion to the department roster. In small departments, same-level peers may be appointed from related departments by mutual consent of the accused and the department chairperson. The chairperson shall supply the accused with a written report of the membership of the Department Committee on Faculty Responsibility.

(2) For the Divisional Committee on Faculty Responsibility, a panel of 13 faculty members and a special panel of five teachers shall be named annually by the Divisional Policy Committee. In any case where the accused or the accuser is a member of the panel, ~~he/she~~they shall be replaced by a substitute appointed by the Divisional Policy Committee.

(a) When the accused is a faculty member, the divisional dean will strike three names and then the accused will strike three names from the panel of faculty members and the remaining seven faculty members will constitute the committee.

(b) When the accused is a teacher, five members of the panel of Faculty members will be removed by lot from the panel and replaced by the members of the special panel of teachers. From the resulting panel of 13

the divisional dean will strike three names and then the accused will strike three names and the remaining seven members will constitute the committee.

(c) The Divisional Committee on Faculty Responsibility, once constituted, shall organize itself. The divisional dean shall supply the accused with the names of the members of the Divisional Committee on Faculty Responsibility.

- b. The committee (department or division) shall investigate the charge and shall offer the accused and the accuser an opportunity to state their positions and to present testimony and other evidence relevant to the case. The accused shall have access to all information considered by the committee and the names of all persons giving evidence against [him/her/them](#). The hearing shall be informal and the accused and the accuser at their option may be present during the hearing. Other persons shall not be present except while giving testimony or other evidence.
- c. After completion of the hearing the committee shall meet in closed session and after deliberation prepare a written report. This report (including a minority report, if any) shall be transmitted to the divisional dean and a copy transmitted promptly to the accused. This report shall be limited to one of the following:
  - (1) The charge is unfounded or there is insufficient reason to believe the accused has violated professional ethics or acted irresponsibly, and the matter should be dropped without prejudice to the accused. The justification for this conclusion must be included.
  - (2) There is sufficient reason to believe the accused has acted unethically or irresponsibly, and
    - (a) If the accused is a faculty member, the matter should be referred for a formal hearing. No recommendation as to sanction should be made but an assessment of the seriousness of the alleged violation, including whether it is serious enough that termination of appointment should be considered, shall be made.
    - (b) If the accused is a teacher, a recommendation as to the appropriate sanction shall be made. The justification for this conclusion must be included.

## **7. Action by the Divisional Dean and the Provost for Academic Affairs**

- a. **If the accused is a faculty member and no request for an informal hearing was made**, the divisional dean with the concurrence of the provost for academic affairs shall either:

(1) Dismiss the charge, in which case the matter is closed without prejudice to the accused, or

(2) Refer the matter to the Campus Committee on Faculty Responsibility without any recommendation as to sanction, in which case the procedures of Section 300.010.L.8 shall be followed. If the provost for academic affairs does not concur, he/shethey may take either of the above actions on his/hertheir own motion.

**b. If the accused is a faculty member**, after receiving the recommendation of the department or divisional Committee on Faculty Responsibility, the divisional dean with the concurrence of the Provost for academic affairs shall either:

(1) Dismiss the charge, in which case the matter is closed without prejudice to the accused, or

~~(2)~~ Refer the matter to the Campus Committee on Faculty Responsibility with or without a recommendation as to sanction, in which case the procedures of Section

~~(2)~~ 300.010.L.8 shall be followed, or

(3) Recommend that the accused's appointment be terminated, in which case the matter shall be governed by the Academic Tenure Regulations and no further proceedings under this Article shall be taken. If the provost for academic affairs does not concur, he/shethey may take any of the above actions on his/hertheir own motion. If the action of the divisional dean or the provost for academic affairs differs from the conclusion reached by the department or divisional Committee on Faculty Responsibility, a statement of reasons shall be given. Notification of the action with the statement of reasons shall be transmitted promptly to the accused.

**c. If the accused is a teacher**, after receiving the report of the department or

divisional Committee on Faculty Responsibility, or if the informal hearing was not requested, the divisional dean shall dispose of the case.

Notification of his/hertheir disposition with a statement of reasons shall be transmitted promptly to the accused. The divisional dean's decision is subject to review by the provost for academic affairs who may accept an appeal from the teacher or review the case on his/hertheir own motion.

## **8. Formal Hearing before Campus Committee on Faculty Responsibility**

a. **If the matter is referred for a formal hearing** before the Campus Committee on Faculty Responsibility, the accused may, within seven school days after notification of the referral, waive in writing the hearing before the Campus Committee. If the hearing is waived and no informal hearing under Section 300.010.L.6 has been held, the matter shall be



returned to the divisional dean who may then recommend termination of appointment as under Section 300.010.L.7.b, or any other action he/she considered appropriate. If the divisional dean or equivalent he/she does not recommend termination of appointment, or if the informal hearing has been held, the procedures of Section 300.010.L.9 shall be followed.

- b. **For the Campus Committee on Faculty Responsibility**, the Faculty Council shall name annually a panel of thirteen (13) faculty members. If the accuser of any person who has engaged in the investigation of the case is a member of the panel, he/shethey shall be disqualified and a replacement shall be appointed by the Faculty Council. When a case is referred to the Campus Committee on Faculty Responsibility, the provost for academic affairs will strike three (3) names from the panel; then the accused will strike three (3) names from the panel; the remaining seven (7) members will constitute the committee. The formal hearing shall be conducted according to the following procedures:
- (1) The provost for academic affairs shall convene the committee. The committee shall elect a chairperson who shall preside. The provost for academic affairs shall present the case. Generally accepted principles and procedures of administrative due process shall govern the conduct of the hearing. The hearing shall not necessarily be limited by the rules of evidence applied in civil or criminal judicial proceedings. Both the committee and the provost for academic affairs may receive the advice of counsel.
  - (2) The committee and the accused shall receive from the provost for academic affairs prior to the hearing copies of all reports and recommendations in the case, the text of the original charge, the name(s) of the accuser(s) and the names of the witnesses.
  - (3) The accused shall have the right to be present at the hearing, to have counsel of his/hertheir choice present with him/herthem at the hearing, to address the committee at any reasonable time upon request, to offer and present evidence, to examine all documents offered at the hearing and challenge their validity or admissibility, to question all witnesses, and to have his/hertheir counsel perform any and all of these acts in his/hertheir behalf. After the termination of the proceedings and completion of the committee's report, the accused shall receive promptly a transcript of the proceedings at University expense.
- c. **Following the hearing**, the Campus Committee on Faculty Responsibility shall meet in closed session and, after deliberation, shall prepare a written report which shall include findings of fact (including whether the accused committed the acts mentioned in the charge), a determination of whether the accused's acts constitute a significant violation of

professional ethics or responsibility, and the recommendation of specific sanctions or actions to be taken in the case. If the committee's recommendations differ from those made by the divisional dean, the report shall include the reasons for the difference. The report (including a minority report, if any) shall be transmitted promptly to the accused.

(1) If the committee recommends termination of appointment and the provost for academic affairs concurs; or if the provost for academic affairs recommends termination of appointment, the matter shall be governed by the Academic Tenure Regulations and no further proceedings under this Article shall be taken.

(2) If termination of appointment is not recommended, the report shall be transmitted to the chancellor and the procedures of Section 300.010.L.9 shall be followed.

9. **Review by the Chancellor** -- The chancellor shall, on written request of the accused or of the provost for academic affairs filed within seven days from the notification of the decision of the Campus Committee on Faculty Responsibility, or may, on [his/her/their](#) motion without the filing of an appeal, review the case and affirm, modify, or reverse the decision or remand it to the committee for rehearing. If the chancellor accepts an appeal or otherwise formally reviews the case, [he/she/the chancellor](#) shall notify the provost for academic affairs and the accused, and shall afford them an opportunity to make written submissions or suggestions concerning the disposition of the appeal on review. If the chancellor reverses or modifies the decision of the committee, [he/she/the chancellor](#) shall set forth in writing a statement of [his/her/their](#) decision and the reasons therefor, and shall furnish a copy of [his/her/their](#) statement to the accused and to have accepted the committee's decision as the final disposition of the case. If the chancellor is absent from the campus or for any reason is unable to act throughout the review period, [he/she/the chancellor](#) may designate a deputy (not the provost for academic affairs) to discharge this function for [him/her/them](#), or in case of need the president may be requested by the provost for academic affairs or the chairperson of the Campus Committee on Faculty Responsibility to name a deputy to exercise the chancellor's authority in the case. After action by the chancellor, any further appeal by the accused shall be confined to the general right of all members of the University to petition the president and the Board of Curators.

10. **Charges Against Administrators** -- This Article shall cover charges of unethical or irresponsible actions against administrators in their teaching capacities. If a charge is filed against a divisional dean in [his-their](#) teaching capacity, the case shall be referred to the provost for academic affairs and the Campus Committee on Faculty Responsibility without action or recommendation at the departmental or divisional level. If a charge is filed

against the provost for academic affairs in ~~his/her~~their teaching capacity, the charge shall be in the hands of the chancellor and the Campus Committee on Faculty Responsibility. Charges of unethical or irresponsible actions against administrators in their capacity as administrators involve procedures beyond the scope of this Article. However, in such cases, the chancellor may seek the assistance and advice of the department, divisional or Campus Committee on Faculty Responsibility.

11. **General Provisions** -- Successful operation of these procedures depends upon the integrity, good faith and cooperation of all persons involved. Circumvention of these procedures by the imposition of penal sanctions under the guise of purely administrative actions must be avoided. Both faculty and administrators in carrying out their duties should keep in mind the goal of dealing with cases promptly and fairly with due regard for the interests of the accused and the University. The following guidelines and principles will be expected to characterize the monitoring of Faculty responsibility through all formal and informal proceedings:
- a. Preservation of academic freedom, tenure rights, and the integrity of the University community.
  - b. Protection of faculty members and teachers against malicious and multiple charges, intimidation and harassment.
  - c. Protection of the accuser against recriminations when a charge is made in good faith.
  - d. Confidentiality of all aspects of responsibility hearings.
  - e. Caution in the dissemination of information concerning disposition of a case.
  - ~~f.~~ Promptness in conducting each step of the investigation, consistent with fairness in
  - f. time allowed for preparation. Seven to fourteen days in which the University is in session are reasonable lower and upper limits for each action, with extensions possible for good cause.
  - g. Assurance to all parties involved of adequate notification of meetings and scheduling at times and places convenient to the persons involved.
  - h. Freedom of the accused against sanctions prior to completion of these procedures. In a serious case where the continuation of duties by an accused would disrupt the educational process or would create a serious threat to lives and property, the chancellor may suspend the accused without loss of pay, on good cause shown and incorporated into written findings delivered to the accused.
  - i. The rights of the accused to waive any or all of the peer judgment steps in these procedures and to negotiate a settlement with appropriate administrative officers at any time.

- j. The right and desirability of the divisional dean, after receiving a committee report (or in the absence of such a report where a hearing has been waived), to request and receive from the department chairperson communications concerning the disposition of the case prior to the divisional dean's taking action; and the similar right of the provost for academic affairs to communicate with the divisional dean and the department chairperson.

**M. Revision of Bylaws** -- Revisions of these Bylaws may be proposed by Faculty Council. Proposed revisions shall be presented and discussed at a meeting of the general faculty or a faculty forum. As soon as possible after the general faculty meeting or faculty forum, all faculty members will be notified of the proposed revision and provided access to a ballot. Ballots will be tabulated by a committee of Faculty Council within two weeks following completion of voting. A simple majority of the votes submitted will be required for approval. Results of the vote will be reported to Faculty Council and then all faculty members as soon as feasible. Revisions become effective upon approval by the Board of Curators.



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Previous Rule: 30.040 Development

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# 300.010 Faculty Bylaws of the University of Missouri-Columbia

Bd. Min. 11-22-74; Amended Bd. Min. 2-15-80 and 4-25-80; Amended Bd. Min. 1-31-91; 6-6-08; Amended 6-17-11; Amended 4-12-13; Amended 4-22-21; Amended 2-9-23.

- A. **The Faculty Bylaws** for the University of Missouri-Columbia as approved by the faculty on November 14, 1974 (a copy of which is on file with the Secretary), be approved, subject to the following:
1. That the Bylaws are subject to all rules and regulations of the Board of Curators.
  2. That any amendment of the Bylaws shall be submitted to the Board of Curators for approval before becoming effective.
  3. This action be printed as part of the printed Bylaws.
- B. **Membership** -- The University of Missouri-Columbia\* faculty shall consist of the president, chancellor, all persons with regular academic appointments, and all full-time, ranked non-tenure track (NTT) faculty as defined in CRR 310.035.B. Campus-wide faculty votes on issues specific to tenure or tenured/tenure track (T/TT) faculty will be restricted to T/TT faculty.
- \*(Hereafter referred to as UMC. Also, when "faculty" is used alone, it is meant to refer to the UMC faculty, unless otherwise specified.)
- C. **Faculty Rights, Ethics, Responsibilities and Authority**
1. **Rights**
    - a. **Academic Rights** -- Faculty members have the right to freedom of inquiry, discourse, research, publication and teaching. These rights are accompanied by their correlative responsibilities as noted in 300.010.C.1 and C.2 in this section (Also Ref: Sections 310.010-310.070).
    - b. **Civil Rights** -- Faculty members do not relinquish any of their constitutional rights by virtue of employment with the University of Missouri (Ref: Sections 330.020, 330.030 and 90.050).
    - c. **Employment Rights** -- Faculty members have rights consistent with their continuous appointment or term appointment. These include the right to be notified as early as possible of their appointments and conditions of contract renewal (Ref: Sections 310.010-310.070).
    - d. **Right to be Kept Informed** -- The faculty has the right to be informed of actions and activities of committees and executive officers of the campus and of the University wide system, including those related to budget matters, as well as decisions of other bodies which affect UMC. Where possible, this information shall be made available to the faculty before being made available to the general public.

2. **Professional Ethics and Academic Responsibilities** -- The faculty member, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities placed upon them. The faculty member's primary responsibility to their subject is to seek and to state the truth as the faculty member sees it. To this end the faculty member devotes their energies to developing and improving their scholarly competence. The faculty member accept the obligation to exercise critical self-discipline and judgment in using, extending and transmitting knowledge. The faculty member practice intellectual honesty. Although the faculty member may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
- a. **As a teacher**, the faculty member encourages the free pursuit of learning in their students. The faculty member hold before them the best scholarly standards of t the faculty member's discipline. The faculty member demonstrate respect for the student as an individual, and adhere to their proper role as intellectual guide and counselor. The faculty member make every reasonable effort to foster honest academic conduct and to assure that their evaluation of students reflects their true merit. The faculty member respect the confidential nature of the relationship between faculty member and student. The faculty member avoid any exploitation of students for the faculty member's private advantage and acknowledge significant assistance from them. The faculty member protect students' academic freedom.
  - b. **As a colleague**, the faculty member has obligations that derive from common membership in the community for scholars. The faculty member respect and defend the free inquiry of their associates. In the exchange of criticism and ideas the faculty member show due respect for the opinions of others. The faculty member acknowledge their academic debts and strives to be objective in their professional judgment of colleagues. The faculty member accept their share of faculty responsibilities for the governance of their institution.
  - c. **As a member of their institution**, the faculty member seeks above all to be an effective teacher and scholar. Although the faculty member observe the stated regulations of the institution, provided they do not contravene academic freedom, the faculty member maintain their right to criticize and seek revision. The faculty member determine the amount and character of the work they do outside their institution with due regard to their paramount responsibilities within it. When considering the interruption or termination of their service, the faculty member recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

- d. **As a member of their community**, the faculty member has the rights and the obligations of any citizen. The faculty member measure the urgency of those obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When the faculty member speak or acts as a private person the faculty member avoid creating the impression that they speak or act for their college or university. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the faculty member has a particular obligation for promoting conditions of free inquiry and to further public understanding of academic freedom. Further, the faculty accepts the responsibility of monitoring its own members if accepted standards of professional responsibility are abrogated (Section 300.010.L of these Bylaws).
3. **Authority** -- The faculty's authority, as delegated by the Board of Curators, is of three types: direct and primary, in which the faculty has essential decision-making authority; shared, in which the faculty participates with others; and advisory, in which the faculty counsels with the person or offices with ultimate decision-making authority. (On those matters requiring multi-campus coordination, the faculty shall act through its appropriate bodies, Section 300.010.F.)
  - a. **Primary and Direct Authority** -- The UMC faculty has essential decision-making authority in matters directly affecting the educational program of UMC, including but not limited to:
    - (1) Articulation and maintenance of standards of academic performance -- this includes but is not limited to guidelines for appropriate research, service, and scholarships; requirements for graduation; and related matters.
    - (2) Construction and approval of courses of instruction and of curricula.
    - (3) Construction and approval of procedures governing educational support programs on the UMC campus.
    - (4) Formulation of criteria determining professional standing of faculty -- including but not limited to such matters as tenure, promotion, termination, guidelines for responsibility, faculty standing with regard to graduate faculty membership and doctoral dissertation supervision.
    - (5) Determination of an appropriate faculty committee structure.
    - (6) Determination of minimum admission requirements.
    - (7) Selection of awardees for academic scholarships.

**b. Shared Authority** -- The UMC faculty has shared authority by which it participates cooperatively with other persons or offices in matters such as:

- (1) Development and articulation of students' rights and responsibilities.
- (2) Determination of an appropriate academic calendar.
- (3) Selection of awardees for honorary degrees.
- (4) Application of criteria affecting professional standing of faculty.

**c. Advisory Authority** -- The UMC faculty has advisory authority and responsibility with other persons or offices in matters such as:

- (1) Budget and resource allocation.
- (2) Planning, including capital expenditures and physical facilities.
- (3) Selection of departmental, divisional, campus, and university-level administrators.
- (4) Determination of the campus standing committee structure.
- (5) Development and implementation of general business procedures which facilitate academic program excellence.
- (6) Use of facilities for program activities.
- (7) Application of criteria affecting promotion, tenure and termination.

**d. Faculty Delegation of Authority** -- The faculty, recognizing that handling matters through meetings of the faculty is cumbersome, that attendance at such meetings varies, and that it is often difficult to have complete discussion of issues at such meetings, may delegate its authority to the Faculty Council. Such delegation, if made, shall be in accord with and subject to the following provisions:

- (1) The delegation shall be made by majority vote of the faculty by mail ballot or at a regular meeting of the faculty. The delegation may be for a specific period (not less than one academic year) or for an indefinite period. However, the delegation may be withdrawn at any time by specific action of the Faculty.
- (2) The delegation shall not prevent the calling of meetings of the faculty under the provisions of Section 300.010.C. Regular meetings of the faculty shall be held at least once a semester.
- (3) The delegation shall give the Faculty Council authority to act for the faculty and, except as provided below, to take such actions as the faculty could take.

(a) This authority shall include but not be limited to:

- Proposing revisions of the Bylaws to be submitted to the faculty for adoption.



- Referring any matter to the faculty either by calling a meeting of the faculty or by mail ballot.
  - Appointing special committees (whose members need not be members of the Faculty Council) to report to the Faculty Council
- (b) The authority to amend these Bylaws is not delegated.
- (c) The delegation shall not affect the prerogatives of individual faculty members nor of individual faculties.
- (4) Any member of the faculty may request any matter to be placed on the agenda of the Faculty Council and may request to be allowed to appear before the Faculty Council. Such requests may be made either through their representatives or the chairperson of the Faculty Council.
- (5) Meetings of the Faculty Council shall be open to all members of the faculty.
- (6) The actions of the Council, in those areas in which it has delegated authority, shall be deemed final unless challenged within 10 days. Such challenge shall require a petition signed by 25 faculty members from at least three divisions calling for a review by the faculty of a particular council action.
- (7) The Faculty Council shall report its actions to the faculty either at a meeting of the faculty or via the Faculty Council website.

#### **D. Meetings**

1. The faculty shall meet at times determined by it or when called by the chancellor. Upon written request of twenty (20) members of the faculty addressed to the chancellor, a meeting shall be called within fifteen (15) days of receipt by the chancellor.
2. Reasonable notice (preferably one week minimum) shall be given by the chancellor to all members of the faculty of the time and place of all faculty meetings.
3. Fifty (50) members of the faculty representing at least three (3) academic divisions shall constitute a quorum.
4. The agenda for faculty meetings shall be determined jointly by the chairperson of the Faculty Council on UMC Policy and the chancellor.
5. Any item of new business not included on the distributed agenda of a faculty meeting will require either a 50 percent vote of approval of those present to be considered at the next faculty meeting or, to be enacted at the meeting at which it is introduced, two-thirds vote of approval of those present.

#### **E. Faculty Organization**

1. The authority of the faculty as delegated by the Board of Curators shall include the responsibilities set forth in Section 300.010.C. In order to perform these functions, the faculty takes cognizance of the consequences of its size

and complexity and therefore delegates specific policy making and coordinating functions to representative bodies. The main representative body shall be a Faculty Council.

2. The Faculty Council is established as the elected representative body of the faculty. It shall act for the general faculty on all matters within the framework of the policies expressed in these Bylaws and shall function in accordance with the specifications formulated in Section 300.010.C. The Faculty Council shall have the right to delegate some of its operation tasks to an executive committee and/or its officers.
3. The Faculty as a whole shall approve all policies which involve a modification or change of the principles set forth in these Bylaws. The faculty further may review decisions and actions by the Faculty Council provided that a petition requesting such action has been signed by at least 25 faculty members representing at least three divisions of the campus.
4. There shall be a Graduate Faculty organization. It shall develop its own criteria for membership, organizational structure, its own obligations and rights providing they are consonant with the philosophy and principles of the federal faculty Bylaws. The Graduate Faculty shall determine the functions of the Graduate Faculty Senate. The Graduate Faculty shall set standards for graduate education on the campus, provided they meet at least the minimum standards established by the general faculty.
5. Divisional faculties are established in the various academic divisions. They shall develop policies adapted to their specific needs, but standards of performance must not be set below those established by the general faculty.
6. Establishment of new divisions shall entitle them to representation where divisional representation is designated in these Bylaws or otherwise deemed appropriate.

#### **F. Faculty Participatory Authority and Functions in Campus Governance**

1. Participatory authority and functions of the faculty are expressed through faculty involvement in the campus committee structure including those committees which govern academic and administrative matters affecting the campus, faculty and students. The faculty participates in the selection of administrative officers. The faculty participates in the monitoring of administrative and academic operating procedures. These participatory functions of the faculty are articulated as follows:
  - a. The faculty, through its elected representative structure, the Faculty Council, nominate faculty members to participate in a specially designated body currently called the University Assembly which is charged with advising the chancellor on matters mutually affecting all constituencies of the University (faculty, students, administration, and non-academic employees), and nominating members to campus-wide

standing committees. The participation of the UMC faculty in this Assembly will represent faculty participation to the extent that the domains of faculty primary and direct authority are not infringed upon.

- b. An Academic Regulations Committee shall be established consisting of representatives of the Faculty Council (which may be the Executive Committee) and campus administration. This committee will assume responsibility for the development and monitoring of campus standard operating guidelines which, after approval by the Faculty Council, administration, and students where appropriate, shall be published as "Academic Regulations Manual." These guidelines will cover the academic schedule of studies and examinations, calendar, academic procedures and policies and campus governance and shall be consonant with these Bylaws. This committee will meet regularly to monitor these guidelines and to coordinate the need for modification and changes.
  - c. The Faculty Council will nominate faculty members to participate in ad hoc committees, including Search and Screening Committees for campus administrators and academic officers.
2. The faculty representatives to the University Assembly and the Academic Regulations Committee will report to the Faculty Council at appropriate intervals.

#### **G. Faculty Participation in University-wide Governance**

1. The faculty shall participate in education policy determination about those matters which are University-wide; some of these will be parallel to those issues in which the faculty exercises shared authority at the campus level (Section 300.010.C.3.a). The faculty's responsibility in these matters shall be exercised through mechanisms such as:
  - a. The Intercampus Faculty Council on which the UMC faculty shall have representatives designated by the UMC Faculty Council.
  - b. The University Doctoral Council to which the UMC Graduate Faculty shall elect its members.
  - c. Ad hoc and standing University-wide committees to which the faculty (often acting through its elected campus body, the Faculty Council) shall designate its members.
  - d. Intercampus committees concerned with cooperation in educational and research activities within the respective disciplines.

#### **H. Faculty Council on UMC Policy**

1. **Representative Faculty Voice:** A Faculty Council shall be composed of faculty members who shall be elected by the several divisional faculties as hereinafter provided. The Faculty Council shall have certain delegated authority to act on behalf of the General Faculty (Section 310.010.C.3.c of these Bylaws). In addition, the Council, as a representative faculty voice, shall

advise the chancellor and the UMC faculty on questions of UMC policy submitted by either to the Council, and may initiate recommendations concerning changes in the UMC policy for consideration and appropriate action by the chancellor or UMC faculty.

2. **Academic Unit Selections:** All colleges and schools that are headed by a dean who reports to the provost for academic affairs shall be entitled to voting representation. For the purposes of Academic Unit Selections both MU Libraries and MU Extension each will be treated as schools entitled to voting representation.
3. **Allocation of Representatives:** Faculty Representatives shall be allocated to a college or school on the basis of the total number of full-time ranked faculty members of the UMC faculty (as defined in section B above) within the college or school. The determination of the number of full-time ranked faculty representatives shall be made on November 1 of each academic year, and the number so determined shall govern representation for the next academic year. A full-time ranked representative who has a joint appointment in two or more colleges or schools shall be assigned to the college or school in which the representative devotes the largest percentage of the representative's time. If the assignment cannot be made on this basis, the Council shall make the assignment, first having consulted with the representative to the extent feasible. A full-time ranked representative who has an Extension appointment and an appointment in a college or school shall represent that college or school; a full-time ranked representative who has an Extension appointment and does not have an appointment in a college or school shall represent Extension. Representation of the various colleges and schools shall be based upon persons holding eligible ranks listed in the most recent UMC general catalog. Emeritus faculty members will not be included in the computations, with the exception that retired faculty members on continued service will be counted.

Each college or school shall be entitled to representation at a basic ratio of one representative for each fifty (50) full-time ranked faculty members or majority fraction thereof (26-49), and in particular as follows: one (1) representative for 1-75; two (2) representatives for 76-125; and so on for each additional fifty (50) full-time ranked faculty or major fraction thereof. Notwithstanding the basic ratio, no school or college is entitled to more than eight representatives.

In the event the number of full-time ranked faculty members changes to the point where the basic ratio would give less than 30 or more than 35 representatives, the Council by a finding recorded in its minutes shall adjust the ratio to produce not less than 30 and not more than 35 representatives.

4. **Minimum Number of T/TT and NTT Representatives:** The minimum number of T/TT faculty representatives on the Council shall be four, and the minimum number of NTT faculty representatives on Council shall be four. If, as the

result of academic unit selections of representatives, fewer than four NTT faculty or four T/TT faculty are included in the makeup of Faculty Council on September 15 of any year, Faculty Council shall organize and hold a special election of the respective full-time ranked NTT or T/TT faculty to achieve the minimum. Only full-time ranked NTT faculty will vote in a special election for an NTT representative; Only full-time ranked T/TT faculty will vote in a special election for a T/TT representative.

The selected representatives will be added to the Faculty Council in addition to those chosen by the academic unit selections, and their addition may increase the size of Faculty Council to more than 35 full-time faculty ranked faculty representatives. Representatives elected in special elections will serve regular three-year terms.

5. **Limitation on Administrative Members:** Members of the UMC faculty who hold administrative positions with the rank of assistant dean or higher, or equivalent positions regardless of the title, are ineligible for election or service. Only those eligible to serve on the Faculty Council as full-time ranked faculty are eligible to vote for full-time ranked representatives on the Council.
6. **Election Procedures:** The full-time ranked faculty of each college or school shall determine the election procedures for the election of its representative or representatives and shall report these to the Faculty Council. Election shall be by secret ballot. In those divisions that have two or more representatives, terms shall be staggered.
7. **T/TT Matters:** As defined in the Faculty Council Rules of Order, NTT faculty representatives are not eligible for service on the Faculty Council Board of Tenured or Tenure-Track Faculty, which votes on matters specific to tenure or tenured/tenure track (T/TT) faculty.
8. **Term of Office:** The regular term of office for a member shall be three years beginning on the first day of the fall semester. No member shall serve more than two terms in succession, but a member may serve any number of discontinued terms, and even though the member has served two terms in succession may from time to time serve two more terms in succession after a break in service. Terms of less than three years, whether of one or two years duration or fraction thereof shall count the same as a three-year term.

#### I. Officers of the Faculty

1. The chairperson of the general faculty shall be the chancellor. The vice chairperson of the faculty shall be the chairperson of the Faculty Council. Ordinarily, the chairperson shall preside at faculty meetings, but determination of who shall preside will be guided by the nature of the business at hand. The vice chairperson shall preside at meetings of the general faculty in the absence of the chairperson, or at other times when so designated by the chairperson.

2. The secretary of the faculty shall be a member of the general faculty and shall be appointed by the Faculty Council. The secretary shall keep minutes of all faculty meetings and shall distribute copies of the same to all members of the general faculty, and shall provide copies of the agenda of all faculty meetings to all members of the faculty prior to any faculty meeting. (By Faculty Council action October 21, 1982, the recorder of Faculty Council shall be secretary of the faculty, with the technical assistance of the registrar; the minutes of the general faculty meetings shall be reviewed, approved and distributed to all faculty in the same manner as the minutes of the Faculty Council meetings.)
3. A parliamentarian shall be appointed by the chairperson from among members of the faculty.

**J. Designation of Faculty Representatives**

1. The Faculty Council shall monitor faculty representation on all committees where such representation is required by the Bylaws and on other committees where faculty representation is appropriate.
2. Faculty-originated appointments to campus and university committees may be challenged by a signed petition calling for a campus-wide election from at least 25 members of the faculty representing at least three divisions of UMC. The Faculty Council shall vote on such petition, and if approved, shall initiate a campus-wide election.

**K. Faculty Tenure Committee**

1. The University of Missouri-Columbia Faculty Committee on Tenure shall be composed of members elected by the faculty of colleges and schools that are headed by deans who report to the provost for academic affairs. The faculty of each such college or school shall be entitled to have one single elected member of the University of Missouri-Columbia Faculty Committee on Tenure at any given time.
2. Faculty of each college or school shall, at a regular meeting during the second semester in each academic year, elect one of its members to membership on the University of Missouri-Columbia Faculty Committee on Tenure to serve for the following academic year, and also elect an alternative member, who shall serve in the event the regular committee member is unable to serve. If a faculty fails to elect during the second semester, or a vacancy in its representation occurs after it has elected, a later election may be conducted. Elections of members and alternate members shall be reported to the provost of academic affairs who shall cause the names of the members, alternate members and officers of the committee to be published in the same manner as the membership of the Faculty Council on University Policy.
3. At the inception of a hearing before the committee, the respondent and the relator may challenge members present (including alternate members and

the chairperson and secretary) for cause. A member challenged for cause is entitled to be present during the hearing on the challenge but the member, the relator and respondent, shall withdraw from the meeting during the vote on the challenge. If a challenge for cause of the chairperson is sustained, the secretary shall act as chairperson. If neither the chairperson nor the secretary is present after action on challenges for cause, the committee shall elect a chairperson pro tempore to preside at the hearing.

4. As prescribed by Sections 310.010-310.070, University of Missouri Collected Rules and Regulations, at least ten members of the committee or their alternates must be present to constitute a quorum at a meeting to elect a permanent chairperson or secretary and at the inception of a hearing. For the purposes of acting on challenges and conducting a hearing after the disposition of challenges, seven members of the committee, or their alternates, shall constitute a quorum. If, during the course of a hearing, the number of members, or their alternates, not previously removed by challenge, are present. The relator and the respondent shall be given opportunities to challenge for cause members or their alternates who were not present from the inception of the hearing and to request that such members or alternates listen to or read the taped or stenographic record of any portion of the hearing at which they were not present.

#### **L. Procedures Governing the Disposition of Charges of Faculty Irresponsibility**

1. **Basis for the Article** -- This faculty has affirmed its commitment to the principles of academic freedom repeatedly, and has recognized that academic freedom implies also academic and professional responsibility and obligations. In support of this recognition the faculty has accepted the American Association of University Professors' statement of ethical standards (1966) and other standards pertaining to specific duties. (Ref: Section 300.010.C of these Bylaws; Section 420.010 Research Dishonesty) Following the principle that a faculty should monitor its own members, Section 300.010.L establishes appropriate procedures for dealing with cases of alleged violation of professional responsibility.
2. **Definition of Faculty Member and Teacher**
  - a. The term "faculty member" as used in this article means a person holding a regular or non-regular academic staff position at the rank of instructor or above.
  - b. The term "teacher" as used in this article means a person other than a "faculty member" who holds an academic staff position.
3. **Purpose and Limits of the Article** -- This article shall govern the filing and disposition of charges alleging breaches of professional ethics or commission of irresponsible acts made against UMC faculty members and teachers. No portion of this article shall be deemed to amend or affect Section 10 of the

Academic Tenure Regulations, March 10, 1950, or any revision thereof; nor shall this article be construed to affect adversely the rights which any person may have under the University Tenure Regulations.

4. **Initiation and Transmission of a Charge** -- A charge of unethical or irresponsible action may be brought against a faculty member or teacher by a person or group of persons associated with the University, such as a student, faculty member, teacher, administrator, or board member.
  - a. The charge must be submitted in writing and signed by the person or persons making the charge. The charge must specify the act or acts which allegedly constitute unethical or irresponsible action, and must be supported by pertinent details such as time(s), the act(s) was/were committed, specific place(s) where the act(s) occurred, names of witnesses who are able to support the charge, the conditions under which the alleged act(s) occurred, and any additional relevant information.
  - b. The charge shall be transmitted promptly to the UMC provost for academic affairs, whose office shall ascertain the extent to which the charge describes the act(s) that allegedly constitutes unethical or irresponsible action, and determine that all necessary details have been supplied. The provost shall discuss the substances of the charge with the accuser(s) to assure further that the facts and nature of the charge are understood clearly. Once the provost has verified the procedural adequacy of the charge, the provost shall forward it promptly to the dean of the division in which the accused faculty member or teacher has their academic appointment.
  - c. Upon receipt of the signed, written charge against a faculty member or teacher employed within their division, the dean shall consult with the accused's department chairperson, in those divisions with more than one department. They shall review the charge for adequacy of procedural detail. If in their opinions, the charge is vague or insufficiently detailed, they shall so inform the provost in writing and return the charge to them with a request for clarification, or addition of information, and resubmission.
  - d. If in the opinions of the divisional dean and the department chairperson the charge is properly described, the department chairperson, or dean in those divisions without departments, as soon as possible, shall provide the accused with a full copy of the charge, including the name of the person, or persons, making the charge.
5. **Action by the Department Chairperson (or Divisional Dean)** -- The department chairperson shall discuss the alleged violation informally with the accused and with the accuser, meeting them either together or separately, or



both, and shall attempt to reconcile differences and find a solution acceptable to all persons involved.

- a. If an acceptable solution is found, this shall be reported by the chairperson in writing to the divisional dean along with any explanation and justification. A copy of the report shall be furnished the accused. If an acceptable solution is not found, the department chairperson shall report this fact in writing to the divisional dean along with such comments as considered appropriate. A copy of this report shall be supplied to the accused. In addition, the chairperson shall provide the accused with a written statement of their recommendations for disposition of the charge and shall describe the rights of the accused to an informal hearing.
- b. If the divisional dean agrees with the acceptable solution and the provost for academic affairs concurs, this shall end the matter and the accused shall be so informed. If the divisional dean or the provost for academic affairs does not agree with the acceptable solution or if no acceptable solution was reached, the matter may be referred back to the department chairperson for further negotiation, or the procedures under Section 300.010.L.6 shall be followed.
- c. In those divisions having only one department, the divisional dean shall take the steps set out in Section 300.010.L.5 and shall report to the provost for academic affairs.
- d. The department chairperson or the divisional dean shall be disqualified from action under Section 300.010.L.5 if that individual is the accuser or the accused and, in such case, the respective department or division shall elect a chairperson pro tem to act instead.

**6. Informal Hearing Before Peers at the Department or Divisional Level** – If a resolution of the charge is not reached under the provisions of Section 300.010.L.5, the divisional dean or equivalent shall inform the accused in writing of their recommendations for disposition of the charge, and shall describe the rights of the accused to an informal hearing. The accused may request in writing an informal hearing at either the department level (in divisions with more than one department) or the divisional level, but not both. If no written request is made by the accused within ten (10) school days, or if the accused waives in writing the informal hearing, the procedures of Section 300.010.L.7 shall be followed.

- a. After a written request for an informal hearing, such hearing shall be held by a committee designated for this function according to the following procedure:
  - (1) A Department Committee on Faculty Responsibility shall be established annually according to normal procedures in the structuring of committees in the department. If the accused or the accuser is a

member of the committee, they are disqualified from the committee for that case. If the accused is a teacher, the department committee must be adjusted to include peers of the same academic rank, in proportion to the department roster. In small departments, same-level peers may be appointed from related departments by mutual consent of the accused and the department chairperson. The chairperson shall supply the accused with a written report of the membership of the Department Committee on Faculty Responsibility.

(2) For the Divisional Committee on Faculty Responsibility, a panel of 13 faculty members and a special panel of five teachers shall be named annually by the Divisional Policy Committee. In any case where the accused or the accuser is a member of the panel, they shall be replaced by a substitute appointed by the Divisional Policy Committee.

(a) When the accused is a faculty member, the divisional dean will strike three names and then the accused will strike three names from the panel of faculty members and the remaining seven faculty members will constitute the committee.

(b) When the accused is a teacher, five members of the panel of Faculty members will be removed by lot from the panel and replaced by the members of the special panel of teachers. From the resulting panel of 13 the divisional dean will strike three names and then the accused will strike three names and the remaining seven members will constitute the committee.

(c) The Divisional Committee on Faculty Responsibility, once constituted, shall organize itself. The divisional dean shall supply the accused with the names of the members of the Divisional Committee on Faculty Responsibility.

- b. The committee (department or division) shall investigate the charge and shall offer the accused and the accuser an opportunity to state their positions and to present testimony and other evidence relevant to the case. The accused shall have access to all information considered by the committee and the names of all persons giving evidence against them. The hearing shall be informal and the accused and the accuser at their option may be present during the hearing. Other persons shall not be present except while giving testimony or other evidence.
- c. After completion of the hearing the committee shall meet in closed session and after deliberation prepare a written report. This report (including a minority report, if any) shall be transmitted to the divisional dean and a copy transmitted promptly to the accused. This report shall be limited to one of the following:

- (1) The charge is unfounded or there is insufficient reason to believe the accused has violated professional ethics or acted irresponsibly, and the matter should be dropped without prejudice to the accused. The justification for this conclusion must be included.
- (2) There is sufficient reason to believe the accused has acted unethically or irresponsibly, and
  - (a) If the accused is a faculty member, the matter should be referred for a formal hearing. No recommendation as to sanction should be made but an assessment of the seriousness of the alleged violation, including whether it is serious enough that termination of appointment should be considered, shall be made.
  - (b) If the accused is a teacher, a recommendation as to the appropriate sanction shall be made. The justification for this conclusion must be included.

#### **7. Action by the Divisional Dean and the Provost for Academic Affairs**

- a. **If the accused is a faculty member and no request for an informal hearing was made**, the divisional dean with the concurrence of the provost for academic affairs shall either:
  - (1) Dismiss the charge, in which case the matter is closed without prejudice to the accused, or
  - (2) Refer the matter to the Campus Committee on Faculty Responsibility without any recommendation as to sanction, in which case the procedures of Section 300.010.L.8 shall be followed. If the provost for academic affairs does not concur, they may take either of the above actions on their own motion.
- b. **If the accused is a faculty member**, after receiving the recommendation of the department or divisional Committee on Faculty Responsibility, the divisional dean with the concurrence of the Provost for academic affairs shall either:
  - (1) Dismiss the charge, in which case the matter is closed without prejudice to the accused, or
  - (2) Refer the matter to the Campus Committee on Faculty Responsibility with or without a recommendation as to sanction, in which case the procedures of Section 300.010.L.8 shall be followed, or
  - (3) Recommend that the accused's appointment be terminated, in which case the matter shall be governed by the Academic Tenure Regulations and no further proceedings under this Article shall be taken. If the provost for academic affairs does not concur, they may take any of the above actions on their own motion. If the action of the divisional dean or the provost for academic affairs differs from the conclusion

reached by the department or divisional Committee on Faculty Responsibility, a statement of reasons shall be given. Notification of the action with the statement of reasons shall be transmitted promptly to the accused.

- c. **If the accused is a teacher**, after receiving the report of the department or divisional Committee on Faculty Responsibility, or if the informal hearing was not requested, the divisional dean shall dispose of the case. Notification of their disposition with a statement of reasons shall be transmitted promptly to the accused. The divisional dean's decision is subject to review by the provost for academic affairs who may accept an appeal from the teacher or review the case on their own motion.

#### **8. Formal Hearing before Campus Committee on Faculty Responsibility**

- a. **If the matter is referred for a formal hearing** before the Campus Committee on Faculty Responsibility, the accused may, within seven school days after notification of the referral, waive in writing the hearing before the Campus Committee. If the hearing is waived and no informal hearing under Section 300.010.L.6 has been held, the matter shall be returned to the divisional dean who may then recommend termination of appointment as under Section 300.010.L.7.b, or any other action considered appropriate. If the divisional dean or equivalent does not recommend termination of appointment, or if the informal hearing has been held, the procedures of Section 300.010.L.9 shall be followed.
- b. **For the Campus Committee on Faculty Responsibility**, the Faculty Council shall name annually a panel of thirteen (13) faculty members. If the accuser of any person who has engaged in the investigation of the case is a member of the panel, they shall be disqualified and a replacement shall be appointed by the Faculty Council. When a case is referred to the Campus Committee on Faculty Responsibility, the provost for academic affairs will strike three (3) names from the panel; then the accused will strike three (3) names from the panel; the remaining seven (7) members will constitute the committee. The formal hearing shall be conducted according to the following procedures:
  - (1) The provost for academic affairs shall convene the committee. The committee shall elect a chairperson who shall preside. The provost for academic affairs shall present the case. Generally accepted principles and procedures of administrative due process shall govern the conduct of the hearing. The hearing shall not necessarily be limited by the rules of evidence applied in civil or criminal judicial proceedings. Both the committee and the provost for academic affairs may receive the advice of counsel.
  - (2) The committee and the accused shall receive from the provost for academic affairs prior to the hearing copies of all reports and

recommendations in the case, the text of the original charge, the name(s) of the accuser(s) and the names of the witnesses.

(3) The accused shall have the right to be present at the hearing, to have counsel of their choice present with them at the hearing, to address the committee at any reasonable time upon request, to offer and present evidence, to examine all documents offered at the hearing and challenge their validity or admissibility, to question all witnesses, and to have their counsel perform any and all of these acts in their behalf. After the termination of the proceedings and completion of the committee's report, the accused shall receive promptly a transcript of the proceedings at University expense.

c. **Following the hearing**, the Campus Committee on Faculty Responsibility shall meet in closed session and, after deliberation, shall prepare a written report which shall include findings of fact (including whether the accused committed the acts mentioned in the charge), a determination of whether the accused's acts constitute a significant violation of professional ethics or responsibility, and the recommendation of specific sanctions or actions to be taken in the case. If the committee's recommendations differ from those made by the divisional dean, the report shall include the reasons for the difference. The report (including a minority report, if any) shall be transmitted promptly to the accused.

(1) If the committee recommends termination of appointment and the provost for academic affairs concurs; or if the provost for academic affairs recommends termination of appointment, the matter shall be governed by the Academic Tenure Regulations and no further proceedings under this Article shall be taken.

(2) If termination of appointment is not recommended, the report shall be transmitted to the chancellor and the procedures of Section 300.010.L.9 shall be followed.

9. **Review by the Chancellor** -- The chancellor shall, on written request of the accused or of the provost for academic affairs filed within seven days from the notification of the decision of the Campus Committee on Faculty Responsibility, or may, on their motion without the filing of an appeal, review the case and affirm, modify, or reverse the decision or remand it to the committee for rehearing. If the chancellor accepts an appeal or otherwise formally reviews the case, the chancellor shall notify the provost for academic affairs and the accused, and shall afford them an opportunity to make written submissions or suggestions concerning the disposition of the appeal on review. If the chancellor reverses or modifies the decision of the committee, the chancellor shall set forth in writing a statement of their decision and the reasons therefor, and shall furnish a copy of their statement to the accused and to have accepted the committee's decision as the final

disposition of the case. If the chancellor is absent from the campus or for any reason is unable to act throughout the review period, the chancellor may designate a deputy (not the provost for academic affairs) to discharge this function for them, or in case of need the president may be requested by the provost for academic affairs or the chairperson of the Campus Committee on Faculty Responsibility to name a deputy to exercise the chancellor's authority in the case. After action by the chancellor, any further appeal by the accused shall be confined to the general right of all members of the University to petition the president and the Board of Curators.

10. **Charges Against Administrators** -- This Article shall cover charges of unethical or irresponsible actions against administrators in their teaching capacities. If a charge is filed against a divisional dean in their teaching capacity, the case shall be referred to the provost for academic affairs and the Campus Committee on Faculty Responsibility without action or recommendation at the departmental or divisional level. If a charge is filed against the provost for academic affairs in their teaching capacity, the charge shall be in the hands of the chancellor and the Campus Committee on Faculty Responsibility. Charges of unethical or irresponsible actions against administrators in their capacity as administrators involve procedures beyond the scope of this Article. However, in such cases, the chancellor may seek the assistance and advice of the department, divisional or Campus Committee on Faculty Responsibility.
11. **General Provisions** -- Successful operation of these procedures depends upon the integrity, good faith and cooperation of all persons involved. Circumvention of these procedures by the imposition of penal sanctions under the guise of purely administrative actions must be avoided. Both faculty and administrators in carrying out their duties should keep in mind the goal of dealing with cases promptly and fairly with due regard for the interests of the accused and the University. The following guidelines and principles will be expected to characterize the monitoring of Faculty responsibility through all formal and informal proceedings:
  - a. Preservation of academic freedom, tenure rights, and the integrity of the University community.
  - b. Protection of faculty members and teachers against malicious and multiple charges, intimidation and harassment.
  - c. Protection of the accuser against recriminations when a charge is made in good faith.
  - d. Confidentiality of all aspects of responsibility hearings.
  - e. Caution in the dissemination of information concerning disposition of a case.
  - f. Promptness in conducting each step of the investigation, consistent with fairness in time allowed for preparation. Seven to fourteen days in

which the University is in session are reasonable lower and upper limits for each action, with extensions possible for good cause.

- g. Assurance to all parties involved of adequate notification of meetings and scheduling at times and places convenient to the persons involved.
- h. Freedom of the accused against sanctions prior to completion of these procedures. In a serious case where the continuation of duties by an accused would disrupt the educational process or would create a serious threat to lives and property, the chancellor may suspend the accused without loss of pay, on good cause shown and incorporated into written findings delivered to the accused.
- i. The rights of the accused to waive any or all of the peer judgment steps in these procedures and to negotiate a settlement with appropriate administrative officers at any time.
- j. The right and desirability of the divisional dean, after receiving a committee report (or in the absence of such a report where a hearing has been waived), to request and receive from the department chairperson communications concerning the disposition of the case prior to the divisional dean's taking action; and the similar right of the provost for academic affairs to communicate with the divisional dean and the department chairperson.

**M. Revision of Bylaws** -- Revisions of these Bylaws may be proposed by Faculty Council. Proposed revisions shall be presented and discussed at a meeting of the general faculty or a faculty forum. As soon as possible after the general faculty meeting or faculty forum, all faculty members will be notified of the proposed revision and provided access to a ballot. Ballots will be tabulated by a committee of Faculty Council within two weeks following completion of voting. A simple majority of the votes submitted will be required for approval. Results of the vote will be reported to Faculty Council and then all faculty members as soon as feasible. Revisions become effective upon approval by the Board of Curators.



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(mailto:CRRrequest@umsystem.edu?subject=Request%20Word%20Doc%20for%20Board%20Action&body=Please%20send%20the%20following%20rule:300.010%20Faculty%20Bylaws%20of%20the%20University%20of%20Columbia)

Previous Rule: 30.040 Development

([http://www.umsystem.edu/ums/rules/collected\\_rules/administration/ch30/30.040\\_development](http://www.umsystem.edu/ums/rules/collected_rules/administration/ch30/30.040_development)) Next Rule:

300.020 Faculty Bylaws of the University of Missouri-Kansas City

([http://www.umsystem.edu/ums/rules/collected\\_rules/faculty/ch300/300.020\\_faculty\\_bylaws\\_umkc](http://www.umsystem.edu/ums/rules/collected_rules/faculty/ch300/300.020_faculty_bylaws_umkc))

# AUDIT, COMPLIANCE AND ETHICS COMMITTEE

Greg E. Hoberock, Chair

Julia G. Brncic

Keith A. Holloway

The Audit, Compliance and Ethics Committee (“Committee”) will review and recommend policies to enhance the quality and effectiveness of the University’s financial reporting, internal control structure and compliance and ethics programs.

## I. Scope

In carrying out its responsibilities, the Committee monitors and assesses the University’s financial reporting systems and controls, internal and external audit functions, and compliance and ethics programs.

## II. Executive Liaison

The Chief Audit and Compliance Officer of the University or some other person(s) designated by the President of the University, with the concurrence of the Board Chair and the Committee Chair, shall be the executive liaison to the committee and responsible for transmitting committee recommendations.

## III. Responsibilities

In addition to the overall responsibilities of the Committee described above and in carrying out its responsibilities, the charge of the Committee shall include:

- A. Reviewing and making recommendations to the Board in the following matters:
  1. the University risk assessment, audit plan and compliance plan;
  2. in conjunction with the Governance, Compensation and Human Resources Committee, the appointment, compensation, annual performance evaluation and termination of the University’s Chief Audit and Compliance Officer;
  3. the appointment, compensation, and termination of the university’s external auditors.
- B. Providing governance oversight regarding:
  1. development and monitoring a University code of conduct;
  2. effectiveness of the internal control framework;
  3. ensuring that the significant findings and recommendations are received, discussed and appropriately resolved;
  4. procedures for reporting misconduct without the fear of retaliation;
  5. university compliance with applicable laws, regulations, and policies that govern all aspects of University operations including but not limited to the following:
    1. Administrative compliance risks
    2. Healthcare compliance risks
    3. Research compliance risks
    4. Information security compliance risks
    5. Privacy compliance risks
  6. those additional matters customarily addressed by the audit, compliance and ethics committee of a governing board for an institution of higher education.
- C. Reviewing periodic reports regarding:



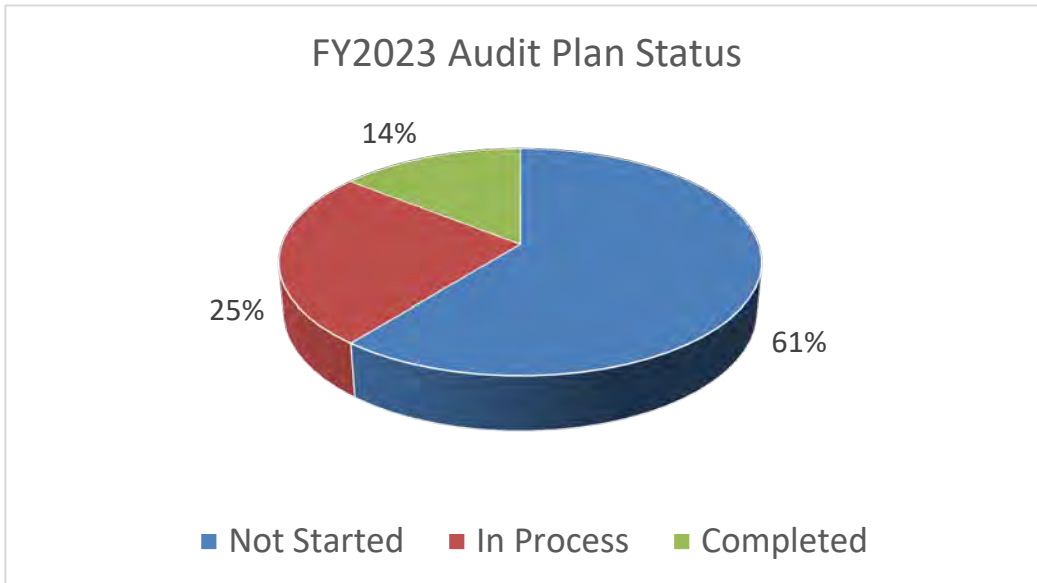
1. the independence, performance, resources and structure of the internal audit, compliance and ethics functions;
2. audit reports and open audit issue status updates;
3. management's written responses to significant findings and recommendations by the auditors;
4. the adequacy of the University's information technology methodology with regards to security, internal controls and data integrity assurance;
5. annual external audit reports, including audited financial statements, single audit and required procedures; and
6. the effectiveness of the compliance and ethics program ensuring it has appropriate standing and visibility across the system.

Internal Audit, Compliance and Ethics Quarterly Report  
UM

Status of the FY2023 Rolling Audit Plan

- Four audits/consulting projects completed
- Seven audits in process
- Seventeen audits/consulting projects not started

The following graph represents the status of the FY2023 Rolling Audit Plan.



**Audit Performance**

Since the September 2022 meeting of the Audit Committee, Internal Audit completed the UMSL Scholarship Audit and nine investigations.

**Internal Audit Summary Report  
UMSL, Scholarships  
December 2022**



**Background**

Scholarships are monetary awards provided to students to help pay for tuition and other educational costs and are a vital part of any higher education institution, since without them, many students could not afford to attend college. As a result, the scholarship process at all entities in the university system is an integral part of campus operations.

At the University of Missouri- St. Louis, the Office of Advancement ([UMSL Giving - Scholarships](#)) is responsible for working with donors, establishing award parameters, and generating legal paperwork.

Student Financial Services ([Scholarships & Grants - UMSL](#)) either finds and awards to qualified students or awards to recipients found by academic departments. Once qualified students are selected and meet requirements, awards are disbursed/paid to the student's cashier account.

For this FY22 audit, we identified a universe of 623 annual and endowed scholarships available for awarding. Of those, 215 or 35 percent, were Student Financial Services' (SFS) responsibility to award, and 408 or 65 percent were various colleges'/departments' responsibility to award.

Approximately \$2.28 million of the \$4.43 million available in scholarship accounts at the beginning of FY22 at UMSL was spent to fund scholarship awards.

**Issues Summary**

- Advancement is responsible to work with donors to establish criteria, complete account set up, and execute donor reporting. Responsibility for awarding scholarships is shared by Student Financial Services, and various colleges and departments. No one function is responsible for all aspects of the scholarship process. In FY22 45% of the available scholarships identified were not awarded. Scholarships were awarded more consistently by Student Financial Services than the colleges/departments, but issues were noted in both areas.
- Advancement and Student Financial Services consider scholarship processes at UMSL to be centralized. Audit work indicated that most scholarships are not in Academic Works, the system used for centralizing and managing scholarship awards.

**Management Action Plan Summary**

Management is discussing options for improving the awarding process. Once a specific plan has been determined, a due date and responsibility will be assigned.

### **Risk Rating Rationale**

Appropriate awarding of scholarships provides an opportunity for students to receive assistance and for donors to fund scholarships consistent with their interests and values. Donor dissatisfaction and missed opportunities for students is the risk of not following award criteria, timely disbursement, consistent monitoring and record-keeping, and complete distribution of available awards, all of which were issues in this audit.

**Audits and Consulting Engagements Currently in Process**

<b>Audit Area</b>	<b>Overall Objective</b>	<b>Status</b>	<b>Risk Area(s)</b>
MUHC School of Medicine – Equipment Inventory	Validate process for equipment valuation, inventory, and tracking.	Reporting	Operations
UMKC Dental School – Standard Financial Audit	Focus on processes impacting financial performance.	Fieldwork	Operations
MU Athletics – Standard Financial Audit	Focus on processes impacting financial performance.	Planning	Operations
UMKC – Export Controls	Assessment of export control processes	Fieldwork	Compliance
S&T – Export Controls	Assessment of export control processes.	Planning	Compliance
MUHC – Network Segregation	Verify appropriateness of the MUHC border/FirePower firewall rules request process and determine to what extent the campus network can access the hospital network.	Planning	Information Technology
UMKC – Conflict of Interest and Commitment	Assessment of the Conflict of Interest and Commitment process.	Planning	Compliance

In addition, we are actively working seven investigations.

## FY23 Ethics and Compliance Plan Progress

### High-Level Oversight

Work collaboratively with the General Counsel to determine and implement:

- A compliance program policy as a CRR – **In process**
- Any additional oversight structures that would contribute to an effective compliance program. – **In process**

### Policy and Procedure Integration

Draft and finalize policy/procedures addressing the following:

- Fraud Awareness – **Not started**
- Non-retaliation – currently addressed in multiple policies - **Not started**
- Any other policy/procedure gaps or revisions required because of the gap analysis work and/or work with the general counsel in establishing a compliance policy framework. - **Ongoing**

### Open Communication

- Continue developing the network of compliance professionals across the system to leverage knowledge, establish regulatory change management and continuously understand changes to risk. - **Ongoing**
- Implement an ongoing communications strategy to keep the importance of “speaking-up” and reporting concerns front and center for all faculty and staff. – **Communications plan development beginning third quarter FY23. The communications strategy will also include the Integrity and Accountability Hotline with examples of concerns to report, available reporting channels, and the detail needed.**

### Training and Education

- Code of Conduct Annual training and attestation will be deployed through the learning management system at the beginning of the Fall semester - **Ongoing**
- Micro-learnings (short and targeted learnings) will be developed and deployed in the following areas:
  - Export controls – for principal investigators – **in development**
  - Gramm, Leach, Bliley Act education – units responsible to protect and secure information. **Education completed with Information Security Officers. Revising overall training and integrating with the annual Security Training Awareness.**
  - The Importance of a Speak-up Culture – everyone – **in development**
  - Fraud Awareness – everyone – **in development**
- An in-depth module on fraud – all personnel with financial responsibilities -**in development**
- Any other educational opportunities for increasing awareness identified through the gap analysis work - **ongoing**

February 9, 2023

## Monitoring and Auditing

- Youth Protection Program monitoring has been established and will be operational for summer camps in 2022. – **ongoing. See metrics under Youth Protection Program Update.**
- Active monitoring of research grant management to identify any concerning trends for follow-up will be in place by summer 2022. – **As of January 2023, monitoring has begun.**
- Monitoring of IP addresses hitting UM System networks from sanctioned countries is ongoing. **This monitoring is under evaluation to find a more effective approach. The previous method was resulting in a high false positive percentage.**
- Monitoring continues related to improvements to the Higher Education Information Security Program and the impact on maturing the program. **Ongoing**
- Internal audits of export control processes for each university will be completed in FY23 in collaboration with the Director of Research Security and Compliance. – **Two are in process.**
- Internal Audits of Conflict of Interest/Commitment will be conducted for the remaining entities not yet completed. **-Not started.**

## Responses to Detected Errors

- As errors are detected, compliance will continue working collaboratively with other subject matter experts to investigate, address, conduct a root cause analysis, and determine how best to reduce the possibility of future occurrences.

## Review and Refine

- As issues occur, new regulations are established, or current regulations change, System Compliance is committed to working with those involved to continuously adapt structures, processes and procedures and be able to demonstrate an effective compliance program.

February 9, 2023

## UM System Compliance Plan Focus Areas

<b>Compliance Activity</b>	<b>FY2023</b>	<b>Status</b>
Code of Conduct	Annual training with attestation (ongoing)	<ul style="list-style-type: none"> <li>• Completed for FY23</li> <li>• Currently developing FY24 training</li> </ul>
Cybersecurity	Ongoing monitoring of completed tasks and maturity of Information Security Program.	<ul style="list-style-type: none"> <li>• MUHC Information Security Assessment Completed.</li> <li>• Integrating GLBA education into annual Information Security training.</li> <li>• Connecting policies and procedures to the “why”</li> </ul>
Data Regulations	<ul style="list-style-type: none"> <li>• Complete Gap Analysis for GDPR and Clery Act compliance. Determine necessary changes.</li> <li>• Begin work to establish monitoring tools to gauge compliance with data regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• Finalizing hiring of a privacy officer for higher education. GDPR and Clery are the top priorities</li> <li>• Working with OGC and Information Security Officers on policies for web tracking technologies</li> </ul>
Research Compliance	<ul style="list-style-type: none"> <li>• Deployment of the education and training for researchers about when and how to engage Export Controls.</li> <li>• Provide resources to the universities to facilitate a campus-wide approach for mitigating risks created by doing business internationally.</li> <li>• Begin work to establish monitoring tools to gauge compliance with regulations.</li> </ul>	<ul style="list-style-type: none"> <li>• Work underway for export controls education</li> <li>• A team has moved forward a proposal to secure research space consistent with the Cybersecurity Maturity Model Certification (CMMC). The rule will take effect in May 2023 and meeting CMMC requirements will be a necessary condition to apply for some DoD research funding.</li> </ul>
Environmental Health and Safety	<ul style="list-style-type: none"> <li>• Complete Gap Analysis for Environmental Health and Safety at the universities.</li> <li>• Determine necessary changes to structure, processes and/or procedures.</li> <li>• Identify any targeted training opportunities and integrate into the education and training plan.</li> </ul>	<ul style="list-style-type: none"> <li>• Work not yet started.</li> </ul>

February 9, 2023



In addition:

1. An RFP for hotline services is in process. The current contract expires in May 2023.
2. An Education and Training Manager has been hired.
3. Hiring of the Privacy Officer is in the final stages.

# University of Missouri System

## Board of Curators

February 9, 2023

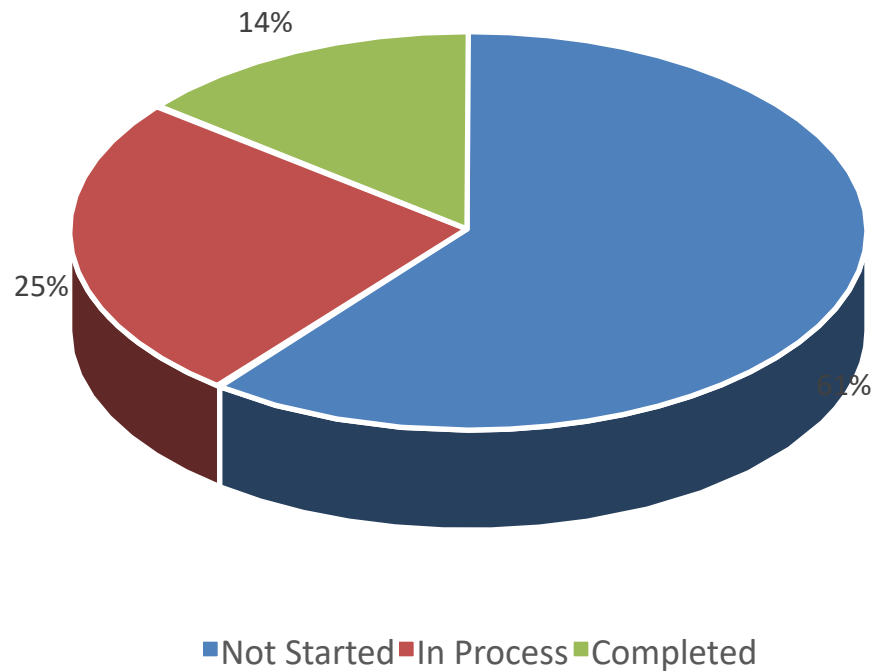
Audit Committee

Internal Audit, Compliance and Ethics Report  
UM



# Summary of Internal Audit Activity

FY2023 Audit Plan Status



Since September 2022:

- Completed four internal audits and nine investigations
- Seven internal audits in process
- Actively working seven investigations

# Scholarships UMSL



## Summary Observations

1. No one function is responsible for all aspects of the scholarship process. In FY22, 45% of the available scholarships were not awarded. Scholarships were awarded more consistently by Student Financial Services than the college/departments.
2. Advancement and Student Financial Services consider scholarship processes to be centralized. Audit work indicated that most scholarships are not in Academic Works, the system used for managing scholarship awards.

## Management Action

Management is discussing options for improving the awarding process. Once a specific plan has been determined, a due date and responsibility will be assigned.

# UM System Ethics and Compliance Program

## Building a Privacy Program for the UM System Universities

- A privacy officer is joining the UM System Ethics and Compliance Program
- This person is responsible for developing:
  - An overall privacy approach, in collaboration with the Chief Information Security Officer and Office of General Counsel
  - Supporting the professionals across the system responsible for data regulations
- An effective privacy and security strategy is needed to reduce risk in the areas of:
  - Reputational Harm
  - Penalties for non-compliance
  - Disruption of business

# UM System Ethics and Compliance Program

## **Most common federal data regulation laws affecting higher education institutions:**

- The Family Educational Rights and Privacy Act of 1974 (FERPA)
- The Health Insurance and Portability and Accountability Act of 1996
- The Gramm-Leach-Bliley Act (GLBA)
- The Clery Act of 1990
- General Data Protection Regulations of 2018
- The Fair and Accurate Credit Transaction Act of 2003 (FACTA or “Red Flags Rule”)
- The Privacy Act of 1974
- E-Government Act of 2002
- The Federal Information and Security Act of 2002 (FISMA)
- Americans with Disabilities Act of 1990 (ADA)
- Children’s Online Privacy Protection Act of 1998 (COPPA)

# Questions?

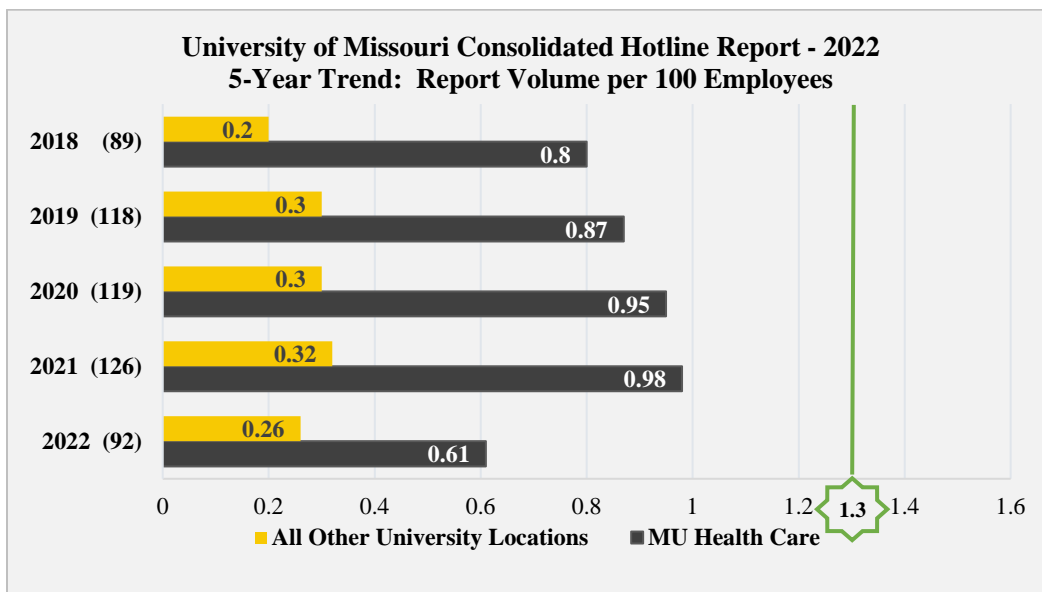
University of Missouri System Reporting Hotlines  
Annual Report 2022

This annual report incorporates information from UM System hotlines, as well as mail/email reports received by System administration. In 2022 92 reports were received: the Integrity and Accountability Hotline received 74 reports (six bias reports), and the Bias Reporting Hotline received 18 reports (six non-bias reports). As of December 31, 2022, 74 reports across both lines have been resolved/closed, and investigation outcomes are still pending for 18 reports.

Analysis and benchmarking of hotline data helps an organization gain a better understanding of culture, effectiveness of communications with employees, investigation quality, and employee knowledge of reporting channels. This report compares data collected through the UM System case management platform with key data benchmarks and trends from the Navex Global database of reports and outcomes, providing context for evaluating program performance and maturation (most recent benchmarks available are for 2021; 2022 data will be published by Navex in April 2023). To provide a better understanding of university program history and performance, five years of data has been included to illustrate trends. It is important to note outcomes referenced for UM case closure time and substantiation rates are based on reports closed as of December 31, 2022. As pending cases close, this information will be incorporated into final annual outcomes and will be reflected in the data trends in next year’s report.

**Report Volume per 100 Employees**

This metric enables organizations to compare total numbers of unique reporter contacts. The Navex Global benchmark for this metric dropped in 2020 to 1.3 reports per 100 employees (previously 1.4) for the first time in many years. MU Health Care is consistently identified as the location for 40-50% of reports to the hotlines; therefore, results were graphed to demonstrate this breakdown. All other locations include MU, Missouri S&T, UMKC, UMSL, and UM System Central Services.



February 9, 2023



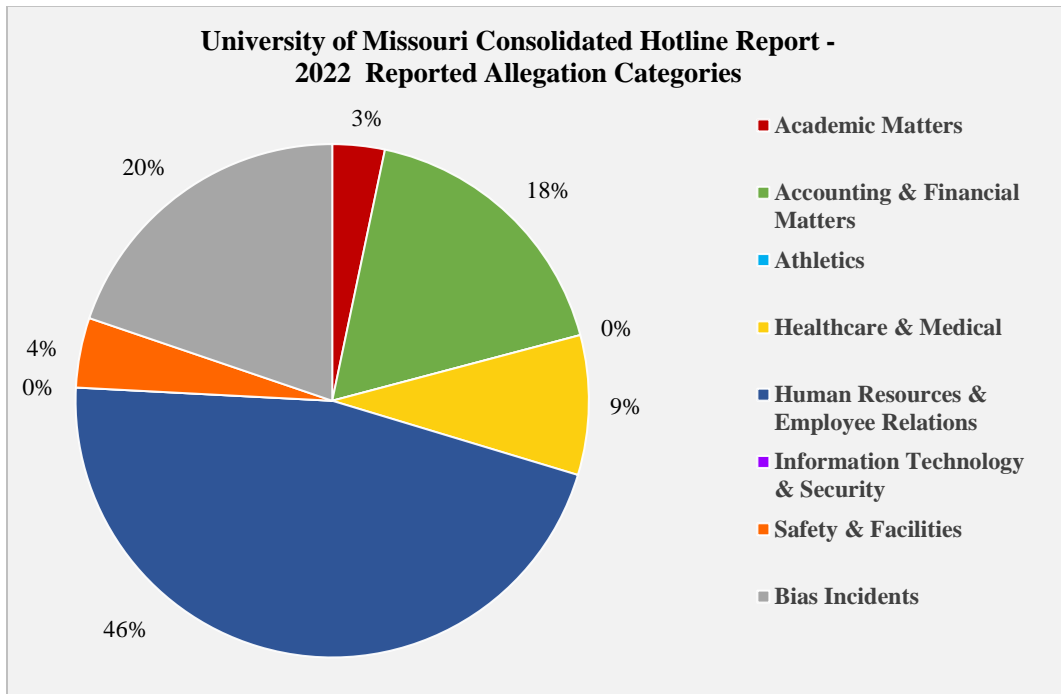
**Report Allegation Categories**

The types of reports an organization receives are an indication of where the organization may need to devote resources and can provide a potential measure of the effectiveness of efforts directed towards previously identified areas of concern. The top three reporting categories in 2022 were Human Resources and Employee Relations (HR) at 46%, Bias Incidents (comprising reports alleging bias-related concerns from both hotlines) at 20%, and Accounting and Financial Matters at 18%.

HR Issues: Forty-two reports alleged HR issues: 21 at MU, 13 at MU Health, three at UMSL, one at Missouri S&T, and four misfiled/withdrawn. Twelve reports in this category were closed in 2022 as substantiated, and five were pending resolution at year end.

Bias Issues: Eighteen reports alleged bias issues: 10 at MU, five at MU Health Care, one at UMKC, and two at UM System. Two reports in this category were closed in 2022 as substantiated, and eight were pending resolution at year end.

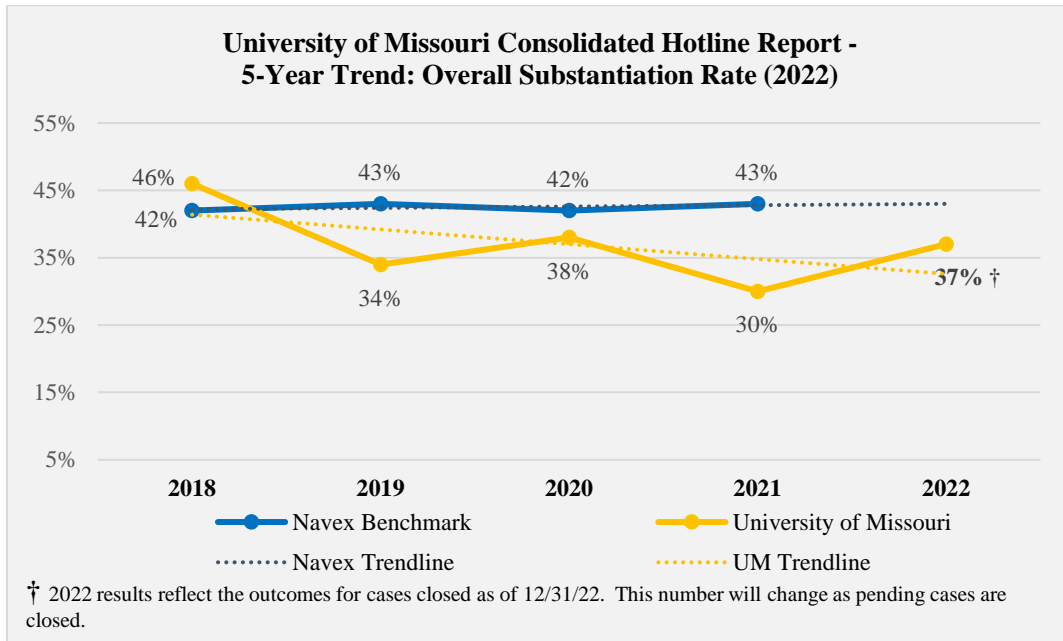
Accounting/Financial Issues: Sixteen reports alleged accounting and financial concerns: 12 at MU, three at MU Health and one at S&T. Five reports in this category were closed in 2022 as substantiated, and three were pending resolution at year end.



**Substantiated Reports**

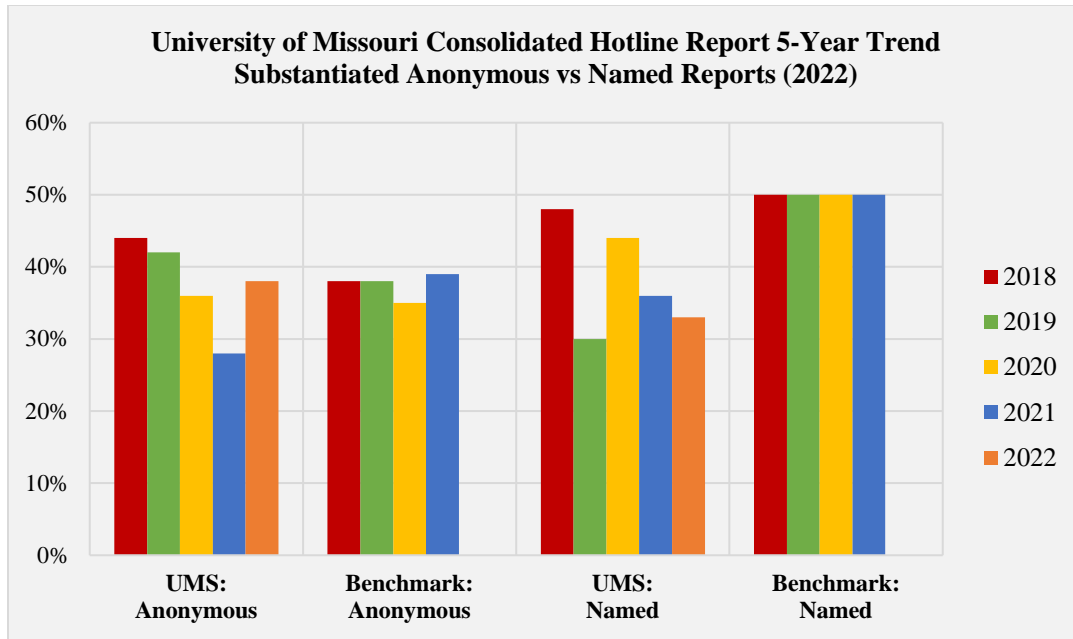
The overall substantiation rate reflects the percentage of allegations which were investigated and fully or partially confirmed. A high substantiation rate reflects a well-informed employee base making high-quality reports, coupled with effective investigation processes. Overall substantiation rates at UM have been variable. Substantiation rate by reporting category in 2022 are as follows: Accounting 56%; Safety and Facilities 50%; Human

Resources 39%; Healthcare and Medical 29%; Bias 22%; Academic Matters 0%; Research Matters 0%.



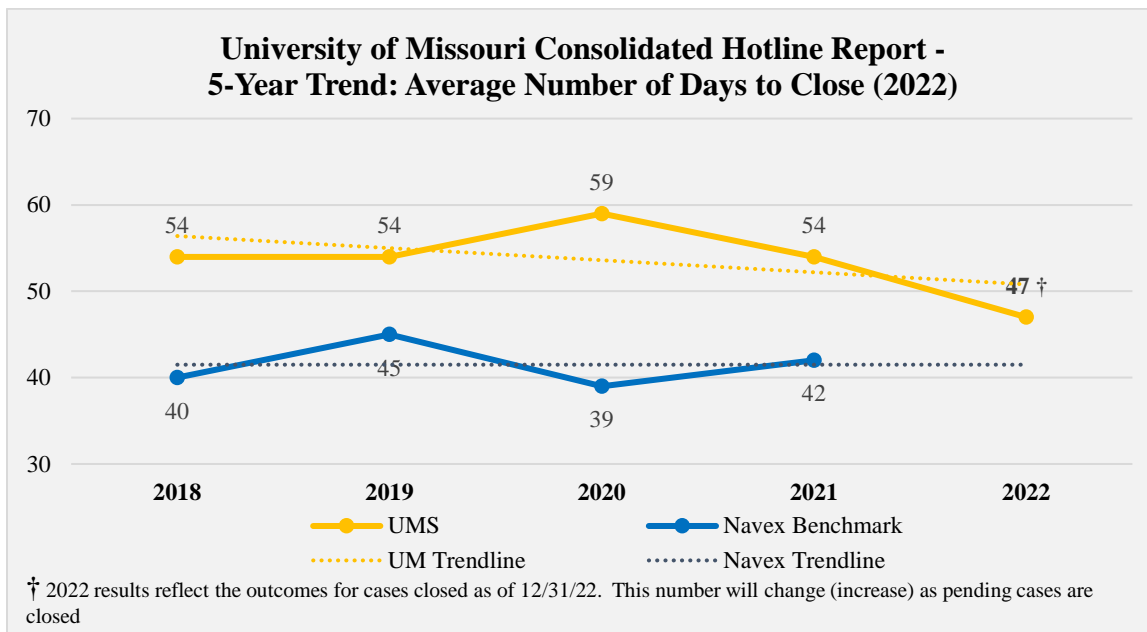
### **Substantiated Anonymous vs. Named Reports**

Named reports allow investigators to gather additional information directly from the reporter, which can improve investigative effectiveness and may result in higher substantiation rates. Although there can be reluctance to take anonymous reports seriously, anonymous reporters can provide valuable insights into obscure or previously unknown legal, regulatory and compliance issues in an organization. The Association of Certified Fraud Examiners (AFCE) consistently reports the most common method for detecting fraud is by anonymous tip. Navex Global also promotes anonymous reporting as a simple but powerful way to encourage a strong speak up culture, resulting in a greater volume of reports and greater insight into risks of an organization. Further, overall substantiation rates for anonymous reports are comparable with reports from named sources. We have been successful in engaging anonymous reporters through two-way communication tools within EthicsPoint, allowing investigators to communicate with reporters to gather additional information while permitting them to remain anonymous. In two of the past five years, the substantiation rate of anonymous reports has been higher than the rate for named reports. The 2022 results in this report reflect outcomes for cases closed as of December 31, 2022 and may change as pending cases are closed.



### Case Closure Time

Case closure time is the number of calendar days it takes to complete an investigation and close the case. Completing investigations in a timely fashion helps to cultivate a sense of trust with employees. Best-practice average case closure time is 30-days; workplace issues that persist for 40 days or more can be damaging to morale, productivity, and organizational culture. Often, as employee trust increases, organizations may notice more complex matters are reported, which require the commitment of additional time and resources to some investigations. The goal of the UMS Hotline Committee is to consider each report and allegation individually, encourage dedication of appropriate resources and standard investigative approach to enable thorough, high-quality investigations be conducted, and to reach resolution on reported matters as timely as possible.



February 9, 2023

## **Conclusions and Opportunities for Improvement**

### 2022 Highlights

1. Report volumes per 100 employees declined for both the universities and health system after a four-year increasing trend.
2. Substantiated reports saw a seven percent increase over 2021 numbers.
3. A higher percentage of concerns submitted by anonymous reporters were substantiated as compared to those submitted by named reporters.
4. The average number of days to close declined from 54 in 2021 to 47 in 2022.

### 2023 Focus

The focus in 2023 will be an awareness campaign throughout the year emphasizing:

- The importance of speaking up and reporting concerns
- Examples of concerns to report
- The important details to report so an investigation can be conducted
- The different ways to report concerns

External Auditor's Report  
UM

At the February 9, 2023 Board of Curators meeting, Rachel Dwiggin, Partner with FORVIS, LLP will present a summary of the FY 2022 Financial Statement Audit, NCAA Agreed Upon Procedures, and the audit scope for fiscal year 2023.

The University of Missouri 2022 financial statement audit was completed on October 28, 2022. The Board of Curators will be provided with an overview of the audit results and the required communication as a part of the audit.

The University of Missouri NCAA Agreed Upon Procedures Reports ("NCAA Reports") for fiscal year 2022 were completed by the January 15<sup>th</sup> deadline. The reports will be provided together to the Board with the Federal Single Audit once complete by the March deadline.

The Fiscal Year 2023 Audit Scope presentation will provide an overview of scope of audit services, audit timeline, preliminary risk assessments and discussion on implementation of new accounting pronouncements effective for fiscal year ended June 30, 2023.

# FORVIS

## University of Missouri System

### Report to the Board of Curators, Audit Committee and Management October 28, 2022

Results of the 2022 financial statement audit, internal control matters and  
other required communications

February 9, 2023

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# FORVIS

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	<b>Significant Estimates</b>	<b>3</b>
	<b>Opinion</b>	<b>4</b>
	<b>Required Communications</b>	<b>4</b>
<b>Appendix</b>	<b>Management Representation Letter &amp; Schedule of Uncorrected Misstatements</b>	





1201 Walnut Street, Suite 1700 / Kansas City, MO 64106

P 816.221.6300 / F 816.221.6380

[forvis.com](http://forvis.com)

October 28, 2022

The Board of Curators, Audit Committee and Management  
University of Missouri System  
Columbia, Missouri

Dear Board of Curators, Audit Committee and Management:

We have completed our audit of the financial statements of the business-type activities, the discretely presented component unit, and the fiduciary activities of the University of Missouri System (collectively referred to as the "System"), as of and for the year ended June 30, 2022. This report includes communication required under auditing standards generally accepted in the United States of America as well as other matters.

Our audit plan represented an approach responsive to the assessment of risk of material misstatement in financial reporting for the System. Specifically, auditing standards require us to:

- Express an opinion on the June 30, 2022, financial statements and supplementary information of the System.
- Report on internal control over financial reporting and on compliance and other matters based on an audit of the financial statements performed in accordance with *Government Auditing Standards*.
- Issue communications required under auditing standards generally accepted in the United States of America to assist the board in overseeing management's financial reporting and disclosure process.

This report also presents an overview of areas of audit emphasis, as well as future accounting standards and industry developments for the higher education and health care environments.

This communication is intended solely for the information and use of management, the Board of Curators, the Audit Committee and others within the System and is not intended to be, and should not be, used by anyone other than these specified parties.

Very truly yours,

Rachel Dwiggins  
Partner



## Summary of Our Audit Approach & Results

### Our Approach

The FORVIS audit approach focuses on areas of higher risk—the unique characteristics of the System’s operating environment, the design effectiveness of your internal controls and your financial statement amounts and disclosures. The objective is to express an opinion on the conformity of your financial statements, in all material respects, with accounting principles generally accepted in the United States of America.

We worked with you to develop an audit plan tailored to your specific circumstances and risks.

### Areas of Audit Emphasis

The principal areas of audit emphasis and results were as follows:

Risk Area	Results
<p><b>Management override of controls</b> – The risk that management may override existing and functioning accounting controls is an inherent risk to the System.</p>	<ul style="list-style-type: none"> <li>No matters are reportable.</li> </ul>
<p><b>Revenue recognition</b> – The risk that revenue is improperly categorized or recorded in the improper period.</p>	<ul style="list-style-type: none"> <li>No matters are reportable.</li> </ul>
<p><b>Existence and valuation of investments</b> – The assumptions and methods used by management to value difficult-to-value investments, such as alternative investments.</p>	<ul style="list-style-type: none"> <li>No matters are reportable.</li> </ul>
<p><b>Existence and valuation of pledges receivable</b> – The assumptions used by management to value collectability of pledges receivable.</p>	<ul style="list-style-type: none"> <li>No matters are reportable.</li> </ul>
<p><b>Net position classifications</b> – The risk that management has improperly classified ending net position.</p>	<ul style="list-style-type: none"> <li>No matters are reportable.</li> </ul>
<p><b>Stimulus funding</b> – The risk that government stimulus awards and grants is improperly categorized or recorded in the improper period. The risk includes timing of recognition of stimulus awards. Our single audit will address proper use of awards.</p>	<ul style="list-style-type: none"> <li>Approximately \$3 million of HEERF III funding was recognized in fiscal year 2022 when it should have been recognized in fiscal year 2023</li> </ul>
<p><b>Lease accounting</b> – The risk that right-of-use lease assets, leases receivable, lease liabilities and other lease-related accounts are improperly recorded or measured.</p>	<ul style="list-style-type: none"> <li>No matters are reportable.</li> </ul>

## Significant Estimates

The preparation of the financial statements requires considerable judgment because some assets, liabilities, revenues and expenses are “estimated” based on management’s assumptions about future outcomes. Estimates may be dependent on assumptions related to economic or environmental conditions, regulatory reform or changes in industry trends.

Some estimates are inherently more difficult to evaluate and highly susceptible to variation because the assumptions relating to future outcomes have a higher degree of uncertainty. To the extent future outcomes are different than expected, management’s estimates are adjusted in future periods, sometimes having a significant effect on subsequent period financial statements. The following are considered to be significant estimates for the System:

- **Allowance for Uncollectible Accounts** – Management’s estimate for the allowance is based on historical collection, contributor mix and anticipated trends.
- **Valuation of Investment Securities** – Management values investments at fair value as of the balance sheet date. Accounting standards define fair value as the price that would be received to sell a financial asset in an orderly transaction between market participants at the measurement date. Investments are valued using quoted market prices or third-party sources, including appraisers and valuation specialists, when available.
- **Impairment or Disposal of Long-Lived Assets** – Impairment of long-lived assets is evaluated by management when circumstances indicate that the carrying values of long-lived assets may be impaired. Management projects the undiscounted cash flows expected to be generated by these assets to determine if an impairment exists. Assumptions made by management that could affect the value of long-lived assets include the current market where the long-lived asset is located and expected profitability of the asset and business.
- **Defined Benefit Pension and Other Postemployment Benefit Plan Assumptions** – Management has recorded a liability for its defined pension plan and other postemployment benefit plan. The liability is based on the actuarial present value of future expected benefits and is based on inputs provided by management, including expected future earnings on plan assets and discount rates as well as past history of the plans.
- **Third-party Reimbursement** – Net operating revenues include management’s estimates of amounts to be reimbursed by third parties. Amounts received for patient billings are generally less than amounts billed. The difference between what is billed and expected to be received is recorded through contractual adjustments. Management’s process of estimating amounts to be received from third parties requires estimation based on payer classification, historical data and payer contract provisions. Estimates of third-party reimbursements also include management assumptions about uncertainties in health care reform, payer mix and state of the economy.
- **Accrual for Malpractice Claims, General Liability Claims, Health Claims and Workers’ Compensation Claims** – These liability claims are based on estimates of known claims and estimates for incurred but not reported claims. Management estimates the liability based on specific claims facts, historical claim reporting and actuarial assumptions.
- **Leased Assets and Lease Liabilities** – The value of leased assets and liabilities are estimates impacted by certain assumptions on lease term, lease payments and lease discount rates.

## Opinion

### Unmodified, or “Clean,” Opinion Issued on Financial Statements

We have issued unmodified opinions as to whether the business-type activities, the fiduciary activities and the discretely presented component unity of the System, as of and for the year ended June 30, 2022, are fairly presented, in all material respects.

## Required Communications

Generally accepted auditing standards require the auditor to provide to those charged with governance additional information regarding the scope and results of the audit that may assist you in overseeing management’s financial reporting and disclosure process. Below, we summarize these required communications.

### Auditor’s Responsibilities Under Auditing Standards Generally Accepted in the United States of America (GAAS) and the Standards Applicable to Financial Audits Contained in *Government Auditing Standards* Issued by the Comptroller General of the United States

An audit performed in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States is designed to obtain reasonable, rather than absolute, assurance about the financial statements. In performing auditing procedures, we establish scopes of audit tests in relation to the financial statements taken as a whole. Our engagement does not include a detailed audit of every transaction. Our engagement letter more specifically describes our responsibilities.

These standards require communication of significant matters related to the financial statement audit that are relevant to the responsibilities of those charged with governance in overseeing the financial reporting process. Such matters are communicated in the remainder of this communication or have previously been communicated during other phases of the audit. The standards do not require the auditor to design procedures for the purpose of identifying other matters to be communicated with those charged with governance.

An audit of the financial statements does not relieve management or those charged with governance of their responsibilities. Our engagement letter more specifically describes your responsibilities.

Area	Comments
<p><b>Significant Accounting Policies</b></p> <p>Significant accounting policies are described in <i>Note 1</i> of the financial statements.</p>	<p><u>GASB 87, Leases</u></p> <p>Effective July 1, 2021, the System adopted GASB 87, <i>Leases</i>. As the System presented comparative financial statements, the effect of the adoption of this new standard required the restatement of the 2021 financial statements.</p> <p>GASB 87 creates one model for recognizing leases for both lessees and lessors. Substantially all leases are recognized on the lessees' statement of net position. In the activity statement, lessees no longer report rent expense for the previously classified operating leases but instead report interest expense on the liability and amortization expense related to the asset. Lessors recognize a lease receivable and corresponding deferred inflow of resources. Interest income associated with the receivable are recognized using the effective interest method.</p> <p>Adoption of GASB 87 required significant time to identify a complete list of lease contracts for consideration of adoption and measure the lease assets and liabilities for recognition. In addition, due to adoption of the standard, the System's key performance indicators related to the statement of net position (such as the current ratio) are likely not comparable to historical results.</p>
<p><b>Alternative Accounting Treatments</b></p> <p>We had discussions with management regarding alternative accounting treatments within accounting principles generally accepted in the United States of America for policies and practices for material items, including recognition, measurement and disclosure considerations related to the accounting for specific transactions as well as general accounting policies, listed in the adjacent comments section.</p>	<ul style="list-style-type: none"> <li>No matters are reportable.</li> </ul>

Area	Comments
<p><b>Management Judgments &amp; Accounting Estimates</b></p> <p>Accounting estimates are an integral part of financial statement preparation by management, based on its judgments. Areas involving significant areas of such estimates for which we are prepared to discuss management’s estimation process and our procedures for testing the reasonableness of those estimates are listed in the adjacent comments section.</p>	<ul style="list-style-type: none"> <li>• Refer to Significant Estimates section of this report.</li> </ul>
<p><b>Financial Statement Disclosures</b></p> <p>The areas listed in the adjacent comments section involve particularly sensitive financial statement disclosures for which we are prepared to discuss the issues involved and related judgments made in formulating those disclosures.</p>	<ul style="list-style-type: none"> <li>• Fair Value of Assets and Liabilities</li> <li>• Retirement, Disability and Death Benefit Plan</li> <li>• Other Postemployment Benefits</li> <li>• Lease Assets &amp; Lease Obligations</li> </ul>
<p><b>Audit Adjustments</b></p> <p>During the course of any audit, an auditor may propose adjustments to financial statement amounts. Management evaluates our proposals and records those adjustments that, in its judgment, are required to prevent the financial statements from being materially misstated.</p> <p>Some adjustments proposed were not recorded because their aggregate effect is not currently material. We would like to call your attention to the fact that although these uncorrected misstatements, individually and in the aggregate, were deemed to be immaterial to the current-year financial statements, it is possible that the impact of these uncorrected misstatements, or matters underlying these uncorrected misstatements, could potentially cause future-period financial statements to be materially misstated.</p>	<p>Areas in which adjustments were proposed include:</p> <p><u>Proposed Audit Adjustments Recorded</u></p> <ul style="list-style-type: none"> <li>• HEERF III revenue recognition – \$3 million</li> </ul> <p><u>Proposed Audit Adjustments Not Recorded</u></p> <p>See Appendix for a summary of uncorrected misstatements we aggregated during the current engagement and pertaining to the latest period presented that were determined by management to be immaterial, both individually and in the aggregate, to the financial statements as a whole.</p>

Area	Comments
<p><b>Auditor’s Judgments About the Quality of the System’s Accounting Policies</b></p> <p>During the course of the audit, we made observations regarding the System’s application of accounting principles listed in the adjacent comments section.</p>	<ul style="list-style-type: none"> <li>No matters are reportable.</li> </ul>
<p><b>Other Information in Documents Containing Audited Financial Statements</b></p> <p>The audited financial statements are included in the System’s annual report to stockholders. Management, or those charged with governance, is responsible for preparing the annual report. We were not engaged to audit the information contained in the annual report, and as a result, our opinion does not provide assurance as to the completeness and accuracy of the information contained therein. Instead, our objectives with regard to such information were to read the entire report to determine if financial information discussed in sections outside the financial statements materially contradicts the audited financial statements. If we identify any such matters, we bring them to management’s attention and review subsequent revisions.</p>	<ul style="list-style-type: none"> <li>No matters are reportable.</li> </ul>
<p><b>Significant Unusual Transactions</b></p>	<ul style="list-style-type: none"> <li>No matters are reportable.</li> </ul>

**Other Material Communications**

Other material communications between management and us related to the audit include:

- Management representation letter (attached)
- We orally communicated to management other deficiencies in internal control identified during our audit that are not considered material weaknesses or significant deficiencies

\* \* \* \* \*

This communication is intended solely for the information and use of management, the Board of Curators, the Audit Committee and others within the System and is not intended to be and should not be used by anyone other than these specified parties.

**FORVIS, LLP**

Kansas City, Missouri  
October 28, 2022

## **Appendix: Management Representation Letter & Schedule of Uncorrected Misstatements**

February 9, 2023

October 28, 2022

*Representation of:*

The Board of Curators  
c/o Mr. Ryan Rapp, Vice President  
for Finance and Chief Financial Officer  
University of Missouri System  
118 University Hall  
Columbia, Missouri 65211

*Provided to:*

**FORVIS, LLP**  
Certified Public Accountants  
1201 Walnut Street, Suite 1700  
Kansas City, Missouri 64106-2246

The undersigned ("We") are providing this letter in connection with FORVIS' audits of our financial statements as of and for the years ended June 30, 2022 and 2021 as of and for the year ended June 30, 2022.

Our representations are current and effective as of the date of FORVIS' report: October 28, 2022.

Our engagement with FORVIS is based on our contract for services dated: March 21, 2022.

### **Our Responsibility and Consideration of Material Matters**

We confirm that we are responsible for the fair presentation of the financial statements subject to FORVIS' report in conformity with accounting principles generally accepted in the United States of America.

We are also responsible for adopting sound accounting policies; establishing and maintaining effective internal control over financial reporting, operations, and compliance; and preventing and detecting fraud.

Certain representations in this letter are described as being limited to matters that are material. Items are considered material, regardless of size, if they involve an omission or misstatement of accounting information that, in light of surrounding circumstances, makes it probable that the judgment of a reasonable person relying on the information would be changed or influenced by the omission or misstatement. An omission or misstatement that is monetarily small in amount could be considered material as a result of qualitative factors.

### **Confirmation of Matters Specific to the Subject Matter of FORVIS' Report**

We confirm, to the best of our knowledge and belief, the following:

1. We have fulfilled our responsibilities, as set out in the terms of our contract, for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America.
2. We acknowledge our responsibility for the design, implementation, and maintenance of:
  - a. Internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.
  - b. Internal control to prevent and detect fraud.
3. We have everything we need to keep our books and records.



MISSOURI



4. We have provided you with:
  - a. Access to all information of which we are aware that is relevant to the preparation and fair presentation of the financial statements, such as records, documentation, and other matters.
  - b. Additional information that you have requested from us for the purpose of the audit.
  - c. Unrestricted access to persons within the entity from whom you determined it necessary to obtain audit evidence.
  - d. All minutes of meetings of the governing body held through the date of this letter or summaries of actions of recent meetings for which minutes have not yet been prepared. All unsigned copies of minutes provided to you are copies of our original minutes approved by the governing body, if applicable, and maintained as part of our records.
  - e. All significant contracts and grants.
5. All transactions have been recorded in the accounting records and are reflected in the financial statements.
6. We have informed you of all current risks of a material amount that are not adequately prevented or detected by our procedures with respect to:
  - a. Misappropriation of assets.
  - b. Misrepresented or misstated assets, deferred outflows of resources, liabilities, deferred inflows of resources, or net position.
7. We believe the effects of the uncorrected financial statement misstatements summarized in the attached schedule are immaterial, both individually and in the aggregate, to the financial statements taken as a whole.
8. We have no knowledge of any known or suspected fraudulent financial reporting or misappropriation of assets involving:
  - a. Management or employees who have significant roles in internal control, or
  - b. Others, where activities of others could have a material effect on the financial statements.
9. We have no knowledge of any allegations of fraud or suspected fraud affecting the entity received in communications from employees, customers, regulators, suppliers, or others.
10. We have assessed the risk that the financial statements may be materially misstated as a result of fraud and disclosed to you any such risk identified.
11. We have disclosed to you the identity of all of the entity's related parties and all the related-party relationships of which we are aware. In addition, we have disclosed to you all related-party transactions of which we are aware, including any modifications during the year that were made to related-party transaction agreements which existed prior to the beginning of the year under audit, as well as new related-party transaction agreements that were executed during the year under audit.

Related-party relationships and transactions have been appropriately accounted for and disclosed in accordance with accounting principles generally accepted in the United States of America.

We understand that the term related party refers to an affiliate, management and members of their immediate families, component units, and any other party with which the entity may deal if the entity can significantly influence, or be influenced by, the management or operating policies of the other. The term affiliate refers to a party that directly or indirectly controls, or is controlled by, or is under common control with, the entity.

12. Interfund, internal, and intra-entity activity and balances have been appropriately classified and reported.
13. We are not aware of any side agreements or other arrangements (either written or oral) that are in place.
14. Except as reflected in the financial statements, there are no:
  - a. Plans or intentions that may materially affect carrying values or classifications of assets, deferred outflows of resources, liabilities, deferred inflows of resources, and net position.
  - b. Material transactions omitted or improperly recorded in the financial records.
  - c. Material gain/loss contingencies requiring accrual or disclosure, including those arising from environmental remediation obligations.
  - d. Events occurring subsequent to the statement of net position date through the date of this letter requiring adjustment or disclosure in the financial statements.
  - e. Agreements to purchase assets previously sold.
  - f. Restrictions on cash balances or compensating balance agreements.
  - g. Guarantees, whether written or oral, under which the entity is contingently liable.
  - h. Known or suspected asset retirement obligations.
15. We have disclosed to you all known instances of noncompliance or suspected noncompliance with laws and regulations whose effects should be considered when preparing financial statements.
16. We have no reason to believe the entity owes any penalties or payments under the Employer Shared Responsibility Provisions of the *Patient Protection and Affordable Care Act* nor have we received any correspondence from the IRS or other agencies indicating such payments may be due.
17. We have disclosed to you all known actual or possible litigation and claims whose effects should be considered when preparing the financial statements. The effects of all known actual or possible litigation and claims have been accounted for and disclosed in accordance with accounting principles generally accepted in the United States of America.
18. We have informed you of all pending or completed investigations by regulatory authorities of which we are aware. There are no known circumstances that could jeopardize the University of Missouri System's participation in the Medicare or other governmental health care programs.
19. Adequate provisions and allowances have been accrued for any material losses from:
  - a. Uncollectible receivables.
  - b. Reducing obsolete or excess inventories to estimated net realizable value.

- c. Sales commitments, including those unable to be fulfilled.
  - d. Purchase commitments in excess of normal requirements or above prevailing market prices.
  - e. Medicare/Medicaid and other third-party contractual, audit or other adjustments.
20. Except as disclosed in the financial statements, the entity has:
- a. Satisfactory title to all recorded assets, and they are not subject to any liens, pledges, or other encumbrances.
  - b. Complied with all aspects of contractual and grant agreements, for which noncompliance would materially affect the financial statements.
21. With respect to the System's possible exposure to past or future medical malpractice assertions:
- a. We have disclosed to you all incidents known to us that could possibly give rise to an assertion of malpractice.
  - b. All known incidents have been appropriately considered in our medical malpractice liability accrual.
  - c. We believe our accruals of malpractice claims are sufficient for all known and probable potential claims.
22. The financial statements disclose all significant estimates and material concentrations known to us. Significant estimates are estimates at the statement of net position date that could change materially within the next year. Concentrations refer to volumes of business, revenues, available sources of supply, or markets for which events could occur that would significantly disrupt normal finances within the next year. Significant assumptions used by us in making accounting estimates, including those measured at fair value, are reasonable.
23. The fair values of financial and nonfinancial assets and liabilities, if any, recognized in the financial statements or disclosed in the notes thereto are reasonable estimates based on the methods and assumptions used. The methods and significant assumptions used result in measurements of fair value appropriate for financial statement recognition and disclosure purposes and have been applied consistently from period to period, taking into account any changes in circumstances. The significant assumptions appropriately reflect market participant assumptions.
24. We have not been designated as a potentially responsible party (PRP or equivalent status) by the Environmental Protection Agency (EPA) or other cognizant regulatory agency with authority to enforce environmental laws and regulations.
25. With respect to any nonattest services you have provided us during the year, including agreed-upon procedures in connection with the Missouri Health System's compliance with specified terms of the Corporate Integrity Agreement with the Office of the Inspector General:
- a. We have designated a qualified management-level individual to be responsible and accountable for overseeing the nonattest services.
  - b. We have established and monitored the performance of the nonattest services to ensure they meet our objectives.

- c. We have made any and all decisions involving management functions with respect to the nonattest services and accept full responsibility for such decisions.
  - d. We have evaluated the adequacy of the services performed and any findings that resulted.
  - e. We have received the deliverables from you and have stored these deliverables in information systems controlled by us. We have taken responsibility for maintaining internal control over these deliverables.
26. With regard to deposit and investment activities:
- a. All deposit, repurchase and reverse repurchase agreements, and investment transactions have been made in accordance with legal and contractual requirements.
  - b. Investments, derivative instrument transactions, and land and other real estate held by endowments are properly valued.
  - c. Disclosures of deposit and investment balances and risks in the financial statements are consistent with our understanding of the applicable laws regarding enforceability of any pledges of collateral.
  - d. We understand that your audit does not represent an opinion regarding the enforceability of any collateral pledges.
27. The financial statements include all component units, appropriately present majority equity interests in legally separate organizations and joint ventures with an equity interest, and properly disclose all other joint ventures and other related organizations.
28. We have identified and evaluated all potential fiduciary activities. The financial statements include all fiduciary activities required by GASB Statement No. 84, *Fiduciary Activities*, as amended.
29. The financial statements properly classify all funds and activities in accordance with GASB Statement No. 54, *Fund Balance Reporting and Governmental Fund Type Definitions*, as amended.
30. All funds that meet the quantitative criteria in GASB Statement No. 34, *Basic Financial Statements—and Management's Discussion and Analysis—for State and Local Governments*, as amended, and No. 37, *Basic Financial Statements—and Management's Discussion and Analysis—for State and Local Governments: Omnibus—an amendment of GASB Statements No. 21 and No. 34*, for presentation as major are identified and presented as such and all other funds that are presented as major are particularly important to financial statement users.
31. Components of net position (net investment in capital assets, restricted, and unrestricted) and classifications of fund balance (nonspendable, restricted, committed, assigned, and unassigned) are properly classified and, if applicable, approved.
32. Expenses have been appropriately classified in or allocated to functions and programs in the statement of activities, and allocations have been made on a reasonable basis.
33. Revenues are appropriately classified in the statement of activities within program revenues, general revenues, contributions to term or permanent endowments, or contributions to permanent fund principal.
34. Capital assets, including infrastructure and intangible assets, are properly capitalized, reported, and, if applicable, depreciated or amortized.

35. We have appropriately disclosed the entity's policy regarding whether to first apply restricted or unrestricted resources when an expense is incurred for purposes for which both restricted and unrestricted net position/fund balance is available and have determined that net position is properly recognized under the policy.
36. We have appropriately disclosed that the entity is following either its established accounting policy regarding which governmental fund resources (that is, restricted, committed, assigned, or unassigned) are considered to be spent first for expenditures for which more than one resource classification is available or is following paragraph 18 of GASB Statement No. 54 to determine the fund balance classifications for financial reporting purposes and have determined that fund balance is properly recognized under the policy.
37. The entity has properly separated information in debt disclosures related to direct borrowings and direct placements of debt from other debt and disclosed any unused lines of credit, collateral pledged to secure debt, terms in debt agreements related to significant default or termination events with finance-related consequences, and significant subjective acceleration clauses in accordance with GASB Statement No. 88.
38. With regard to pension and other postemployment benefit (OPEB) activities:
  - a. We believe that the actuarial assumptions and methods used to measure pension and OPEB liabilities and costs for financial accounting purposes are appropriate in the circumstances.
  - b. We have provided you with the entity's most current pension and OPEB plan instrument for the audit period, including all plan amendments.
  - c. The participant data provided to you related to pension and OPEB plans are true copies of the data submitted or electronically transmitted to the plan's actuary.
  - d. The participant data that we provided the plan's actuary for the purposes of determining the actuarial present value of accumulated plan benefits and other actuarially determined amounts in the financial statements were complete.
39. We have identified and evaluated all potential tax abatements, and we believe there are no material tax abatements.
40. The entity's ability to continue as a going concern was evaluated and that appropriate disclosures are made in the financial statements as necessary under GASB requirements.
41. As an entity subject to *Government Auditing Standards*:
  - a. We acknowledge that we are responsible for compliance with applicable laws, regulations, and provisions of contracts and grant agreements.
  - b. We have identified and disclosed to you all laws, regulations, and provisions of contracts and grant agreements that have a direct and material effect on the determination of amounts in our financial statements or other financial data significant to the audit objectives.
  - c. We have identified and disclosed to you any violations or possible violations of laws, regulations, and provisions of contracts and grant agreements, tax or debt limits, and any related debt covenants whose effects should be considered for recognition and/or disclosure in the financial statements or for your reporting on noncompliance.

Page 7

- d. We have taken or will take timely and appropriate steps to remedy any fraud, abuse, illegal acts, or violations of provisions of contracts or grant agreements that you or other auditors report.
- e. We have a process to track the status of audit findings and recommendations.
- f. We have identified to you any previous financial audits, attestation engagements, performance audits, or other studies related to the objectives of your audit and the corrective actions taken to address any significant findings and recommendations made in such audits, attestation engagements, or other studies.
- g. We have provided our views on any findings, conclusions, and recommendations, as well as our planned corrective actions with respect thereto, to you for inclusion in the findings and recommendations referred to in your report on internal control over financial reporting and on compliance and other matters based on your audit of the financial statements performed in accordance with *Government Auditing Standards*.

42. With regard to federal awards programs:

- a. We have identified in the schedule of expenditures of federal awards all assistance provided (either directly or passed through other entities) by federal agencies in the form of grants, contracts, loans, loan guarantees, property, cooperative agreements, interest subsidies, commodities, insurance, direct appropriations, or in any other form.
- b. We have disclosed to you all contracts or other agreements with service organizations, and we have disclosed to you all communications from the service organizations relating to noncompliance at the service organizations.
- c. We have reconciled the schedule of expenditures of federal awards (SEFA) to the financial statements.
- d. Federal awards-related revenues and expenditures are fairly presented, both in form and content, in accordance with the applicable criteria in the entity's financial statements.

43. The supplementary information required by the Governmental Accounting Standards Board, consisting of management's discussion and analysis, pension, and other postemployment benefit information, has been prepared and is measured and presented in conformity with the applicable GASB pronouncements, and we acknowledge our responsibility for the information. The information contained therein is based on all facts, decisions, and conditions currently known to us and is measured using the same methods and assumptions as were used in the preparation of the financial statements. We believe the significant assumptions underlying the measurement and/or presentation of the information are reasonable and appropriate. There has been no change from the preceding period in the methods of measurement and presentation.

44. With regard to supplementary information:

- a. We acknowledge our responsibility for the presentation of the supplementary information in accordance with the applicable criteria.
- b. We believe the supplementary information is fairly presented, both in form and content, in accordance with the applicable criteria.
- c. The methods of measurement and presentation of the supplementary information are unchanged from those used in the prior period.

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- d. We believe the significant assumptions or interpretations underlying the measurement and/or presentation of the supplementary information are reasonable and appropriate.
  - e. If the supplementary information is not presented with the audited financial statements, we acknowledge we will make the audited financial statements readily available to intended users of the supplementary information no later than the date such information and the related auditor's report are issued.
45. Billings to third-party payers comply in all material respects with applicable coding guidelines, laws and regulations. Billings reflect only charges for goods and services that were medically necessary; properly approved by regulatory bodies, if required; and properly rendered.
46. With regard to cost reports filed with Medicare, Medicaid or other third parties:
- a. All required reports have been properly filed.
  - b. Management is responsible for the accuracy and propriety of those reports.
  - c. All costs reflected on such reports are appropriate and allowable under applicable reimbursement rules and regulations and are patient-related and properly allocated to applicable payers.
  - d. The reimbursement methodologies and principles employed are in accordance with applicable rules and regulations.
47. We acknowledge the current economic volatility presents difficult circumstances and challenges for our industry. Entities are potentially facing declines in the fair values of investments and other assets, declines in the volume of business, constraints on liquidity, difficulty obtaining financing, etc. We understand the values of the assets and liabilities recorded in the financial statements could change rapidly, resulting in material future adjustments to asset values, allowances for accounts and notes receivable, etc., that could negatively impact the entity's ability to meet debt covenants or maintain sufficient liquidity.
- We acknowledge that you have no responsibility for future changes caused by the current economic environment and the resulting impact on the entity's financial statements. Further, management and governance are solely responsible for all aspects of managing the entity, including questioning the quality and valuation of investments, inventory, and other assets; reviewing allowances for uncollectible amounts; evaluating capital needs and liquidity plans.
48. In regard to the Master Strategic Alliance Agreement between Siemens Medical Solutions USA, Inc. and us, there currently are no assets in the "Healthcare Innovation Fund."
49. The System has revised the 2021 financial statements to conform with accounting principles generally accepted in the United States of America. Management has provided you with all relevant information regarding the revision. We are not aware of any other known matters that require correction in the financial statements.
50. GASB Statement 87, *Leases*

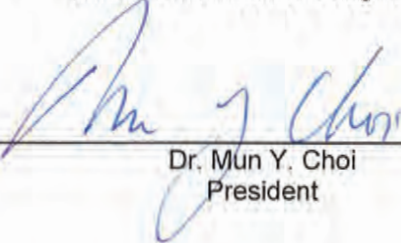
In connection with the adoption of GASB Statement No. 87, *Leases*, (GASB 87), we represent the following:

- a. We have identified a complete population of potential leases as of the implementation date.

- b. We have reviewed all significant contracts to identify lease and nonlease components as of the earliest date of adoption. Allocation of contract prices between lease and nonlease components are based upon standalone prices or other reasonable factors.
  - c. Measurements of the lease assets and liabilities are based upon facts and circumstances that existed at the beginning of the period of implementation.
  - d. The estimates related to any options to extend or terminate the lease terms within the measurement of lease assets and liabilities agree to management's plans for the leases.
  - e. The discount rates for each lease are based upon what would be obtained by the entity for similar loans as an incremental rate.
  - f. The classification and accounting of related-party leases between entities, for which separate financial statements are issued, have been modified to recognize the substance of the transaction rather than only its legal form.
  - g. We have adequate controls in place to prevent and/or detect errors in lease assets and liabilities on a recurring basis.
  - h. The footnotes to the financial statements appropriately describe the adoption of GASB 87 and include all additional disclosures required under the Statement.
51. With regard to the payments received from the Provider Relief Fund established by the *Coronavirus Aid, Relief and Economic Security Act* (CARES Act), we represent the following:
- a. To the extent revenue has been recognized, we believe we have met the eligibility requirements as outlined in the U.S. Department of Health and Human Services' (HHS) terms and conditions for the Provider Relief Fund.
  - b. We believe the method we have utilized to recognize revenue associated with the Provider Relief Fund is consistent with acceptable methods outlined in HHS' terms and conditions and other guidance available as of June 30, 2022.
  - c. Consistent with the terms and conditions established by HHS and other guidance available as of June 30, 2022, Provider Relief Fund payments were not used to reimburse expenses or losses that have been reimbursed or are obligated to be reimbursed by other sources, including payments from insurance and/or patients and amounts received from federal, state, or local governments.
  - d. We have evaluated the "Post-Payment Notice of Reporting Requirements" (Notice) and the Frequently Asked Questions (FAQs) issued by HHS subsequent to June 30, 2022, in accordance with GASB codification Section 2250 and have concluded as follows:
    - June 2021 FAQs – recognized
    - September 2021 Notice – nonrecognized
    - October 2021 Notice & FAQs – nonrecognized
    - July 1, 2022 FAQs –recognized
  - e. For guidance issued subsequent to June 30, 2022, considered nonrecognized subsequent events, we have reviewed this guidance and believe it will not have a material impact on the amount of Provider Relief Fund the System has recognized through June 30, 2022. In addition, we acknowledge that HHS may issue new guidance that could have a material impact on the amount of revenue recognized from the Provider Relief Fund as of June 30, 2022.

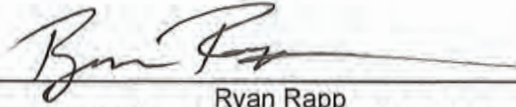


- f. We understand that amounts recognized on the Schedule of Expenditures of Federal Awards may differ from amounts recognized on the financial statements.



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Dr. Mun Y. Choi  
President



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Ryan Rapp  
Executive Vice President of Finance,  
Chief Financial Officer, and Treasurer

# University of Missouri System

## ATTACHMENT

This analysis and the attached "Schedule of Uncorrected Misstatements (Adjustments Passed)" reflect the effects on the financial statements if the uncorrected misstatements identified were corrected.

### Business Type Activities (Government-Wide Statements)

#### QUANTITATIVE ANALYSIS

	Before Misstatements	Misstatements	Subsequent to Misstatements	% Change
Current Assets	1,482,588	5,818	1,488,406	0.39%
Non-Current Assets & Deferred Outflows	8,837,254	(3,565)	8,833,689	-0.04%
Current Liabilities	(723,236)	(14,342)	(737,578)	1.98%
Non-Current Liabilities & Deferred Inflows	(3,417,337)		(3,417,337)	
Current Ratio	2.05		2.02	-1.56%
Total Assets & Deferred Outflows	10,319,842	2,253	10,322,095	0.02%
Total Liabilities & Deferred Inflows	(4,140,573)	(14,342)	(4,154,915)	0.35%
Total Net Position	(6,179,269)	12,089	(6,167,180)	-0.20%
Total Revenue	(3,877,398)	9,295	(3,868,103)	-0.24%
Total Expense	3,958,901	(745)	3,958,156	-0.02%
Change in Net Position	81,503	8,550	90,053	10.49%

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Description	Financial Statement Line Item	Actual (A), Judgmental (J) or Projected (P)	Assets & Deferred Outflows		Liabilities & Deferred Inflows		Total Revenue			Total Expense			Net Position		Net Effect on Following Year		
			Current	Noncurrent	Current	Noncurrent	DR	CR	DR	CR	DR	CR	DR	CR	DR	CR	
			DR	(CR)	DR	(CR)	DR	(CR)	DR	(CR)	DR	(CR)	DR	(CR)	DR	(CR)	DR
Aggregation of GAAP Exceptions		F	1,261	(3,565)	(9,785)	0	9,295	(745)	3,539	(12,089)	12,089						
	Current Assets		1,261							(12,089)	12,089						
	Current Liabilities				(9,785)												
	Revenue						3,143										
	Operating Expenses							8,946									
	PY Turnaroud						6,152	(9,691)	3,539								
	Noncurrent assets			(3,565)													
Reclassify patient refunds		F	4,557	0	(4,557)	0	0	0	0	0	0	0	0	0	0	0	0
	Patient receivables		4,557														
	Accounts payable				(4,557)												
			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Total passed adjustments</b>			5,818	(3,565)	(14,342)	0	9,295	(745)	3,539	(12,089)	12,089						
										<b>Impact on Change in Net Position</b>		<b>8,550</b>					
										<b>Impact on Net Position</b>		<b>12,089</b>					

# FORVIS

## University of Missouri System Board of Curators

Rachel Dwiggins & Michael Flaxbeard | February 2023

February 9, 2023

# Our Goals for Today

1 2022 Audit Results

2 NCAA Agreed-Upon Procedures Results

3 2023 External Audit Scope

# Audit Approach

- Financial reporting
  - U.S. Generally Accepted Accounting Principles
- Auditing standards
  - Auditing standards generally accepted in the United States of America
  - *Government Auditing Standards*
- Compliance
  - *Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)*

# Audit Approach

## *Financial Statement Audit*

- Audit of financial statements of:
  - University of Missouri System
  - Capital Region Medical Center
- Objective
  - Express opinion on conformity of financial statements, in all material respects, with accounting principles generally accepted in the United States of America

# Areas of Audit Emphasis

- Communicated during planning

<b>Risk Area</b>	<b>Results</b>
Management override of controls	No matters are reportable.
Revenue Recognition	No matters are reportable.
Existence and valuation of investments	No matters are reportable.
Existence and valuation of pledges receivable	No matters are reportable.
Net position classifications	No matters are reportable.
Stimulus funding	Audit adjustment for revenue recognition timing of for HEERF III - \$3 million
Lease accounting	No matters are reportable.



# Significant Estimates

- Allowance for Uncollectible Accounts
- Valuation of Investment Securities
- Impairment or Disposal of Long-Lived Assets
- Defined Benefit Pension & Other Postemployment Benefit Plan Assumptions
- Third-party Reimbursement
- Accruals
  - Malpractice Claims
  - General Liability Claims
  - Health Claims
  - Workers' Compensation Claims
- Leased Assets and Lease Liabilities

# Audit Approach

## *Compliance Audit*

- Audit the compliance of certain major federal programs:
  - Student Financial Aid Cluster
  - Opioid Response Grant
  - Smith Lever Funding
  - Provider Relief Fund (PRF)
  - Covid-19 Education Stabilization Awards (HEERF)
- Objective
  - Express opinion on compliance for certain major federal programs based on requirements described in the OMB Compliance Supplement

# Required Communications

## ■ Communicated during planning

Area	Comments
Significant Accounting Policies	Described in Note 1 of the financial statements. GASB 87 was adopted during fiscal year 2022.
Alternative Accounting Treatments	No matters are reportable.
Financial Statement Disclosures	<ul style="list-style-type: none"><li>• Fair Value of Assets &amp; Liabilities</li><li>• Retirement, Disability &amp; Death Benefit Plan</li><li>• Other Postemployment Benefits</li><li>• Lease Assets &amp; Lease Obligations</li></ul>
Auditor's Judgement about the quality of the system's accounting policies	No matters are reportable.

# Required Communications - Continued

- Communicated during planning

Area	Comments
Audit Adjustments	<ul style="list-style-type: none"><li>• Proposed audit adjustments recorded:<ul style="list-style-type: none"><li>▪ HEERF III revenue recognition - \$3 million</li></ul></li><li>• Proposed audit adjustments not recorded:<ul style="list-style-type: none"><li>▪ <u>System</u>:<ul style="list-style-type: none"><li>• Reclassify patient refunds</li><li>• Aggregate of other immaterial items</li></ul></li><li>▪ <u>Pension Trust Funds</u> (Aggregate Remaining Fund opinion unit):<ul style="list-style-type: none"><li>• None</li></ul></li></ul></li></ul>

# Other Deliverables

- Issued
  - NCAA Agreed-Upon Procedures
- To be Issued
  - Financial Statements of Capital Region Medical Center
  - Report on Debt Compliance of Capital Region Medical Center
  - Single Audit report in accordance with Uniform Guidance

# Report Opinions

Independent  
Auditor's Report –  
Unmodified Opinions

Independent Auditor's Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of the Financial Statements Performed in Accordance with Government Auditing Standards

# NCAA Agreed-Upon Procedures Results

## Division I Institutions

- Required Annually

## Division II Institutions

- Required every three years

Performed for Columbia and Kansas City campuses in 2022

# 2023 External Audit Scope

- 1 Engagements
- 2 Audit Timeline
- 3 Audit Approach
- 4 Appendix: Personnel
- 5 Questions



# Engagements

- Audit of financial statements of:
  - University of Missouri System
  - Capital Region Medical Center
- Single Audit in accordance with OMB Uniform Guidance
- Minimum Agreed-Upon Procedures required by NCAA for
  - Columbia
  - Kansas City

# Audit Timeline

- Preliminary audit work
  - Pre-audit planning meeting – Spring 2023
  - Interim procedures, risk assessment & other planning – May 2023
  - Student financial aid testing (if required) – July 2023
- Final audit work
  - Fieldwork procedures – August/September/October 2023
  - Issuance of financial statement audits – October 2023
  - Additional federal program testing – October 2023 – January 2024
- NCAA procedures – November/December 2023

# Audit Approach – Applicable Framework

## Financial Reporting

- U.S. Generally Accepted Accounting Principles

## Auditing Standards

- Auditing standards generally accepted in the United States of America
- *Government Auditing Standards*

## Compliance

- *Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)*

# Audit Approach - Planning

- Risk assessment
  - Obtain an understanding of business & business environment
    - Interviews with management
    - Review of Board minutes & presentations
  - Evaluate where financial statements might be susceptible to material misstatement or fraud
  - Consider internal controls over financial reporting & whether they have been implemented
    - Perform walkthrough tests of controls
    - Review duties of employees for issues in control structure
  - Assess risk of material misstatement for significant financial statement amounts and disclosures

# Audit Approach – Preliminary Risk Assessment

- Financial Statement
  - Existence and valuation of investments
  - Revenue recognition
  - Existence and valuation of receivables & third-party payors
  - Presentation of net position
- Other
  - Compliance
  - Risk management
- Risk assessment procedures may identify others

# Audit Approach- New Standards

## **GASB No. 91, *Conduit Debt Obligations***

- Provides a single method of reporting conduit debt obligations by issuers.

## **GASB No. 94, *Public-Private and Public-Public Partnerships and Availability Payment Arrangements***

- Establishes definitions of these arrangements and provides uniform guidance on the related accounting and financial reporting.

## **GASB No. 96, *Subscription-Based Information Technology Arrangements***

- Subscription-based technology agreements will result in a right-to-use subscription asset and corresponding liability.

# FORVIS Team & Roles



**Rachel Dwiggins**

Lead Engagement Partner

816.489.4033

Rachel.dwiggins@forvis.com

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**Fred Helfrich**

Healthcare Engagement Partner

314.802.0127

Fred.helfrich@forvis.com

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**Mary McKinley**

Concurring Review Partner

502.963.0854

Mary.mckinley@forvis.com

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**Jean Nyberg**

Engagement Partner for CRMC

417.865.8701

Jean.nyberg@forvis.com

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**Michael Flaxbeard**

Engagement Director for the System

816.221.6300

Michael.flaxbeard@forvis.com

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**Allison Swaters**

Engagement Director for Single Audit

816.221.6300

Allison.swaters@forvis.com

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# Questions?

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**FORV/S**

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February 9, 2023



# Thank you!

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# FORVIS

Assurance / Tax / Advisory

February 9, 2023

Engagement of Independent Auditors and Related Fees  
UM

The Executive Vice President of Finance and Operations, Chief Financial Officer, and Treasurer recommends FORVIS, LLP be employed to provide audit services to the University of Missouri for fiscal year 2023 for fees of \$604,459 plus expenses not to exceed \$75,604. The total fees and expenses of \$680,063 represents an overall increase of 6.5%, which is as a result in an increase in the Consumer Price Index over the prior year. The contract for audit services was competitively bid 2020 with services covering audits for fiscal year 2021 through 2025.

Fiscal year 2023 fees cover the following audit services: combined financial statements of the University of Missouri System, compliance audit of the University of Missouri System in accordance with OMB Uniform Guidance; financial statements of Capital Region Medical Center; and minimum agreed-upon procedures required by the NCAA for the Intercollegiate Athletics Departments of the Columbia and Kansas City campuses.

Fees for required NCAA Athletic Department minimum agreed upon procedures did not change from the previous year due to the timing of the audit for Division I and Division II programs. The NCAA requires minimum agreed-upon procedures for a Division II university intercollegiate athletic program be performed every three years. These procedures were performed for the Missouri University of Science and Technology campus and the UM – St. Louis campus in fiscal year 2021 and will not be required until fiscal year 2024.

February 9, 2023

**University of Missouri System**

Audits of Fiscal year ended June 30, 2023

	Fees				Expenses				Total Fees & Expenses FY 2022	Total Fees & Expenses FY 2023
	6/30/2022 Fees	Inflation Adjustment	Known scope change	Total Fees FY 2023	6/30/2022 Expenses	Inflation Adjustment	Known scope change	Total Expenses FY 2023		
Combined financial statements of the University of Missouri System	\$ 237,620	\$ 15,445	\$ -	\$ 253,066	\$ 40,660	\$ 2,643	\$ -	\$ 43,303	\$ 278,280	\$ 296,368
Compliance audit of the University of Missouri System in accordance with OMB Uniform Guidance	\$ 130,607	\$ 8,489	\$ -	\$ 139,097	\$ 11,770	\$ 765	\$ -	\$ 12,535	\$ 142,377	\$ 151,632
Financial statements of the University Health System	\$ 84,263	\$ 5,477	\$ -	\$ 89,740	\$ 9,309	\$ 605	\$ -	\$ 9,914	\$ 93,572	\$ 99,654
Financial statements of the Capital Region Medical Center	\$ 84,263	\$ 5,477	\$ -	\$ 89,740	\$ 8,132	\$ 529	\$ -	\$ 8,661	\$ 92,395	\$ 98,400
Minimum agreed-upon procedures required by the NCAA for the Intercollegiate Athletics Departments of the Columbia and Kansas City campuses	\$ 30,814	\$ 2,003	\$ -	\$ 32,817	\$ 1,119	\$ 73	\$ -	\$ 1,192	\$ 31,933	\$ 34,009
<b>Total</b>	<b>\$ 567,567</b>	<b>\$ 36,892</b>	<b>\$ -</b>	<b>\$ 604,459</b>	<b>\$ 70,990</b>	<b>\$ 4,614</b>	<b>\$ -</b>	<b>\$ 75,604</b>	<b>\$ 638,557</b>	<b>\$ 680,063</b>

Additional audit hours incurred beyond the anticipated normal scope of auditing services will be discussed with UMS management on a timely basis and additional billings will be negotiated at an hourly rate of \$225.00. The following instances are considered a change in the normal scope of the audits: 1) greater than six major federal award programs under OMB Uniform Guidance Single Audit and the effects of requirements imposed on Federal dollars related to the stimulus funding 2) implementation of new Governmental Accounting Standards Board Statements, Accounting Standards Codifications (including the additional effects that ASC's may have at CRMC), or AICPA Auditing Standards, 3) scope of audit work changing dramatically, significant difficulties encountered beyond the expected scope of the audits, or inefficiencies caused by delays in PBC's not being completed according to originally agreed upon schedule. The above noted fees assume between 150 and 200 hours of direct audit assistance will be provided from a University Intern.

No. 1

Recommended Action – Engagement of Independent Auditors and Related Fees, UM

It was recommended by Executive Vice President Ryan Rapp, endorsed by President Choi, moved by Curator \_\_\_\_\_, seconded by Curator \_\_\_\_\_, that the following action be approved:

that the Executive Vice President for Finance and Operations, Chief Financial Officer, and Treasurer be authorized to employ the firm of FORVIS, LLP to provide audit services to the University of Missouri for fiscal year ending June 30, 2023 for fees of \$680,063.

Roll call vote of Committee:            YES            NO

Curator Brncic  
Curator Chatman  
Curator Hoberock  
Curator Holloway

The motion \_\_\_\_\_.

Roll call vote:                            YES            NO

Curator Brncic  
Curator Graves  
Curator Hoberock  
Curator Holloway  
Curator Layman  
Curator Wenneker  
Curator Williams

The motion \_\_\_\_\_.

February 9, 2023

No. 2

Recommended Action - Resolution for Executive Session of the Audit Committee, February 9, 2023

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that there shall be an executive session with a closed record and closed vote of the Board Audit, Compliance and Ethics Committee meeting February 9, 2023, for consideration of:

- **Section 610.021(1), RSMo**, relating to matters identified in that provision, which include legal actions, causes of action or litigation, and confidential or privileged communications with counsel; and
- **Section 610.021(3), RSMo**, relating to matters identified in that provision, which include hiring, firing, disciplining, or promoting of particular employees; and
- **Section 610.021(12), RSMo**, relating to matters identified in that provision, which include sealed bids and related documents and sealed proposals and related documents or documents related to a negotiated contract; and
- **Section 610.021(13), RSMo**, relating to matters identified in that provision, which include individually identifiable personnel records, performance ratings, or records pertaining to employees or applicants for employment; and
- **Section 610.021 (17), RSMo**, relating to matters identified in that provision, which include confidential or privileged communications between a public governmental body and its auditor.

Roll call vote of the Committee:                      YES                      NO

Curator Brncic

Curator Hoberock

Curator Holloway

The motion \_\_\_\_\_.

February 9, 2023

UNIVERSITY OF MISSOURI-COLUMBIA  
CAMPUS HIGHLIGHTS

Materials for this information item will be  
distributed prior to the meeting.



GOOD AND WELFARE  
OF THE BOARD

There are no materials for this information item.



No. 1

Recommended Action – Resolution for Executive Session of the Board of Curators Meeting February 9, 2023

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that there shall be an executive session with a closed record and closed vote of the Board of Curators meeting February 9, 2023 for consideration of:

- **Section 610.021(1), RSMo**, relating to matters identified in that provision, which include legal actions, causes of action or litigation, and confidential or privileged communications with counsel; and
- **Section 610.021(2), RSMo**, relating to matters identified in that provision, which include leasing, purchase, or sale of real estate; and
- **Section 610.021(3), RSMo**, relating to matters identified in that provision, which include hiring, firing, disciplining, or promoting of particular employees; and
- **Section 610.021(12), RSMo**, relating to matters identified in that provision, which include sealed bids and related documents and sealed proposals and related documents or documents related to a negotiated contract; and
- **Section 610.021 (13), RSMo**, relating to matters identified in that provision, which include individually identifiable personnel records, performance ratings, or records pertaining to employees or applicants for employment.

Roll call vote of the Board:	YES	NO
Curator Brncic		
Curator Graves		
Curator Hoberock		
Curator Holloway		
Curator Layman		
Curator Wenneker		
Curator Williams		

The motion \_\_\_\_\_.

February 9, 2023