



Vision

To advance the opportunities for success and well-being for Missouri, our nation and the world through transformative teaching, research, innovation, engagement and inclusion.

Mission

To achieve excellence in the discovery, dissemination, preservation and application of knowledge. With an unwavering commitment to academic freedom and freedom of expression, the university educates students to become leaders, promotes lifelong learning by Missouri's citizens, fosters meaningful research and creative works, and serves as a catalyst for innovation, thereby advancing the educational, health, cultural, social and economic interests to benefit the people of Missouri, the nation, and the world.

Missouri Compacts for Achieving Excellence

The Missouri Compacts for Achieving Excellence provide unifying principles that inform and guide the four universities and their strategic plans. Learn more about the compacts, below, at <http://umurl.us/prespri>.



Excellence in Student Success



Excellence in Research and Creative Works



Excellence in Engagement and Outreach



Inclusive Excellence



Excellence in Planning, Operations and Stewardship

Core Values

Our institution collectively embraces a series of core values that serve as the foundation upon which we build new knowledge and provide outstanding programs for students and citizens of our state and beyond.



- Academic freedom
- Access
- Accountability
- Civility
- Collaboration
- Creativity
- Discovery
- Engagement
- Excellence
- Freedom of expression
- Inclusion
- Innovation
- Integrity
- Respect
- Responsibility
- Transparency

Guiding Principles

1. Support courageous and proactive leadership that is articulate, unified and committed to excellence in carrying out our existing core missions of teaching, research, engagement and economic development and in meeting the changing needs of the world and the state.
2. Establish a collaborative environment in which UM System universities work together to achieve collective results that cannot be achieved individually and are committed to each other and our mutual success.
3. Exercise central authority that recognizes and respects institutional distinctiveness, appropriate deference and accountability.
4. Enact informed decisions based on collaboratively developed strategic directions and planning.
5. Identify and promote systemwide core values, including respect for all people, transparency, accountability, stewardship and purposeful self-assessment of performance.

UNIVERSITY OF MISSOURI



BOARD OF CURATORS MEETING AGENDA

Thursday, February 4, 2021 - REVISED

All public and executive session meetings to originate from remote locations via Zoom webinar and/or conference telephone unless otherwise noted.

A Board Committee meeting was held January 28, 2021 in conjunction with the February 4, 2021 Board meeting.

Please click the link below to join the webinar:

<https://umsystem.zoom.us/j/99197394966>

Or Telephone:

Dial US: +13017158592,,99197394966#

Webinar ID: 991 9739 4966

BOARD OF CURATORS MEETING – PUBLIC SESSION

8:30 A.M. Call to Order

General Business

Information

1. University of Missouri Board Chair's Report
2. University of Missouri President's Report
3. Student Representative to the Board of Curators Report

Action

1. Approval, Board Executive Committee and Standing Committees Appointments

Information

4. Review Consent Agenda

Consent Agenda

Action

1. Minutes, November 19, 2020 Board of Curators Meeting
2. Minutes, November 10 and 12, 2020 Board of Curators Committee Meetings held in conjunction with the November 19, 2020 Board of Curators Meeting
3. Minutes, December 6, 2020 Board of Curators Special Meeting and Executive Committee Meeting
4. Amendments to Collected Rules and Regulations:
 - a. 600.030, Resolution Process for Resolving Complaints of Sexual Harassment under Title IX – for matters involving conduct alleged to have occurred on or after August 14, 2020;
 - b. 600.040 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization – for matters involving conduct alleged to have occurred on or after August 14, 2020; and
 - c. 600.050 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Staff Member or the University of Missouri – for matters involving conduct alleged to have occurred on or after August 14, 2020
5. Amendment, Collected Rule and Regulation 340.130, Work-Incurred Injury or Illness
6. Amendment, Collected Rule and Regulation 520.010, Benefit Programs
7. Amendment, Collected Rule and Regulation 350.020, Labor Union Recognition
8. Amendment, Collected Rule and Regulation 350.030, Checkoff of Union Dues
9. Sole Source, Hydrogen Steelmaking Pilot Reactor, Missouri S&T

9:15 A.M. GOVERNANCE, COMPENSATION AND HUMAN RESOURCES COMMITTEE
(Curators Williams, Brncic, Layman and Steelman)

Governance, Compensation and Human Resources Committee Chair Williams provided time for discussion of committee business.

Action

1. Annual Approval, Board Standing Committee Charters

9:25 A.M. FINANCE COMMITTEE
(Curators Hoberock, Steelman, Wenneker and Williams)

Finance Committee Chair Hoberock provided time for discussion of committee business.

Information

1. Federal Budget Stabilization Fund Maintenance and Repair Plan – UM (Ryan Rapp)

Action

1. Amendment Collected Rule and Regulation 140.013, Investment Policy for Endowment Pool, UM (Ryan Rapp)
2. Fiscal Year 2022 Student Housing and Dining Rates, UM (Ryan Rapp)
3. Project Approval, Research Commons – Thermal Plant, MU (Ryan Rapp)
4. Project Approval, Student Experience Center, Missouri S&T (Ryan Rapp)
5. **AE Hiring, Indoor Practice Facility, MU (Ryan Rapp)**

10:00 A.M. ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE
(Curators Wenneker, Hoberock, Layman and Snowden)

Academic, Student Affairs and Research and Economic Development Committee Chair Wenneker provided time for discussion of committee business.

Action

1. New Degree Proposal, Bachelor of Arts in Applied Psychology of Child Advocacy Studies, UMSL (Steve Graham/Andrew Kersten)
2. New Degree Proposal, Bachelor of Arts in Public Administration and Policy, MU (Steve Graham/Lael Keiser)
3. New Degree Proposal, Master of Science in Water Science and Engineering, S&T (Steve Graham/Dick Brow)
4. New Degree Proposal, Bachelor of Science in Education, S&T (Steve Graham/Steve Roberts)

10:35 A.M. AUDIT, COMPLIANCE AND ETHICS COMMITTEE
(Curators Layman, Brncic, Graham and Snowden)

Audit, Compliance and Ethics Committee Chair Layman provided time for discussion of committee business.

Information

1. Audit Compliance and Ethics Quarterly Report, UM (Michelle Piranio)
2. University of Missouri System Reporting Hotlines Annual Report 2020, UM (written report only)
3. External Auditor's Report, UM (Rachel Dwiggins, BKD)

Action

1. Engagement of Independent Auditors and Related Fees, UM (Ryan Rapp)
2. Resolution for Executive Session of the Audit Committee

10:55 A.M. HEALTH AFFAIRS COMMITTEE CHAIR REPORT
(Curators Steelman, Graham, Wenneker, Williams and Mr. Ashworth and Mr. Phillips)

Health Affairs Committee Chair Steelman provided an overview of committee business.

Information

1. Executive Vice Chancellor Report
2. School of Medicine Report
3. MU Health Care Report
4. Chief Quality Officer Report
5. Quarterly Financial Report, MU Health (written report only)
6. Quarterly Compliance Report, MU Health (written report only)

Action

1. Minutes Approval, November 12, 2020 Health Affairs Committee Meeting

11:10 A.M. Break

11:20 A.M. RECONVENE PUBLIC SESSION

General Business

Information

5. University of Missouri – Columbia Campus Highlights – President Choi and Provost Ramchand
6. Strategic Theme Discussion – Advancing Research (Steve Graham, Provosts and Vice Chancellors for Research)
7. Good and Welfare of the Board

Action

2. Resolution for Executive Session of the Board of Curators Meeting, February 4, 2021

1:20 PM Press Conference with Board of Curators Chair and UM President
(time is approximate)
<https://umsystem.zoom.us/j/98760150674>

2:00 PM AUDIT, COMPLIANCE AND ETHICS COMMITTEE – EXECUTIVE SESSION
(time is approximate)
Via Zoom

The Audit, Compliance and Ethics Committee will hold an executive session of the meeting on February 4, 2021, pursuant to Section 610.021(1) and 610.021(17) RSMo for consideration of certain confidential and privileged communications with university counsel and confidential or privileged communications with university auditors, as authorized by law and upon approval by resolution of the Audit, Compliance and Ethics Committee.

2:15 PM BOARD OF CURATORS MEETING-EXECUTIVE SESSION
(time is approximate)
Via Zoom

The Board of Curators will hold an executive session of the February 4, 2021 meeting, pursuant to Sections 610.021(1), 610.021(2), 610.021(3), 610.021(12), 610.021(13) and 610.021(14) RSMo, for consideration of certain confidential or privileged communications with university counsel, personnel, property, litigation, contract items, and records protected by law, all as authorized by law and upon approval by resolution of the Board of Curators.

Upcoming meetings of the Board of Curators:

April 22, 2021	Missouri University of Science and Technology, Rolla
June 24-25, 2021	University of Missouri System, Columbia
September 1, 2021	Special Finance Committee Meeting - UMKC
September 2, 2021	University of Missouri - Kansas City
November 18, 2021	University of Missouri – St. Louis

GENERAL BUSINESS

UNIVERSITY OF MISSOURI
BOARD CHAIR REPORT

There are no materials for this information item.

UNIVERSITY OF MISSOURI SYSTEM
PRESIDENT'S REPORT

There are no materials for this information item.

STUDENT REPRESENTATIVE TO THE
BOARD OF CURATORS REPORT

There are no materials for this information item.

No. 1

Recommended Action - Approval of Board of Curators Executive Committee and Standing Committees Appointments, 2021

It was recommended by Chair Chatman, moved by Curator _____ and seconded by Curator _____, that the following Board of Curators Executive Committee and Standing Committees appointments be approved for 2021:

Executive Committee

Darryl M. Chatman, Chair
Greg E. Hoberock
David L. Steelman

Academic, Student Affairs, Research and Economic Development Committee

Robin R. Wenneker, Chair
Greg E. Hoberock
Jeff L. Layman
Phil H. Snowden

Audit, Compliance and Ethics Committee

Jeff L. Layman, Chair
Julia G. Brncic
Maurice B. Graham
Phil H. Snowden

Governance, Compensation and Human Resources Committee

Michael A. Williams, Chair
Julia G. Brncic
Jeff L. Layman
David L. Steelman

February 4, 2021

Finance Committee

Greg E. Hoberock, Chair
David L. Steelman
Robin R. Wenneker
Michael A. Williams

Health Affairs Committee

David L. Steelman, Chair
Maurice B. Graham
Robin R. Wenneker
Michael A. Williams
Ronald G. Ashworth (non-curator)
John R. Phillips (non-curator)

Roll call vote:

YES

NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

February 4, 2021

REVIEW CONSENT AGENDA

There are no materials for this information item.

CONSENT AGENDA

No. 1

Recommended Action - Minutes, November 19, 2020 Board of Curators Meeting
Minutes

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the November 19, 2020 Board of Curators meeting be approved as presented.

Roll call vote: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

February 4, 2021

OPEN – CONSENT – 1-1

Consent 2

Recommended Action - Minutes, November 10 and 12, 2020 Board of Curators
Committee Meetings

It was moved by Curator _____ and seconded by Curator
_____, that the minutes of the November 10 and 12, 2020 Board of Curators
committee meetings, held in conjunction with the November 19, 2020 Board of Curators
meeting, be approved as presented.

Roll call vote: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

February 4, 2021

No. 3

Recommended Action - Minutes, December 6, 2020 Board of Curators Special Meeting and Executive Committee Meeting

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the December 6, 2020 Board of Curators special meeting and Executive Committee meeting be approved as presented.

Roll call vote:	YES	NO
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Curator Brncic

Curator Chatman

Curator Graham

Curator Hoberock

Curator Layman

Curator Snowden

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

February 4, 2021

OPEN – CONSENT – 3-1

Proposed Amendments to Collected Rules and Regulations 600.030, 600.040, 600.050

Executive Summary

The University of Missouri's Collected Rules and Regulations related to Equity and Title IX became effective on August 14, 2020. Proposed are minor revisions to Equity and Title IX resolution processes. Suggested revisions include improvements and updates for clarity and consistency. Board materials include a clean and redlined copy of the proposed language adjustments. A summary of the revisions follows:

600.030 – Resolution Process for Resolving Complaints of Sexual Harassment under Title IX

- Added reply email as an additional manner by which the Parties may acknowledge receipt of the Notice of Allegations and allows the Parties three (3) days to respond instead of one day before the Notice must be sent by U.S. mail.
- Moved emergency removal, interim suspension of student organization, and administrative leave from paragraph listing supportive measures and created a separate section for each provision.
- Revised language to clarify when a challenge to an emergency removal must be made.
- Repeated the language regarding the consequence of a Party/witness' failure to submit to cross-examination in the hearing process rules section.

600.040 – Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization

- Clarified that an Equity Resolution Appellate Officer would review requests for reconsideration of summary determinations.
- Added reply email as an additional manner by which the Parties may acknowledge receipt of the Notice of Allegations and allows the Parties three (3) days to respond instead of one day before the Notice must be sent by U.S. mail.
- Moved emergency removal, interim suspension of student organization, and administrative leave from paragraph listing supportive measures and created a separate section for each provision.
- Revised language to clarify when a challenge to an emergency removal must be made.
- Clarified a Party's right to request reconsideration of (rather than appeal) a summary determination ending the process.
- Revised summary resolution language to clarify the process to request reconsideration, as set forth in the previous version of CRR 600.040, and added a requirement that the Equity Resolution Appellate Officer send notice of their decision to reverse summary determination to the Parties.
- In the appeal section, removed reference to summary determination.

600.050 – Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Staff Member or the University of Missouri

- Clarified that an Equity Resolution Appellate Officer would review requests for reconsideration of summary determinations.
- Added reply email as an additional manner by which the Parties may acknowledge receipt of the Notice of Allegations and allows the Parties three (3) days to respond instead of one day before the Notice must be sent by U.S. mail.
- Moved administrative leave from the paragraph listing supportive measures and created a separate section for this provision.
- Clarified a Party's right to request reconsideration of (rather than appeal) a summary determination ending the process.
- Revised summary resolution language to clarify the process to request reconsideration, as set forth in the previous version of CRR 600.050, and added a requirement that the Equity Resolution Appellate Officer send notice of their decision to reverse summary determination to the Parties.
- In the appeal section, removed reference to dismissal and summary determination.

No. 4

Recommended Action - Amendments to Collected Rules and Regulations

It was recommended by Vice President and Chief Human Resources Officer Marsha Fischer, endorsed by University of Missouri President Choi, recommended by the Governance, Compensation and Human Resources Committee, moved by Curator _____, and seconded by Curator _____, that the following action be approved:

- a. 600.030, Resolution Process for Resolving Complaints of Sexual Harassment under Title IX – for matters involving conduct alleged to have occurred on or after August 14, 2020;
- b. 600.040 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization – for matters involving conduct alleged to have occurred on or after August 14, 2020; and
- c. 600.050 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Staff Member or the University of Missouri – for matters involving conduct alleged to have occurred on or after August 14, 2020

Roll call vote of the Committee: YES NO

Curator Brncic
Curator Layman
Curator Steelman
Curator Williams

The motion _____.

Roll call vote of the Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

600.030 Resolution Process for Resolving Complaints of Sexual Harassment under Title IX - for matters involving conduct alleged to have occurred on or after August 14, 2020

Executive Order 41, 9-22-14; Amended 2-09-17 with effective date of 3-1-17; Revised 7-28-20 with effective date of 8-14-20.

- A. **General.** The University will promptly and appropriately respond to any report of violation of the University's Title IX policies.
- B. **Jurisdiction.** Jurisdiction of the University of Missouri under the Title IX policies shall be limited to sexual harassment which occurs in an education program or activity of the University of Missouri against a person in the United States. For purposes of this policy, "education program or activity" includes locations, events, or circumstances over which the University exercised substantial control over both the Respondent and the context in which the conduct occurs, and includes any building owned or controlled by a student organization that is officially recognized by the University. This policy does not apply to sexual harassment which occurs outside of the United States, even when the conduct occurs in an education program or activity of the University.

If a Complainant alleges or the investigation suggests that another University policy violation occurred in concert with an alleged violation of the University's Title IX policies, the University shall have the authority to investigate and take appropriate action regarding the alleged violations of other University policies pursuant to this process. In conducting such investigations, the Title IX Coordinator(s), and/or their Investigator may consult with and/or seek guidance from the Equity Officer, Student Conduct Coordinator, or other University officials as appropriate. If the allegations in a Formal Complaint that fall under this policy are dismissed, the University may discontinue the process under this policy and proceed under the applicable University procedure for all remaining allegations in the Formal Complaint.

- C. **Definitions:**
1. **Academic Medical Center.** University of Missouri Hospitals and Clinics, and other Academic Medical Centers as may be designated by the University in the future.
 2. **Academic Medical Center Resolution Process.** Resolution of a Formal Complaint by a decision-maker making a finding on each of the alleged policy violations and a finding on sanctions.
 3. **Administrative Resolution.** A voluntary informal resolution process where a decision-maker makes a finding on each of the alleged policy violations in a Formal Complaint and a finding on sanctions without a hearing.

4. **Advisors.** The individuals selected by the Complainant and the Respondent, or if a Party does not have their own Advisor, selected by the University, to conduct all cross-examination and other questioning on behalf of a Party at a hearing; an Advisor may, but is not required to, be an attorney.
5. **Alternate Methods of Notice:** Methods of providing Notice to a Party other than in person or by email to the Party's University email account; these include email to another email account specified by the Party, or a Party's designation of an address to which Notice may be mailed via U.S. Mail; a Party seeking to designate an Alternate Method of Notice must provide such designation in writing to the Title IX Coordinator.
6. **Complainant.** "Complainant" means an individual who is alleged to be the victim of conduct that could constitute sexual harassment.
7. **Emergency Removal Appeal Individual/Committee:** An individual or committee of three (3) individuals appointed by the Chancellor (or Designee) to hear appeals of an Emergency Removal decision by the Title IX Coordinator.
8. **Equity Resolution Appellate Officer.** For Staff, Student(s) or Student Organization Respondents, a trained, senior-level administrator appointed by the Chancellor (or Designee) to hear all appeals stemming from the Title IX Resolution Process. For Faculty Respondents, the Chancellor (or Designee).
9. **Equity Resolution Hearing Panel ("Hearing Panel").** A group of two (2) trained Equity Resolution Hearing Panelist Pool members who, together with the Hearing Officer, serve as the Hearing Panel for a specific Formal Complaint. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. The Hearing Officer shall serve as the Chair of the Hearing Panel.
10. **Equity Resolution Hearing Panelists Pool ("Hearing Panelist Pool").** A group of at least five (5) faculty and five (5) administrators and/or staff selected by the Chancellor (or Designee) to serve as hearing panel members in the Hearing Panel Resolution process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University.
11. **Formal Complaint.** Formal Complaint means a written document filed by a Complainant or signed by the Title IX Coordinator alleging sexual harassment against a Respondent and requesting that the University investigate the allegation of sexual harassment. The phrase "document filed by a Complainant" means a document or electronic submission (such as by electronic mail or an online portal provided for this purpose by the University) that contains the Complainant's physical or digital signature, or otherwise indicates that the Complainant is the person filing the Formal Complaint.
12. **Hearing Officer.** A trained individual appointed by the Chancellor (or Designee) to preside over a hearing and act as a member of the Hearing Panel, and to rule on objections and the relevancy of questions and evidence during the hearing.
13. **Hearing Panel Decision.** Resolution of a Formal Complaint by an Equity Resolution Hearing Panel recommending or making a finding on each of the alleged policy violations and sanctions, if applicable.
14. **Hearing Panelist Pool Chair ("Pool Chair").** The Hearing Panelist Pool Chair is selected by the Chancellor (or Designee). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing

Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint.

15. **Informal Resolution.** A voluntary resolution process using alternative dispute resolution mechanisms such as mediation, facilitated dialogue, administrative resolution, or restorative justice.
 16. **Investigators.** Investigators are trained individuals appointed by the Title IX Coordinator (or designee) to conduct investigations of the alleged violations of the University's Title IX Policies.
 17. **Parties.** The Complainant and the Respondent are collectively referred to as the Parties.
 18. **Record of the Case.** The Record of the Case in the Section 600.030 Process includes, when applicable: All Notices to the Parties; investigative report; recordings of Party and witness interviews; exhibits used at a hearing or at the Academic Medical Center (AMC) Meeting; recordings of meetings between the AMC decision-maker and Parties and witnesses, if any; the hearing record (an audio or audiovisual record of the hearing); any determination of dismissal of all or part of a Formal Complaint; the determination on each of the alleged policy violations and sanctions by either the Hearing Panel or decision-maker; and the decision on the appeal, if any, including the request for appeal, any additional evidence submitted for the appeal, and written arguments of the Parties.
 19. **Report.** Any verbal or written communication or notice of an alleged violation of the University's Title IX Policies.
 20. **Respondent.** Respondent means an individual who has been reported to be the perpetrator of conduct that could constitute sexual harassment.
 21. **Rules of Decorum.** Hearing process rules to which Parties and their Advisors must adhere during any Hearing under this policy.
 22. **Student.** A person having once been admitted to the University who has not completed a course of study and who intends to or does continue a course of study in or through one of the Universities of the University System. For the purpose of these rules, student status continues whether or not the University's academic programs are in session.
 23. **Student Organization.** A recognized student organization which has received Official Approval in accordance with Section 250.010 of the Collected Rules and Regulations. Three members of the organization may represent the student organization as the Party.
 24. **Support Person.** An individual selected by a Party to accompany the Party to all meetings and interviews to provide support for the Party throughout the Title IX Process. A Support Person may not attend a hearing under the Title IX process unless also serving as a Party's Advisor.
 25. **Title IX Coordinator.** The Title IX Coordinator is a trained administrator designated by the Chancellor (or Designee) to respond to reports of sexual harassment; and to receive and assist with the Title IX process for Formal Complaints alleging violation of the University's Sexual Harassment in Employment/Education Policy. All references to "Title IX Coordinator" throughout this policy refer to the Title IX Coordinator or the Title IX Coordinator's designee.
 26. **University's Title IX Policies.** The University's Title IX Policies include this Policy and the Sexual Harassment in Employment/Education Policy located at Section 600.020 of the Collected Rules and Regulations (CRR).
- D. **Making a Report.** Any person (whether or not the person reporting is the Complainant) may report sexual harassment to the Title IX Coordinator. Such Reports may be made in person, or at any time (including during non-business

hours) by mail, by telephone, or by electronic mail, using the contact information listed for the Title IX Coordinator, by an online portal set up by the University for this purpose, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. Individuals may also contact University police if the alleged offense may also constitute a crime. In order to foster reporting and participation, the University may provide amnesty to Parties and witnesses accused of minor student conduct violations ancillary to the incident.

- E. **Preliminary Contact.** Upon receiving a Report, the Title IX Coordinator shall promptly contact the Complainant to discuss the availability of Supportive Measures as defined herein, consider the Complainant's wishes with respect to Supportive Measures, inform the Complainant of the availability of Supportive Measures with or without the filing of a Formal Complaint, and explain to the Complainant the process for filing a Formal Complaint. If the identity of the Complainant is unknown, the Title IX Coordinator may conduct a limited investigation sufficient to identify the Complainant to the extent possible.
- F. **Filing of a Formal Complaint.** A Complainant may file a Formal Complaint with the Title IX Coordinator in person, by mail, or by electronic mail, by using the contact information set forth in CRR 600.020, or through an online portal provided for this purpose by the University. At the time of filing a Formal Complaint, the Complainant must be participating in or attempting to participate in an education program or activity of the University.

The Title IX Coordinator may sign a Formal Complaint when they believe that with or without the Complainant's desire to participate in this process, a non-deliberately indifferent response to the allegations requires an investigation. Where the Title IX Coordinator signs a Formal Complaint, the Title IX Coordinator is not a Complainant or otherwise a Party under this policy.

If the Respondent files a Formal Complaint against the Complainant within ten (10) business days of the date of the Notice of Allegations where the allegations of sexual harassment in both Formal Complaints arise out of the same facts or circumstances, the University will consolidate the Formal Complaints for purposes of investigation and resolution in accordance with this policy.

The University may consolidate Formal Complaints as to allegations of sexual harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one Party against the other Party where the allegations of sexual harassment arise out of the same facts or circumstances. If the Respondent files a Formal Complaint against the Complainant more than ten (10) business days after the date of the Notice of Allegations where the allegations of sexual harassment in both Formal Complaints arise out of the same facts or circumstances, the University may consolidate the Formal Complaints for purposes of investigation and resolution in accordance with this policy. Where this process involves more than one Complainant or more than one Respondent, each Complainant and each Respondent shall be entitled and subject to all of the rights and obligations set forth herein.

G. **Notice of Allegations:**

1. Upon receipt of a Formal Complaint, the Title IX Coordinator will provide a written notice to the known Parties that includes the following:
 - a. A description of the University's Title IX Process, including Informal Resolution;
 - b. Notice of the allegations of sexual harassment, including sufficient details known at the time. Sufficient details include the identities of the Parties involved in the incident, if known; the conduct allegedly

- constituting the sexual harassment; and the date and location of the alleged incident.
- c. A statement that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the Title IX process.
 - d. A statement reminding the Respondent that they have the right to file a report or Formal Complaint with the Title IX Coordinator; however, both Parties are advised that retaliation against any Party is prohibited.
 - e. A statement notifying the Parties of the availability of Supportive Measures.
 - f. A statement notifying the Parties of their right to have an Advisor of their choice, who may be, but is not required to be, an attorney. The Parties will be advised that if they do not have an Advisor to conduct cross-examination at a hearing on their behalf, the University will appoint such an Advisor; this Advisor may be, but is not required to be, an attorney. (This provision does not apply to matters proceeding under the process for Academic Medical Centers set forth in Section R).
 - g. A statement notifying the Parties that they may have a Support Person selected by a Party accompany the Party to all meetings and interviews to provide support for the Party throughout the Title IX Process. A Support Person may not attend a hearing under the Title IX process unless also serving as a Party's Advisor.
 - h. A statement notifying the Parties that they will be permitted to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint, including the evidence upon which the University does not intend to rely in reaching a determination regarding responsibility, and including inculpatory and exculpatory evidence whether obtained from a Party or other source.
 - i. A statement notifying the Parties that they must be truthful when making any statement or providing any information or evidence to the University throughout the Title IX process, and all documentary evidence must be genuine and accurate. False statements and fraudulent evidence by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or for disciplinary action pursuant to CRR 200.010 for students.
 - j. A statement that nothing in the Title IX process is intended to supersede nor expand any rights the individual may have under applicable state or federal statutory laws or the U.S. Constitution.
 - k. A statement informing a Party that all notices hereafter will be sent via their University-issued email account, unless they provide to the Title IX Coordinator an alternate method of notification. If a Party does not have a University-issued email account, all notices will be via U.S. Mail unless they provide the Title IX Coordinator with a preferred method of notification.
2. The Notice of Allegations will be made in writing to the Parties by email to the Party's University-issued email account, with a read-receipt or reply email requested. If a read-receipt or reply email -is not returned within ~~one~~three (~~1~~3) business days or the Party does not have a University-issued email account, the Notice of Allegations shall be sent via U.S. Mail postage pre-paid to the last known address of the Party. Notice also may be provided in person

to either Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual, or 3) when mailed.

H. Supportive Measures, Emergency Removal, Interim Suspension of Student Organization, and Administrative Leave

3.1. Supportive Measures. Supportive measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a Formal Complaint or where no Formal Complaint has been filed. These measures are designed to restore or preserve equal access to the University's education program or activity without unreasonably burdening the other Party, including measures designed to protect the safety of all Parties or the University's education environment, or deter sexual harassment. The University will maintain as confidential any Supportive Measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the Supportive Measures. The Title IX Coordinator is responsible for the effective implementation of Supportive Measures. Supportive Measures may include:

- a. Referral and facilitating contact for the Complainant or Respondent for counseling or other support services.
- b. Mutual restrictions on contact between the Parties.
- c. Providing campus escort services to the Parties.
- d. Increased security and monitoring of certain areas of the campus.
- e. Adjusting the extracurricular activities, work schedules, work assignments, supervisory responsibilities, or work arrangements of the Complainant and/or the Respondent, as appropriate.
- f. If either Party is a student:
 - (1) Referral of that Party to academic support services and any other services that may be beneficial to the Party.
 - (2) Adjusting the courses, assignments, and/or exam schedules of the Party.
 - (3) Altering the on-campus housing assignments, dining arrangements, or other campus services for the Party.
- g. Providing limited transportation accommodations for the Parties.
- h. Informing the Parties of the right to notify law enforcement authorities of the alleged incident and offering to help facilitate such a report.

4.2. Emergency Removal. ~~The Title IX Coordinator may i~~ ~~mplementing an~~ ~~Emergency R~~ ~~removal~~ of a Respondent from the University's education program or activity on an emergency basis, if the Title IX Coordinator, after conducting an individualized safety and risk analysis, determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of sexual harassment, justifies removal.

- a. In all cases in which an Emergency Removal is imposed, the Respondent will immediately be given notice and an opportunity to challenge the decision of the Title IX Coordinator either prior to such Removal being imposed, or as soon thereafter as reasonably possible but no later than five (5) business days following the Removal. Any challenge by Respondent shall be made in writing and directed to the Title IX Coordinator and must ~~to~~ ~~show~~ ~~cause~~ ~~why~~ ~~the~~ ~~removal~~ ~~Removal~~ should not be implemented. The Title IX Coordinator ~~Any such challenge shall be made in writing and directed to the Title IX~~

~~Coordinator who~~ will forward ~~such the~~ challenge to the Emergency Removal Appeal Individual/Committee, which will make a final decision on ~~R~~removal within three (3) business days.

~~b.~~ Violation of an Emergency Removal under this policy may be grounds for discipline under applicable University conduct policy.

~~b.~~

~~5.3.~~ **Interim Suspension of Student Organization.** The Title IX Coordinator may s~~S~~suspend~~ing~~, on an interim basis, a Respondent Student Organization's operations, University recognition, access to and use of the University campus/facilities/events and/or all other University activities or privileges for which the Respondent Student Organization might otherwise be eligible, pending the completion of the Title IX Process when the Title IX Coordinator finds and believes from available information that the presence of the student organization on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student organization will be initiated within seven (7) business days.

~~6.4.~~ **Administrative Leave.** The Title IX Coordinator may i~~implem~~ent~~ing~~ an administrative leave for an employee in accordance with University Human Resources Policies. Administrative leave for an employee is not an Emergency Removal under this policy.

~~H.I.~~ **Employees and Students Participating in the Title IX Process.** All University employees and students must be truthful when making any statement or providing any information or evidence to the University throughout the process, including but not limited to the Investigator, Title IX Coordinator, the Hearing Panel and/or the Equity Resolution Appellate Officer, and all documentary evidence must be genuine and accurate. False statements or fraudulent evidence provided in this process, including but not limited to the Investigator, Title IX Coordinator, Hearing Panel and/or the Equity Resolution Appellate Officer, by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or if by a student may be the basis for disciplinary action pursuant to the provisions of CRR 200.010. However, this obligation does not supersede nor expand any rights the individual may have under applicable state or federal statutory law or the U.S. Constitution. Nothing in this provision is intended to require a Party or witness to participate in the process. The fact that a determination has been made that a Respondent has or has not violated any policy is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness.

No employee or student, directly or through others, should take any action which may interfere with the investigation. Employees and students are prohibited from attempting to or actually intimidating or harassing any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.

~~H.J.~~ **Rights of the Parties in the Title IX Process**

1. To be treated with respect by University officials.
2. To be free from retaliation.
3. To have access to University support resources (such as counseling and mental health services and University health services).
4. To request a no contact directive between the Parties.
5. To have a Support Person of the Party's choice accompany the party to all interviews and meetings (excluding hearings) throughout the Title IX Process.

6. To refuse to have an allegation resolved through the Informal Resolution Processes.
7. To receive prior to a hearing or other time of determination regarding responsibility, an investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and written response.
8. To have an opportunity to present a list of potential witnesses and provide evidence to the Investigator.
9. To have Formal Complaints heard in substantial accordance with these procedures.
10. To receive written notice of any delay of this process or limited extension of time frames for good cause which may include considerations such as the absence of a Party, a Party's Advisor or a witness; concurrent law enforcement activity; or the need for language assistance or accommodation of disabilities.
11. To be informed of the finding, rationale, sanctions and remedial actions.
12. To report the matter to law enforcement (if applicable) and to have assistance in making that report.
13. To have an opportunity to appeal the dismissal of all or a portion of a Formal Complaint, and appeal the determination of a Hearing Panel or other decision-maker.
14. Additional Rights for Students as a Party:
 - a. To request reasonable housing, living and other accommodations and remedies consistent with Section 600.030.H.
 - b. To receive amnesty for minor student misconduct that is ancillary to the incident, at the discretion of the Title IX Coordinator.
15. Additional Rights for Hearing Panel Resolution:
 - a. To receive notice of a hearing.
 - b. To have the names of witnesses who may participate in the hearing and copies of all documentary evidence gathered in the course of the investigation and any investigative report prior to the hearing.
 - c. To be present at the hearing, which right may be waived by either written notification to the Hearing Officer or by failure to appear.
 - d. To have present an Advisor during the hearing and to consult with such Advisor during the hearing, and have the Advisor conduct cross-examination and other questioning on behalf of the Party at the hearing.
 - e. To have an Advisor of the University's selection appointed for a Party where the Party does not have an Advisor of their own choice at a hearing.
 - f. To testify at the hearing or refuse to testify at the hearing; however, if a Party or witness fails to submit to cross-examination at the hearing, the Hearing Panel shall not rely on any statement of that Party or witness in reaching a determination regarding responsibility. The Hearing Panel shall not draw any inference about the determination regarding responsibility based solely on a Party's or witness's failure to submit to cross-examination.
 - g. To have an equal opportunity to present and question witnesses, including fact and expert witnesses, and present relevant evidence.
 - h. To request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other.
16. Additional Rights for Academic Medical Center Process:

- a. To receive notice of the meeting with the decision-maker.
- b. To submit written, relevant questions that a Party wants asked of any Party or witness and to be provided with the answers to such questions.
- c. To be allowed additional, limited follow-up questions.

J.K. Role of Support Persons and Advisors.

1. **Support Persons.** Each Complainant and Respondent is allowed to have one Support Person of their choice present with them for all Title IX Process interviews and meetings. The Parties may select whomever they wish to serve as their Support Person, including an attorney or parent. The Support Person may also act as the Party's Advisor.

If requested by a student Party, the Title IX Coordinator may assign a Trained Support Person to explain the Title IX process and attend interviews and meetings with a Party. University Trained Support Person(s) are administrators, faculty, or staff at the University trained on the Title IX Process. A Trained Support Person cannot be called upon as a witness by a Party in a hearing to testify about matters learned while that individual was acting in their capacity as a Trained Support Person.

2. **Advisors.** Each Party may have an Advisor of their choice present at the hearing to conduct cross-examination and other questioning for that Party. A Party may not directly question any other Party or any witness; all cross-examination and other questioning on behalf of a Party must be conducted by their Advisor. The Advisor may be, but is not required to be, an attorney. If a Party does not have an Advisor of their choice present at the hearing, the University will provide, without fee or charge to that Party, an Advisor of the University's choice to conduct cross-examination and other questioning on behalf of that Party. The Parties may not require that the assigned Advisor have specific qualifications such as being an attorney.

At the hearing, a Party's Advisor may ask the other Party and any witnesses all relevant questions and follow-up questions, including that challenging credibility. An Advisor may conduct cross-examination and other questioning for a Party, and object to questions on limited grounds as specified in the Rules of Decorum. The Advisor may not make a presentation or otherwise represent the Complainant or the Respondent during the hearing. The Advisor may consult with the Party quietly or in writing, or outside the hearing during breaks, but may not speak on behalf of the Party, other than to conduct cross-examination or other questioning for the Party. Advisors who do not follow the Rules of Decorum will be warned or dismissed from the hearing at the discretion of the Hearing Officer.

K.L. Investigation. If a Formal Complaint is filed, then the Title IX Coordinator will promptly appoint a trained Investigator or a team of trained Investigators to investigate.

The burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rests on the University.

For purposes of the Investigation, the University cannot access, consider, disclose, or otherwise use a Party's records that are made or maintained by a physician, psychiatrist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the Party, unless the University obtains that Party's voluntary, written consent to do so for use in the Title IX process.

The Parties are not prohibited from discussing the allegations under investigation or from gathering and presenting relevant evidence. The Parties may present

witnesses, including fact and expert witnesses, and other inculpatory and exculpatory evidence; all such evidence must be relevant.

A Party whose participation is expected or invited at a hearing, interview or other meeting, shall receive written notice of the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings, with sufficient time for the Party to prepare to participate.

The Parties may be accompanied to any related meeting or interview by a Support Person of their choice, who may be, but is not required to be, an attorney; however, the Support Person may only participate in the proceedings as set forth in this policy. The Parties shall be permitted to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint, including the evidence upon which the University does not intend to rely in reaching any determination regarding responsibility, and inculpatory or exculpatory evidence whether obtained from a Party or other source and copies of recordings of all interviews conducted during the investigation, in sufficient time for the Parties to meaningfully respond to the evidence prior to the conclusion of the investigation. Prior to completion of the investigative report, the University will make available to each Party and the Party's Advisor, if any, the evidence subject to inspection and review in an electronic format or a hard copy, and the Parties will have ten (10) business days to submit a written response to the Investigator, which the Investigator will consider prior to completion of the investigative report.

The final investigative report will fairly summarize the relevant evidence, and prior to a hearing or other time of determination regarding responsibility, the investigator will send to each Party and the Party's Advisor, if any, the final investigative report in an electronic format or a hard copy, for their review and written response. If a written response is received from either Party, that response will be shared with the other Party and their Advisor, if any.

All investigations will be thorough, reliable and impartial. All interviews shall be recorded. In the event that recording is not possible due to technological issues, the investigator shall take thorough notes and such notes shall be provided to the Parties in lieu of recordings. The investigator shall document the reason the recording was not possible and such documentation shall become part of the Record of the Case. The investigation of reported sexual harassment should be completed expeditiously, normally within thirty (30) business days of the filing of the Formal Complaint. Investigation of a Formal Complaint may take longer based on the nature and circumstances of the Formal Complaint.

T.M. **Impact of Optional Report to Law Enforcement.** A delay may also occur when criminal charges on the basis of the same behaviors that invoke this process are being investigated, to allow for evidence collection by the law enforcement agency. However, University action will not typically be altered or precluded on the grounds that civil cases or criminal charges involving the same incident have been filed or that such charges have been dismissed or reduced. The Title IX Coordinator will not wait for the conclusion of a criminal investigation or criminal proceeding to begin the Title IX process. However, a Title IX investigation and resolution process may be temporarily delayed for good cause, which can include concurrent law enforcement activity. In such instances, written notice of the delay or extension with reasons for the action will be sent to each Party. If delayed, the Title IX Coordinator will promptly resume the Title IX investigation as soon as notified by the law enforcement agency that it has completed the evidence-gathering process. The Title IX Coordinator will implement appropriate supportive measures during the law enforcement agency's investigation period to provide for the safety of all Parties, the University community and the avoidance of retaliation or sexual harassment.

M.N. Dismissal of a Formal Complaint. During or upon the completion of the investigation, the Title IX Coordinator will review the Formal Complaint and the investigative report, if available, to determine if the Formal Complaint is subject to dismissal. A Formal Complaint shall be dismissed: (1) if the conduct alleged in the Formal Complaint would not constitute sexual harassment, as defined in CRR 600.020 even if proved; (2) the conduct alleged in the Formal Complaint did not occur in the University's education program or activity, or (3) the conduct alleged in the Formal Complaint did not occur against a person in the United States. A dismissal under this provision does not preclude action under other applicable University processes.

A Formal Complaint or any allegations therein, may be dismissed at any time during the investigation or hearing if (1) the Complainant notifies the Title IX Coordinator in writing that the Complainant would like to withdraw the Formal Complaint or any allegations therein; (2) the Respondent is no longer enrolled or employed by the University; or (3) specific circumstances prevent the University from gathering evidence sufficient to reach a determination as to the Formal Complaint or the allegations therein.

Upon a dismissal required or permitted under this provision, the University will promptly send written notice of the dismissal and reason(s) therefor simultaneously to the Parties. Either Party may appeal a dismissal as set forth in Section U herein. If the Title IX Coordinator determines there is a sufficient basis to proceed with the Formal Complaint, then the Title IX Coordinator will direct the process to continue. The Formal Complaint will then be resolved through Informal Resolution or Hearing Panel Resolution, or the Academic Medical Center (AMC) Process, if applicable.

N.O. Informal Resolution. Upon the filing of a Formal Complaint, the Parties may choose to engage in Informal Resolution. The decision of the Parties to engage in Informal Resolution must be voluntary, informed, and in writing. The Parties are not required to engage in Informal Resolution as a condition of enrollment or continuing enrollment, or employment or continuing employment, or enjoyment of any other right. The Parties are not required to waive their right to an investigation of a Formal Complaint or a right to a hearing process, or AMC Process, if applicable. At any time prior to agreeing to (or in Administrative Resolution, rendering of) a final resolution, any Party has the right to withdraw from the Informal Resolution process and the matter will be referred back for further investigation and/or hearing as may be applicable.

Informal Resolution is never available to resolve allegations that an employee sexually harassed a student.

In Informal Resolution, which includes mediation or facilitated dialogue, a neutral facilitator will foster a dialogue with the Parties to an effective resolution, if possible. The Complainant's and the Respondent's Support Persons may attend the Informal Resolution meeting. The Parties will abide by the terms of the agreed-upon resolution. Failure to abide by the terms of the agreed-upon resolution may be referred to the Title IX Coordinator for review and referral to the appropriate University Process for discipline or sanctions. The Title IX Coordinator will keep records of any Informal Resolution that is reached.

In the event the Parties are unable to reach a mutually agreeable resolution, the matter will be referred back for further investigation and/or hearing as may be applicable. The content of the Parties' discussions during the Informal Resolution Process will be kept confidential in the event the matter proceeds to the hearing process. The Parties' agreement to participate, refusal to participate in, or termination of participation in Informal Resolution shall not be factors in any subsequent decisions regarding whether a policy violation occurred.

Among the resolutions which may be reached at this stage, the Respondent may voluntarily request to permanently separate from the University of Missouri System. If the Title IX Coordinator accepts the Respondent's proposal, the Respondent must sign a Voluntary Permanent Separation and General Release agreement to effectuate their separation and terminate the Title IX Process.

- 9.P. **Procedural Details for Administrative Resolution.** The Parties may mutually choose to participate in a type of Informal Resolution called Administrative Resolution. The Administrative Resolution process is not available where a student has alleged that an employee sexually harassed the student. The Administrative Resolution process is not available to Academic Medical Centers (AMC). The Administrative Resolution process is a process whereby the decision-maker will meet separately with the Parties and their Support Person, if any, and consider the evidence provided by the investigator, including the investigative report, and evidence provided by the Parties, and will make a determination of responsibility that is binding on both Parties. The decision of the Parties to participate in Administrative Resolution must be voluntary, informed and in writing provided to the investigator, and must include a knowing written waiver of their right to a hearing under the Title IX process. However, either Party may choose to leave the process and opt for a hearing at any time before a final determination has been rendered. In addition, the following will apply to the Administrative Resolution process:
1. The standard of proof will be "preponderance of the evidence," defined as determining whether the evidence shows it is more likely than not that a policy violation occurred.
 2. The decision-maker has the discretion to determine the relevance of any witness or documentary evidence and may exclude information that is irrelevant, immaterial, cumulative, or more prejudicial than informative. In addition, the following rules shall apply to the introduction of evidence:
 - a. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
 - b. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the decision-maker.
 - c. Incidents or behaviors of the Respondent not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by the Respondent that shows a pattern may be considered only if deemed relevant by the decision-maker.
 - d. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
 - e. The decision-maker shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information

- protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
3. In the Administrative Resolution Process, the Respondent and the Complainant may provide a list of questions for the decision-maker to ask the other Party. If those questions are deemed appropriate and relevant, they may be asked on behalf of the requesting Party; answers to such questions will be shared with the requesting Party.
 4. At any time prior to a final determination being rendered, the Complainant and/or the Respondent may request that the Formal Complaint shift from the Administrative Resolution Process to the Hearing Panel Resolution Process. Upon receipt of such timely request from either Party, the Formal Complaint will shift to the Hearing Panel Resolution Process.
 5. The Administrative Resolution process will normally be completed within sixty (60) business days of the decision-maker's receipt of the Formal Complaint. Deviations from this timeframe will be promptly communicated to both Parties.
 6. For good cause, the decision-maker in the Administrative Resolution Process may, in their discretion, grant reasonable extensions to the time frames and limits provided.
 7. The Administration Resolution process consists of:
 - a. A prompt, thorough and impartial investigation;
 - b. A separate meeting with each Party and their Support Person, if any, and the decision-maker;
 - c. A written finding by the decision-maker on each of the alleged policy violations;
 - d. A written finding by the decision-maker on sanctions and remedial actions for findings of responsibility; and
 - e. The decision-maker shall be as follows:
 - (1) For Student or Student Organization Respondents and Staff Respondents, the decision-maker will be the Title IX Coordinator;
 - (2) For Faculty Respondents, the decision-maker will be as follows:
 - (a) The Title IX Coordinator will act as decision-maker and make recommendation(s) on findings of responsibility and sanctions and remedial actions, if applicable, to the Provost who will be the final decision-maker.
 - (b) The Title IX Coordinator has the option to request that a designee from the Provost's office act as decision-maker in Administrative Resolution and make recommendation(s) regarding findings of responsibility and sanctions and remedial actions, if applicable, to the Provost who will be the final decision-maker.
 8. At least fifteen (15) business days prior to meeting with the decision-maker or if no meeting is requested, at least fifteen (15) business days prior to the decision-maker rendering a finding(s), the Title IX Coordinator or Provost's designee, if applicable, will send a letter (Notice of Administrative Resolution) to the Parties with the following information:
 - a. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
 - b. The name of the decision-maker.
 - c. Reference to or attachment of the applicable procedures.

- d. A copy of the final investigative report.
 - e. The option and deadline of ten (10) business days from the date of the notice to request a meeting with the decision-maker.
 - f. An indication that the Parties may have the assistance of a Support Person of their choosing at the meeting, though the Support Person's attendance at the meeting is the responsibility of the respective Parties.
9. The sanctions of expulsion and termination are not available sanctions under the Administrative Resolution process in this Policy. Further, any suspension of a student under this Administrative Resolution process shall not exceed two (2) years. Any suspension of an employee under this Administrative Resolution process may be without pay, but may not exceed ten (10) business days.
 10. The decision-maker can, but is not required to, meet with and question the Investigator and any identified witnesses. The decision-maker may request that the Investigator conduct additional interviews and/or gather additional information. The decision-maker will meet separately with the Complainant and the Respondent, and their Support Person, if any, to review the alleged policy violations and the investigative report. The Respondent may choose to admit responsibility for all or part of the alleged policy violations at any point in the process. If the Respondent admits responsibility, in whole or in part, the decision-maker will render a finding that the individual is in violation of University policy for the admitted conduct. For any disputed violations, the decision-maker will render a finding using the preponderance of the evidence standard. The decision-maker will also determine appropriate sanctions or remedial actions.
 11. The decision-maker will inform the Respondent and the Complainant simultaneously of the finding on each of the alleged policy violations and the finding of sanctions, if applicable, in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
 12. Either Party may appeal a decision under Administrative Resolution in accordance with Section U of this policy.

P.O. **Hearing Panel Resolution.** This process is not available for Academic Medical Centers. See Section R.

1. **Equity Resolution Hearing Panelist Pool.** Each University will create and annually train a pool of not less than five (5) faculty and five (5) administrators and/or staff to serve as hearing panel members in the Hearing Panel Resolution Process. The faculty hearing panel pool members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Pool members are selected by the Chancellor (or Designee) and serve a renewable one-year term. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University. The Chancellor (or Designee) will select a Hearing Panelist Pool Chair ("Pool Chair"). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint.

Administrators, faculty, and staff will be removed from the Hearing Panelist Pool if they fail to satisfy the annual training requirements, as determined by the Title IX Coordinator. Under such circumstances, the Title IX Coordinator will notify the Chancellor (or Designee), who will inform the administrator, faculty, or staff member of the discontinuation of their term.

2. **Title IX Hearing Panel (“Hearing Panel”).** When a Formal Complaint is not resolved through an Informal Resolution process, the Hearing Panelist Pool Chair will randomly select two (2) members from the Hearing Panelist Pool to serve on the specific Hearing Panel together with the Hearing Officer. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. Up to two (2) alternates may be designated to sit in throughout the process as needed. The University reserves the right to have its attorney present during the hearing and during deliberations to advise the Hearing Panel.
3. **Notice of Hearing.**
 - a. At least twenty (20) business days prior to the hearing, the Title IX Coordinator will send a letter (Notice of Hearing) to the Parties with the following information:
 - (1) A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
 - (2) A description of the applicable procedures.
 - (3) A statement that the Parties may have the assistance of an Advisor of their choosing, at the hearing; that the Party’s Advisor will conduct all cross-examination and other questioning of the other Party and all witnesses on behalf of the Party they are advising; that if the Party does not have an Advisor, an Advisor will be provided by the University for the purpose of conducting cross-examination and other questioning for that Party; and the Advisor may be, but is not required to be, an attorney.
 - (4) The time, date and location of the hearing.
 - (5) A list of the names of each of the Hearing Panel members, including the Hearing Officer, and alternates, and information on how to raise an objection to any member of the Hearing Panel and the timeline in which to raise any objections.
 - (6) A copy of the final investigative report and exhibits.
 - (7) Notification to the Parties that all of the evidence gathered in the course of the investigation that is directly related to the allegations including inculpatory and exculpatory evidence, is available to the Parties and instructions regarding how to request access to that evidence.
 - (8) Notice that if a Party or witness does not submit to cross-examination at the hearing, the decision-maker(s) must not rely on any statement of that Party or witness in reaching a determination regarding responsibility, but no inference can be drawn from the fact that a Party or witness failed to submit to cross-examination.
 - (9) Notice that the Parties may request a virtual hearing and/or any necessary accommodations.
 - b. The Notice of Hearing letter will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively

deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.

4. Pre-Hearing Witness List and Documentary Evidence.

- a. At least fifteen (15) business days prior to the hearing, the Complainant and Respondent will provide to the Investigator a list of the names of the proposed witnesses and copies of all proposed documentary evidence that a Party intends to call or use at the hearing.
- b. At least ten (10) business days prior to the hearing, the Investigator will provide to each Party the names of proposed witnesses and proposed documentary evidence that the other Party intends to call or use at the hearing.
- c. No employee or student, directly or through others, should take any action which may interfere with the investigation or hearing procedures. Employees and students are prohibited from attempted or actual intimidation or harassment of any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.

5. Objection to or Recusal of Hearing Panel Member.

- a. Hearing Panel members, including the Hearing Officer, shall not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent. If a Hearing Panel member or Hearing Officer feels that they have a conflict of interest or bias, or cannot make an objective determination, they must recuse themselves from the proceedings in advance of the hearing.
- b. The Parties will have been given the names of the Hearing Panel members, including the Hearing Officer, in the Notice of Hearing. Should any Complainant or Respondent object to any panelist, they must raise all objections, in writing, to the Title IX Coordinator at least fifteen (15) business days prior to the hearing.
- c. Hearing Panel members will only be unseated and replaced if the Title IX Coordinator concludes that good cause exists for the removal of a panel member. Good cause may include, but is not limited to, bias that would preclude an impartial hearing or circumstances in which the Hearing Panel member's involvement could impact the Party's work or learning environment due to current or potential interactions with the Hearing Panel member (e.g., a panel member being in the same department as either Party). If the Title IX Coordinator determines that a Hearing Panel member, other than the Hearing Officer, should be unseated and replaced, then Title IX Coordinator will ask the Hearing Panel Pool Chair to randomly select another member from the pool to serve on the Hearing Panel. The Title IX Coordinator will select an alternate Hearing Officer if they determine that the Hearing Officer should be replaced. The Title IX Coordinator will provide a written response to all Parties addressing any objections to the Hearing Panel members, including the Hearing Officer.

- 6. Alternative Attendance or Questioning Mechanisms.** All hearings will be live. However, at the request of either Party or by the University's designation, the live hearing may occur with the Parties located in separate rooms with technology enabling the Hearing Panel, including the Hearing Officer, and their legal advisor, if any, the Parties and their Advisors, and the

Investigator, to simultaneously see and hear the Party or the witness answering questions. Should any hearing take place in this manner, the Title IX Coordinator (or Designee) shall be in charge of the technology during the hearing. The University will make reasonable accommodations for the Parties in keeping with the principles of equity and fairness.

7. **Requests to Reschedule the Hearing Date.** For good cause, the Title IX Coordinator may grant requests to reschedule the hearing date.
8. **Pre-Hearing Matters.**
 - a. At least ten (10) business days prior to the hearing date, a Party shall inform the Title IX Coordinator whether the Party intends to bring an Advisor of their choice to the hearing.
 - b. At least ten (10) business days prior to the hearing date, a Party shall inform the Title IX Coordinator whether the Party is requesting accommodations for the hearing.
 - c. At least five (5) business days prior to the hearing date, the final investigative report and all exhibits will be provided to the Hearing Panel members.
9. **Pre-Hearing Meeting.** Unless otherwise agreed by the Parties and the Hearing Officer, a pre-hearing meeting may be scheduled one hour prior to the start of the hearing between the Hearing Officer and Parties' Advisors. Parties may, but are not required to, be in attendance at this meeting.
10. **Conduct of Hearing.** The Hearing Officer shall participate on the Hearing Panel and preside at the hearing, call the hearing to order, call the roll of the Hearing Panel and alternates in attendance, ascertain the presence or absence of the Investigator, the Complainant and the Respondent, confirm receipt of the Notice of Allegations and Notice of Hearing by the Parties, report any extensions requested or granted and establish the presence of any Advisors.
 - a. **Order of Evidence.** The order of evidence shall generally be the following:
 - (1) The Complainant will proceed first and may give a verbal statement of their allegations of sexual harassment against the Respondent. The Hearing Panel may next ask questions of the Complainant. The Complainant will then be subject to cross-examination by the Advisor of the Respondent. The Complainant may also call witnesses who will be subject to questioning by the Advisor of the Complainant, questioning by the Hearing Panel, and cross-examination by the Advisor of the Respondent. The Complainant may also submit documentary evidence.
 - (2) The Respondent will proceed next and may give a verbal statement in response to the allegations of sexual harassment made by the Complainant. The Hearing Panel may next ask questions of the Respondent. The Respondent will be subject to cross-examination by the Advisor of the Complainant. The Respondent may also call witnesses who will be subject to questioning by the Advisor of the Respondent, questioning by the Hearing Panel, and cross-examination by the Advisor of the Complainant. The Respondent may also submit documentary evidence.
 - (3) The Investigator will then be available to answer questions of the Hearing Panel. The Investigator will next be subject to cross-examination by the Advisors of the Complainant and the Respondent. The Investigator may also call witnesses who will be

subject to questioning by the Hearing Panel, and cross-examination by the Advisors of the Complainant and Respondent. The Investigator may also submit documentary evidence.

(4) The Hearing Panel may ask questions of the Parties or any witnesses including the Investigator at any time during the hearing.

- b. **Record of Hearing.** The Title IX Coordinator shall arrange for an audio or audiovisual recording of the hearing. The recording of the hearing will become part of the Record of the Case.

11. Hearing Process Rules.

- a. The formal rules of evidence shall not apply to any live hearing.
- b. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
- c. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the Hearing Officer.
- d. Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the Hearing Officer.
- e. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
- f. The Hearing Officer shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
- g. The relevancy and admissibility of any evidence offered at the hearing shall be determined by the Hearing Officer, whose ruling shall be final.
- h. A Party's Advisor will be permitted to ask the other Party and any witnesses relevant questions and follow-up questions, including those challenging credibility. Before a Complainant, Respondent or witness answers a cross-examination or other question, the Hearing Officer must first determine whether the question is relevant and explain any decision to exclude a question as not relevant. Where the Hearing Officer permits a question to be answered, a presumption shall be made that the Hearing Officer determined that the question was relevant.
- i. If a Party or witness does not submit to cross-examination at a hearing, the Hearing Panel must not rely on any statement of that Party or witness in reaching a determination regarding responsibility, but no

inference can be drawn from the fact that a Party or witness failed to submit to cross-examination.

- ~~i-j.~~ The Party's Advisors may object to questions on limited grounds as specified in the Rules of Decorum. The Hearing Officer will rule on such objections and that ruling shall be final.
- ~~j-k.~~ The Hearing Officer may dismiss any person from the hearing who interferes with or obstructs the hearing, fails to adhere to the Rules of Decorum, or fails to abide by the rulings of the Hearing Officer.
- ~~k-l.~~ Procedural questions which arise during the hearing and which are not covered by these general rules shall be determined by the Hearing Officer, whose ruling shall be final.

12. Findings of the Hearing Panel.

- a. The Hearing Panel will deliberate with no others present, except any legal advisor to the Hearing Panel, to find whether the Respondent is responsible or not responsible for the policy violation(s) in question. The Hearing Panel will base its finding on a preponderance of the evidence (i.e., whether it is more likely than not that the Respondent committed each alleged violation). If a Respondent is found responsible by a majority of the Hearing Panel, the Hearing Panel will determine appropriate sanctions and remedial actions by a majority vote.
- b. The Hearing Officer will prepare a written determination reflecting the decision of the Hearing Panel regarding responsibility, sanctions and remedial actions, if any ("Hearing Panel Decision"), and deliver it to the Title IX Coordinator detailing the following:
 - (1) Identification of the allegations potentially constituting sexual harassment as defined in CRR 600.020;
 - (2) A description of the procedural steps taken from the receipt of the Formal Complaint through the determination, including any notifications to the Parties, interviews with Parties and witnesses, site visits, methods used to gather other evidence and hearings held;
 - (3) Findings of fact supporting the determination;
 - (4) Conclusions regarding the application of the University's Title IX Policies to the facts;
 - (5) A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions to be imposed on the Respondent, and whether remedies designed to restore or preserve equal access to the University's education programs or activities will be provided by the University to the Complainant; and
 - (6) The procedures and permissible bases for the Complainant and the Respondent to appeal.
- c. The Hearing Panel Decision should be submitted to the Title IX Coordinator within five (5) business days of the end of deliberations. Deviations from the five-day period will be communicated by the Hearing Officer to the Parties and the Title IX Coordinator, along with an expected time for completion. The Hearing Panel Decision will be provided to the Title IX Coordinator who will provide it to the Parties simultaneously within five (5) business days of receipt of the decision.
- d. The Hearing Panel Decision will be sent to each Party by email to their University-issued email account, or by the method of notification

previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.

- e. The Hearing Panel Decision will become final either on the date that the Parties are provided with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.
- f. The Title IX Coordinator is responsible for effective implementation of any remedies.

Q.R. **Process for Academic Medical Centers (AMC)**

1. Academic Medical Centers at the University of Missouri are not required to provide for a live hearing, but rather must adhere to the following process for resolving Formal Complaints alleging Title IX violations.
2. The decision-maker(s) for the Title IX Process for Academic Medical Centers shall be a neutral, impartial, and unbiased decision-maker designated by the Executive Vice Chancellor for Health Affairs.
3. **Notice of AMC Meeting.** The decision-maker will meet separately with each Party. At least fifteen (15) business days prior to the initial meeting with the decision-maker, the Title IX Coordinator will send a letter (Notice of AMC Meeting) to the Parties with the following information:
 - a. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
 - b. A description of the applicable procedures.
 - c. A statement that the Parties may be accompanied by a Support Person of their choosing at the AMC Meeting.
 - d. The time, date and location of the AMC Meeting.
 - e. The name of the decision-maker, and information on how to raise an objection to the decision-maker and the timeline in which to raise any objections.
 - f. A copy of the investigative report and exhibits.
 - g. Notification to the Parties that all of the evidence gathered in the course of the investigation that is directly related to the allegations, including inculpatory and exculpatory evidence, is available to the Parties and how to request access to that evidence.
4. The Notice of AMC Meeting letter will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
5. At least fifteen (15) business days prior to the initial AMC Meeting, the Investigator will provide to the Parties access to all evidence gathered in the investigation which is directly related to the allegations in the Formal Complaint, including any evidence upon which the Investigator does not intend to rely, and inculpatory and exculpatory evidence whether obtained from a Party or other source, copies of recordings of all interviews conducted during the investigation, and a copy of any investigative report.
6. At least ten (10) business days prior to the initial AMC Meeting, the Complainant and Respondent may provide the decision-maker with written, relevant questions the Party wants asked of any Party or witness. At least five

- (5) business days prior to the initial AMC Meeting, the decision-maker will provide each Party with the answers, and allow for additional, limited follow-up questions from each Party. The decision-maker must explain to the Party proposing the questions any decision to exclude a question as not relevant. The Parties may also provide the decision-maker with documentary evidence.
7. No employee or student, directly or through others, should take any action which may interfere with the investigation or the AMC process. Employees and students are prohibited from attempted or actual intimidation or harassment of any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.
 8. The decision-maker shall not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent. If a decision-maker feels that they have a conflict of interest or bias, or cannot make an objective determination, they must recuse themselves from the proceedings in advance of the AMC meeting.
 9. At least ten (10) business days prior to the initial AMC Meeting, the Parties shall provide to the Title IX Coordinator all objections in writing to the decision-maker identified in the Notice of AMC Meeting. If the Title IX Coordinator determines that the decision-maker should be replaced, the Title IX Coordinator will select an alternate decision-maker. The Title IX Coordinator will provide a written response to all Parties addressing the objections.
 10. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
 11. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the Hearing Officer.
 12. Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the Hearing Officer.
 13. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
 14. The decision-maker shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
 15. All meetings between the decision-maker and Parties and/or witnesses shall be recorded.
 16. Within ten (10) business days of the last meeting with any Party or witness, the decision-maker must issue a written determination regarding responsibility, applying the preponderance of the evidence standard of

evidence. The written determination must include:

- a. Identification of the allegations potentially constituting sexual harassment as defined in CRR 600.020.
 - b. A description of the procedural steps taken from the receipt of the Formal Complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence and meetings held;
 - c. Findings of fact supporting the determination;
 - d. Conclusions regarding the application of the Title IX policies to the facts;
 - e. A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions to be imposed on the Respondent, and whether any remedies designed to restore or preserve equal access to the University's education program or activity will be provided by the University to the Complainant; and
 - f. The University's procedures and permissible bases for the Complainant and Respondent to appeal as set forth in Section U.
17. The written determination will be provided to the Title IX Coordinator, who will provide it to the Parties simultaneously within five (5) business days of receipt of the determination. Notification will be made in writing and sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
18. The determination becomes final either on the date that the University provides the Parties with the written determination of the result of the appeal, if any appeal is filed, or if any appeal is not filed, the date on which an appeal would no longer be considered timely.
19. The Title IX Coordinator is responsible for effective implementation of any remedies.

R-S. Sanctions and Remedial Actions.

1. If the Respondent is found responsible for a violation of the University's Title IX Policies, the Hearing Panel, or the decision-maker in the Administrative Resolution Process or Academic Medical Center Process, will determine sanctions and remedial actions. The Title IX Coordinator will apply and enforce the sanctions and remedial actions and may also add other remedial actions as deemed appropriate.
 - a. Factors Considered When Finding Sanctions/Remedial Actions include but are not limited to:
 - (1) The nature, severity of, and circumstances surrounding the violation;
 - (2) The disciplinary history of the Respondent;
 - (3) The need for sanctions/remedial actions to bring an end to the conduct;
 - (4) The need for sanctions/remedial actions to prevent the future recurrence of the conduct; and
 - (5) The need to remedy the effects of the conduct on the Complainant and the University community.

2. **Types of Sanctions.** The following sanctions may be imposed upon any Respondent found to have violated the University's Title IX Policies. Multiple sanctions may be imposed for any single violation. Sanctions include but are not limited to the following:

a. **For Respondents who are Student(s) or Student Organization(s):**

(1) **Warning.** A notice in writing to the Respondent that there is or has been a violation of institutional regulations, and cautioning that if there are further violations, the existence of the Warning may result in more severe sanctions in the future.

(2) **Probation.** A written reprimand for violation of specified regulations. Probation is for a designated period of time and includes the probability of more severe sanctions if the Respondent is found to be violating any institutional regulation(s) during the probationary period.

(3) **Loss of Privileges.** Denial of specified privileges for a designated period of time.

(4) **Restitution.** Compensating the University for loss, damage, or injury to University property. This may take the form of appropriate service and/or monetary or material replacement.

(5) **Discretionary Sanctions.** Work assignments, service to the University, or other related discretionary assignments, or completion of educational programming.

(6) **Residence Hall Suspension.** Separation of the Respondent from the residence halls for a definite period of time, after which the Respondent is eligible to return. Conditions for readmission may be specified.

(7) **Residence Hall Expulsion.** Permanent separation of the Respondent from the residence halls.

(8) **Campus Suspension.** Respondent is suspended from being allowed on a specific University campus for a definite period of time. Logistical modifications consistent with the sanction imposed, may be granted at the discretion of the Chief Student Affairs Officer (or Designee).

(9) **University System Suspension.** Separation of the Respondent from the University System for a definite period of time, after which the Respondent is eligible to return. Conditions for readmission may be specified.

(10) **Withdrawal of Recognition.** Respondent Student Organization loses its Official Approval as a recognized student organization. May be either temporary or permanent.

(11) **University System Expulsion.** Permanent and complete separation (i.e., not eligible for online courses either) of the Respondent from the University System.

b. **For Respondents who are Employee(s):**

- (1) Warning – verbal or written;
- (2) Performance improvement plan;
- (3) Required counseling;
- (4) Required training or education;
- (5) Loss of annual pay increase;
- (6) Loss of supervisory responsibility;

(7) Recommendation of discipline in a training program, including recommendation of termination, suspension or other corrective or remedial actions;

(8) For Non-Regular Faculty, immediate termination of term contract and employment;

(9) For Regular, Untenured Faculty, immediate termination of term contract and employment. Notice of not reappointing would not be required;

(10) Suspension without pay;

(11) Non-renewal of appointment;

(12) For Regular, Tenured Faculty, suspension without pay, removal from campus and referral to the Chancellor to initiate dismissal for cause as detailed in Section 310.060 of the Collected Rules and Regulations;

(13) For Staff, Demotion;

(14) For Staff, Termination.

- c. **Remedial Actions.** The following remedial actions may also be imposed to address the effects of the violation(s) of the University's Title IX Policies on the Complainant. Such remedial actions will vary depending on the circumstances of the policy violation(s), but may include:

(1) Where the Complainant is a student:

- (a) Permitting the student to retake courses;
- (b) Providing tuition reimbursement;
- (c) Providing additional academic support;
- (d) Removal of a disciplinary action; and
- (e) Providing educational and/or on-campus housing accommodations.

(2) Where the Complainant is an employee:

- (a) Removal of a disciplinary action;
- (b) Modification of a performance review;
- (c) Adjustment in pay;
- (d) Changes to the employee's reporting relationships; and
- (e) Workplace accommodations.

In addition, the University may offer or require training and/or monitoring as appropriate to address the effects of the violation(s) of the University's Title IX Policies.

- d. **When Implemented.** Sanctions will be imposed once the written determination regarding responsibility becomes final; the determination regarding responsibility is final either on the date that the Parties are provided with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.

S-I. **Withdrawal While Charges Pending.** Should a Respondent decide to resign employment, or withdraw from the University and not participate in the investigation and/or hearing without signing a Voluntary Permanent Separation and General Release Agreement and without the approval of the Title IX Coordinator, the Formal Complaint may be dismissed, or the Title IX Coordinator may determine that the

process will nonetheless proceed in the Respondent's absence to a reasonable resolution and, if the Respondent is found responsible, the Respondent will not be permitted to return to the University unless all sanctions have been satisfied.

F.U. **Appeal.**

1. **Grounds for Appeal.** Both Complainant and Respondent are allowed to appeal the dismissal of a Formal Complaint or any of the allegations therein, or the findings of the Administrative Resolution Process, the Hearing Panel Resolution Process, or the Academic Medical Center process. Appeals are limited to the following:
 - a. A procedural irregularity that affected the outcome of the matter (e.g., material deviation from established procedures, etc.);
 - b. To consider new evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter;
 - c. The Title IX Coordinator, Investigator(s), or decision-maker(s) had a conflict of interest or bias for or against Complainants or Respondents generally or the individual Complainant or Respondent that affected the outcome of the matter; or
 - d. The sanctions fall outside the range typically imposed for this offense, or for the cumulative conduct record of the Respondent.
2. **Requests for Appeal.** Both the Complainant and the Respondent may appeal a dismissal of a Formal Complaint or any allegations therein, or a determination regarding responsibility to the Equity Resolution Appellate Officer. The Equity Resolution Appellate Officer must not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent; if the Equity Resolution Appellate Officer does not believe that they can make an objective decision about an appeal, they should recuse themselves and the Chancellor (or Designee) shall appoint an alternate Equity Resolution Appellate Officer to hear the pending appeal. All requests for appeal must be submitted in writing to the Equity Resolution Appellate Officer within five (5) business days of the delivery of the notice of dismissal or Administrative Resolution Decision, Hearing Panel Decision, or AMC Determination. When any Party requests an appeal, the other Party will be notified and receive a copy of the request for appeal.
3. **Response to Request for Appeal.** Within five (5) business days of the delivery of the notice and copy of the request for appeal, the non-appealing Party may file a response to the request for appeal. The response can address that sufficient grounds for appeal have not been met and/or the merits of the appeal.
4. **Review of the Request to Appeal.** The Equity Resolution Appellate Officer will make an initial review of the appeal request(s) to determine whether:
 - a. The request is timely, and
 - b. The appeal is on the basis of any of the articulated grounds listed above, and
 - c. When viewed in the light most favorable to the appealing Party, the appeal states grounds that could result in an adjusted finding or sanction.

The Equity Resolution Appellate Officer will reject the request for appeal if any of the above requirements are not met. The decision to reject the request for appeal is final and further appeals and grievances are not permitted. The

Equity Resolution Appellate Officer will render a written decision whether the request for appeal is accepted or rejected within fifteen (15) business days from receipt of the request for appeal. If no written decision is provided to the Parties within fifteen (15) business days from receipt of the request, the appeal will be deemed accepted.

5. **Review of the Appeal.** If all three (3) requirements for appeal listed in paragraph 4 above are met, the Equity Resolution Appellate Officer will accept the request for appeal and proceed with rendering a decision on the appeal applying the following additional principles:
 - a. Appeals are not intended to be full re-hearings of the Formal Complaint and are therefore deferential to the original findings. In most cases, appeals are confined to a review of the written documentation and Record of the Case, and relevant documentation regarding the grounds for appeal. Appeals granted based on new evidence should normally be remanded to the original decision-maker for reconsideration.
 - b. The Equity Resolution Appellate Officer will render a written decision on the appeal to all Parties within ten (10) business days from accepting the request for appeal. In the event the Equity Resolution Appellate Officer is unable to render a written decision within ten (10) business days from accepting the request for appeal, the Equity Resolution Appellate Officer will promptly notify the Parties in writing of the delay.
 - c. Once an appeal is decided, the outcome is final. Further appeals are not permitted.
6. **Extensions of Time.** For good cause, the Equity Resolution Appellate Officer may grant reasonable extensions of time (e.g.: 7-10 business days) to the deadlines in the appeal process. The Equity Resolution Appellate Officer will notify the Parties in writing if such extensions are granted.

U.V. **Failure to Complete Sanctions/Comply with Interim and Long-term Remedial Actions.** All Respondents are expected to comply with all sanctions and remedial actions within the timeframe specified. Failure to follow through on these sanctions and remedial actions by the date specified, whether by refusal, neglect or any other reason, may result in additional sanctions and remedial actions and/or suspension, expulsion, termination, referral to Dismissal for Cause process, or withdrawal of recognition from the University. Suspension will only be lifted when compliance is achieved to the satisfaction of the Title IX Coordinator.

V.W. **Dismissal for Cause Referral.** If the recommended sanction for a Regular, Tenured Faculty member is referral to the Chancellor to initiate Dismissal for Cause, the Record of the Case will be forwarded to the appropriate Faculty Committee on Tenure. Because the Dismissal for Cause proceeding is not a re-hearing of the Complaint, the Record of the Case will be included as evidence and the findings will be adopted for proceeding as detailed in Section 310.060: Procedures in Case of Dismissal for Cause in the Collected Rules and Regulations.

W.X. **Records.** In implementing this policy, records of all Formal Complaints, the Hearing Process or Academic Medical Center Process, and resolutions (including Informal resolution and result therefrom), will be kept by the Title IX Coordinator. For the purpose of review or appeal, the Record of the Case will be accessible at reasonable times and places to the Respondent and the Complainant. The Record of the Case will be kept for seven (7) years following final resolution. In addition, a record of the response to all complaints of sexual harassment, must be maintained for a period of seven (7) years, including records of any actions, including Supportive Measures, taken in response to a report or Formal Complaint of sexual harassment. In each instance, the University must document the basis for its

conclusion that its response was not deliberately indifferent, and document that it has taken measures designed to restore or preserve equal access to the University's education programs or activities. If the University did not provide a Complainant with Supportive Measures, the University must document the reasons why such a response was not clearly unreasonable in light of the known circumstances.

Each Title IX Coordinator, including the Title IX Coordinator for the academic medical center, shall maintain statistical, de-identified data on the race, gender and age of each Party to a Formal Complaint for that university/ academic medical center, and will report such data on an annual basis to the President of the University of Missouri. Additionally, statistical data relating to each university in the University of Missouri System shall be reported on an annual basis to that university's Chancellor and chief officers for human resources, student affairs, and diversity, equity and inclusion; the academic medical center shall report such statistical data for the academic medical center on an annual basis to the Executive Vice-Chancellor for Health Affairs. Data relating to the University of Missouri System shall be reported on an annual basis to the University of Missouri System's chief officers for human resources, student affairs, and diversity, equity and inclusion.

***.Y. Retaliation.** No person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by Title IX, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this policy. Intimidation, threats, coercion, or discrimination, including charges against an individual for policy violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or Formal Complaint of sexual harassment, for the purpose of interfering with any right or privilege secured by Title IX, constitutes retaliation.

The University must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a Formal Complaint of sexual harassment, any Complainant, any individual who has been reported to be the perpetrator of sex discrimination, any Respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of Title IX, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder. Complaints alleging retaliation may be filed with the Equity Officer in accordance with CRRs 600.010, 600.040, and 600.050. The exercise of rights protected under the First Amendment does not constitute retaliation prohibited under this section.

Charging an individual with a policy violation for making a materially false statement in bad faith in the course of the any proceedings under this policy does not constitute retaliation provided, however that a determination regarding responsibility, alone, is not sufficient to conclude that any Party made a materially false statement in bad faith.

600.030 Resolution Process for Resolving Complaints of Sexual Harassment under Title IX - for matters involving conduct alleged to have occurred on or after August 14, 2020

Executive Order 41, 9-22-14; Amended 2-09-17 with effective date of 3-1-17; Revised 7-28-20 with effective date of 8-14-20.

- A. **General.** The University will promptly and appropriately respond to any report of violation of the University's Title IX policies.
- B. **Jurisdiction.** Jurisdiction of the University of Missouri under the Title IX policies shall be limited to sexual harassment which occurs in an education program or activity of the University of Missouri against a person in the United States. For purposes of this policy, "education program or activity" includes locations, events, or circumstances over which the University exercised substantial control over both the Respondent and the context in which the conduct occurs, and includes any building owned or controlled by a student organization that is officially recognized by the University. This policy does not apply to sexual harassment which occurs outside of the United States, even when the conduct occurs in an education program or activity of the University.

If a Complainant alleges or the investigation suggests that another University policy violation occurred in concert with an alleged violation of the University's Title IX policies, the University shall have the authority to investigate and take appropriate action regarding the alleged violations of other University policies pursuant to this process. In conducting such investigations, the Title IX Coordinator(s), and/or their Investigator may consult with and/or seek guidance from the Equity Officer, Student Conduct Coordinator, or other University officials as appropriate. If the allegations in a Formal Complaint that fall under this policy are dismissed, the University may discontinue the process under this policy and proceed under the applicable University procedure for all remaining allegations in the Formal Complaint.

- C. **Definitions:**
 - 1. **Academic Medical Center.** University of Missouri Hospitals and Clinics, and other Academic Medical Centers as may be designated by the University in the future.
 - 2. **Academic Medical Center Resolution Process.** Resolution of a Formal Complaint by a decision-maker making a finding on each of the alleged policy violations and a finding on sanctions.
 - 3. **Administrative Resolution.** A voluntary informal resolution process where a decision-maker makes a finding on each of the alleged policy violations in a Formal Complaint and a finding on sanctions without a hearing.

4. **Advisors.** The individuals selected by the Complainant and the Respondent, or if a Party does not have their own Advisor, selected by the University, to conduct all cross-examination and other questioning on behalf of a Party at a hearing; an Advisor may, but is not required to, be an attorney.
5. **Alternate Methods of Notice:** Methods of providing Notice to a Party other than in person or by email to the Party's University email account; these include email to another email account specified by the Party, or a Party's designation of an address to which Notice may be mailed via U.S. Mail; a Party seeking to designate an Alternate Method of Notice must provide such designation in writing to the Title IX Coordinator.
6. **Complainant.** "Complainant" means an individual who is alleged to be the victim of conduct that could constitute sexual harassment.
7. **Emergency Removal Appeal Individual/Committee:** An individual or committee of three (3) individuals appointed by the Chancellor (or Designee) to hear appeals of an Emergency Removal decision by the Title IX Coordinator.
8. **Equity Resolution Appellate Officer.** For Staff, Student(s) or Student Organization Respondents, a trained, senior-level administrator appointed by the Chancellor (or Designee) to hear all appeals stemming from the Title IX Resolution Process. For Faculty Respondents, the Chancellor (or Designee).
9. **Equity Resolution Hearing Panel ("Hearing Panel").** A group of two (2) trained Equity Resolution Hearing Panelist Pool members who, together with the Hearing Officer, serve as the Hearing Panel for a specific Formal Complaint. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. The Hearing Officer shall serve as the Chair of the Hearing Panel.
10. **Equity Resolution Hearing Panelists Pool ("Hearing Panelist Pool").** A group of at least five (5) faculty and five (5) administrators and/or staff selected by the Chancellor (or Designee) to serve as hearing panel members in the Hearing Panel Resolution process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University.
11. **Formal Complaint.** Formal Complaint means a written document filed by a Complainant or signed by the Title IX Coordinator alleging sexual harassment against a Respondent and requesting that the University investigate the allegation of sexual harassment. The phrase "document filed by a Complainant" means a document or electronic submission (such as by electronic mail or an online portal provided for this purpose by the University) that contains the Complainant's physical or digital signature, or otherwise indicates that the Complainant is the person filing the Formal Complaint.
12. **Hearing Officer.** A trained individual appointed by the Chancellor (or Designee) to preside over a hearing and act as a member of the Hearing Panel, and to rule on objections and the relevancy of questions and evidence during the hearing.
13. **Hearing Panel Decision.** Resolution of a Formal Complaint by an Equity Resolution Hearing Panel recommending or making a finding on each of the alleged policy violations and sanctions, if applicable.
14. **Hearing Panelist Pool Chair ("Pool Chair").** The Hearing Panelist Pool Chair is selected by the Chancellor (or Designee). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing

Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint.

15. **Informal Resolution.** A voluntary resolution process using alternative dispute resolution mechanisms such as mediation, facilitated dialogue, administrative resolution, or restorative justice.
 16. **Investigators.** Investigators are trained individuals appointed by the Title IX Coordinator (or designee) to conduct investigations of the alleged violations of the University's Title IX Policies.
 17. **Parties.** The Complainant and the Respondent are collectively referred to as the Parties.
 18. **Record of the Case.** The Record of the Case in the Section 600.030 Process includes, when applicable: All Notices to the Parties; investigative report; recordings of Party and witness interviews; exhibits used at a hearing or at the Academic Medical Center (AMC) Meeting; recordings of meetings between the AMC decision-maker and Parties and witnesses, if any; the hearing record (an audio or audiovisual record of the hearing); any determination of dismissal of all or part of a Formal Complaint; the determination on each of the alleged policy violations and sanctions by either the Hearing Panel or decision-maker; and the decision on the appeal, if any, including the request for appeal, any additional evidence submitted for the appeal, and written arguments of the Parties.
 19. **Report.** Any verbal or written communication or notice of an alleged violation of the University's Title IX Policies.
 20. **Respondent.** Respondent means an individual who has been reported to be the perpetrator of conduct that could constitute sexual harassment.
 21. **Rules of Decorum.** Hearing process rules to which Parties and their Advisors must adhere during any Hearing under this policy.
 22. **Student.** A person having once been admitted to the University who has not completed a course of study and who intends to or does continue a course of study in or through one of the Universities of the University System. For the purpose of these rules, student status continues whether or not the University's academic programs are in session.
 23. **Student Organization.** A recognized student organization which has received Official Approval in accordance with Section 250.010 of the Collected Rules and Regulations. Three members of the organization may represent the student organization as the Party.
 24. **Support Person.** An individual selected by a Party to accompany the Party to all meetings and interviews to provide support for the Party throughout the Title IX Process. A Support Person may not attend a hearing under the Title IX process unless also serving as a Party's Advisor.
 25. **Title IX Coordinator.** The Title IX Coordinator is a trained administrator designated by the Chancellor (or Designee) to respond to reports of sexual harassment; and to receive and assist with the Title IX process for Formal Complaints alleging violation of the University's Sexual Harassment in Employment/Education Policy. All references to "Title IX Coordinator" throughout this policy refer to the Title IX Coordinator or the Title IX Coordinator's designee.
 26. **University's Title IX Policies.** The University's Title IX Policies include this Policy and the Sexual Harassment in Employment/Education Policy located at Section 600.020 of the Collected Rules and Regulations (CRR).
- D. **Making a Report.** Any person (whether or not the person reporting is the Complainant) may report sexual harassment to the Title IX Coordinator. Such Reports may be made in person, or at any time (including during non-business

hours) by mail, by telephone, or by electronic mail, using the contact information listed for the Title IX Coordinator, by an online portal set up by the University for this purpose, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. Individuals may also contact University police if the alleged offense may also constitute a crime. In order to foster reporting and participation, the University may provide amnesty to Parties and witnesses accused of minor student conduct violations ancillary to the incident.

- E. **Preliminary Contact.** Upon receiving a Report, the Title IX Coordinator shall promptly contact the Complainant to discuss the availability of Supportive Measures as defined herein, consider the Complainant's wishes with respect to Supportive Measures, inform the Complainant of the availability of Supportive Measures with or without the filing of a Formal Complaint, and explain to the Complainant the process for filing a Formal Complaint. If the identity of the Complainant is unknown, the Title IX Coordinator may conduct a limited investigation sufficient to identify the Complainant to the extent possible.
- F. **Filing of a Formal Complaint.** A Complainant may file a Formal Complaint with the Title IX Coordinator in person, by mail, or by electronic mail, by using the contact information set forth in CRR 600.020, or through an online portal provided for this purpose by the University. At the time of filing a Formal Complaint, the Complainant must be participating in or attempting to participate in an education program or activity of the University.

The Title IX Coordinator may sign a Formal Complaint when they believe that with or without the Complainant's desire to participate in this process, a non-deliberately indifferent response to the allegations requires an investigation. Where the Title IX Coordinator signs a Formal Complaint, the Title IX Coordinator is not a Complainant or otherwise a Party under this policy.

If the Respondent files a Formal Complaint against the Complainant within ten (10) business days of the date of the Notice of Allegations where the allegations of sexual harassment in both Formal Complaints arise out of the same facts or circumstances, the University will consolidate the Formal Complaints for purposes of investigation and resolution in accordance with this policy.

The University may consolidate Formal Complaints as to allegations of sexual harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one Party against the other Party where the allegations of sexual harassment arise out of the same facts or circumstances. If the Respondent files a Formal Complaint against the Complainant more than ten (10) business days after the date of the Notice of Allegations where the allegations of sexual harassment in both Formal Complaints arise out of the same facts or circumstances, the University may consolidate the Formal Complaints for purposes of investigation and resolution in accordance with this policy. Where this process involves more than one Complainant or more than one Respondent, each Complainant and each Respondent shall be entitled and subject to all of the rights and obligations set forth herein.

G. **Notice of Allegations:**

1. Upon receipt of a Formal Complaint, the Title IX Coordinator will provide a written notice to the known Parties that includes the following:
 - a. A description of the University's Title IX Process, including Informal Resolution;
 - b. Notice of the allegations of sexual harassment, including sufficient details known at the time. Sufficient details include the identities of the Parties involved in the incident, if known; the conduct allegedly

- constituting the sexual harassment; and the date and location of the alleged incident.
- c. A statement that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the Title IX process.
 - d. A statement reminding the Respondent that they have the right to file a report or Formal Complaint with the Title IX Coordinator; however, both Parties are advised that retaliation against any Party is prohibited.
 - e. A statement notifying the Parties of the availability of Supportive Measures.
 - f. A statement notifying the Parties of their right to have an Advisor of their choice, who may be, but is not required to be, an attorney. The Parties will be advised that if they do not have an Advisor to conduct cross-examination at a hearing on their behalf, the University will appoint such an Advisor; this Advisor may be, but is not required to be, an attorney. (This provision does not apply to matters proceeding under the process for Academic Medical Centers set forth in Section R).
 - g. A statement notifying the Parties that they may have a Support Person selected by a Party accompany the Party to all meetings and interviews to provide support for the Party throughout the Title IX Process. A Support Person may not attend a hearing under the Title IX process unless also serving as a Party's Advisor.
 - h. A statement notifying the Parties that they will be permitted to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint, including the evidence upon which the University does not intend to rely in reaching a determination regarding responsibility, and including inculpatory and exculpatory evidence whether obtained from a Party or other source.
 - i. A statement notifying the Parties that they must be truthful when making any statement or providing any information or evidence to the University throughout the Title IX process, and all documentary evidence must be genuine and accurate. False statements and fraudulent evidence by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or for disciplinary action pursuant to CRR 200.010 for students.
 - j. A statement that nothing in the Title IX process is intended to supersede nor expand any rights the individual may have under applicable state or federal statutory laws or the U.S. Constitution.
 - k. A statement informing a Party that all notices hereafter will be sent via their University-issued email account, unless they provide to the Title IX Coordinator an alternate method of notification. If a Party does not have a University-issued email account, all notices will be via U.S. Mail unless they provide the Title IX Coordinator with a preferred method of notification.
2. The Notice of Allegations will be made in writing to the Parties by email to the Party's University-issued email account, with a read-receipt or reply email requested. If a read-receipt or reply email is not returned within three (3) business days or the Party does not have a University-issued email account, the Notice of Allegations shall be sent via U.S. Mail postage pre-paid to the last known address of the Party. Notice also may be provided in person to either

Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual, or 3) when mailed.

H. Supportive Measures, Emergency Removal, Interim Suspension of Student Organization, and Administrative Leave

1. **Supportive Measures.** Supportive measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a Formal Complaint or where no Formal Complaint has been filed. These measures are designed to restore or preserve equal access to the University's education program or activity without unreasonably burdening the other Party, including measures designed to protect the safety of all Parties or the University's education environment, or deter sexual harassment. The University will maintain as confidential any Supportive Measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the Supportive Measures. The Title IX Coordinator is responsible for the effective implementation of Supportive Measures. Supportive Measures may include:
 - a. Referral and facilitating contact for the Complainant or Respondent for counseling or other support services.
 - b. Mutual restrictions on contact between the Parties.
 - c. Providing campus escort services to the Parties.
 - d. Increased security and monitoring of certain areas of the campus.
 - e. Adjusting the extracurricular activities, work schedules, work assignments, supervisory responsibilities, or work arrangements of the Complainant and/or the Respondent, as appropriate.
 - f. If either Party is a student:
 - (1) Referral of that Party to academic support services and any other services that may be beneficial to the Party.
 - (2) Adjusting the courses, assignments, and/or exam schedules of the Party.
 - (3) Altering the on-campus housing assignments, dining arrangements, or other campus services for the Party.
 - g. Providing limited transportation accommodations for the Parties.
 - h. Informing the Parties of the right to notify law enforcement authorities of the alleged incident and offering to help facilitate such a report.
2. **Emergency Removal.** The Title IX Coordinator may implement a removal of a Respondent from the University's education program or activity on an emergency basis, if the Title IX Coordinator, after conducting an individualized safety and risk analysis, determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of sexual harassment, justifies removal.
 - a. In all cases in which an Emergency Removal is imposed, the Respondent will immediately be given notice and an opportunity to challenge the decision of the Title IX Coordinator either prior to such Removal being imposed, or as soon thereafter as reasonably possible but no later than five (5) business days following the Removal. Any challenge by Respondent shall be made in writing and directed to the Title IX Coordinator and must show cause why the Removal should not be implemented. The Title IX Coordinator will forward the challenge to

the Emergency Removal Appeal Individual/Committee, which will make a final decision on Removal within three (3) business days.

- b. Violation of an Emergency Removal under this policy may be grounds for discipline under applicable University conduct policy.
3. **Interim Suspension of Student Organization.** The Title IX Coordinator may suspend, on an interim basis, a Respondent Student Organization's operations, University recognition, access to and use of the University campus/facilities/events and/or all other University activities or privileges for which the Respondent Student Organization might otherwise be eligible, pending the completion of the Title IX Process when the Title IX Coordinator finds and believes from available information that the presence of the student organization on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student organization will be initiated within seven (7) business days.
4. **Administrative Leave.** The Title IX Coordinator may implement an administrative leave for an employee in accordance with University Human Resources Policies. Administrative leave for an employee is not an Emergency Removal under this policy.
- I. **Employees and Students Participating in the Title IX Process.** All University employees and students must be truthful when making any statement or providing any information or evidence to the University throughout the process, including but not limited to the Investigator, Title IX Coordinator, the Hearing Panel and/or the Equity Resolution Appellate Officer, and all documentary evidence must be genuine and accurate. False statements or fraudulent evidence provided in this process, including but not limited to the Investigator, Title IX Coordinator, Hearing Panel and/or the Equity Resolution Appellate Officer, by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or if by a student may be the basis for disciplinary action pursuant to the provisions of CRR 200.010. However, this obligation does not supersede nor expand any rights the individual may have under applicable state or federal statutory law or the U.S. Constitution. Nothing in this provision is intended to require a Party or witness to participate in the process. The fact that a determination has been made that a Respondent has or has not violated any policy is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness.

No employee or student, directly or through others, should take any action which may interfere with the investigation. Employees and students are prohibited from attempting to or actually intimidating or harassing any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.

J. **Rights of the Parties in the Title IX Process**

1. To be treated with respect by University officials.
2. To be free from retaliation.
3. To have access to University support resources (such as counseling and mental health services and University health services).
4. To request a no contact directive between the Parties.
5. To have a Support Person of the Party's choice accompany the party to all interviews and meetings (excluding hearings) throughout the Title IX Process.
6. To refuse to have an allegation resolved through the Informal Resolution Processes.

7. To receive prior to a hearing or other time of determination regarding responsibility, an investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and written response.
8. To have an opportunity to present a list of potential witnesses and provide evidence to the Investigator.
9. To have Formal Complaints heard in substantial accordance with these procedures.
10. To receive written notice of any delay of this process or limited extension of time frames for good cause which may include considerations such as the absence of a Party, a Party's Advisor or a witness; concurrent law enforcement activity; or the need for language assistance or accommodation of disabilities.
11. To be informed of the finding, rationale, sanctions and remedial actions.
12. To report the matter to law enforcement (if applicable) and to have assistance in making that report.
13. To have an opportunity to appeal the dismissal of all or a portion of a Formal Complaint, and appeal the determination of a Hearing Panel or other decision-maker.
14. Additional Rights for Students as a Party:
 - a. To request reasonable housing, living and other accommodations and remedies consistent with Section 600.030.H.
 - b. To receive amnesty for minor student misconduct that is ancillary to the incident, at the discretion of the Title IX Coordinator.
15. Additional Rights for Hearing Panel Resolution:
 - a. To receive notice of a hearing.
 - b. To have the names of witnesses who may participate in the hearing and copies of all documentary evidence gathered in the course of the investigation and any investigative report prior to the hearing.
 - c. To be present at the hearing, which right may be waived by either written notification to the Hearing Officer or by failure to appear.
 - d. To have present an Advisor during the hearing and to consult with such Advisor during the hearing, and have the Advisor conduct cross-examination and other questioning on behalf of the Party at the hearing.
 - e. To have an Advisor of the University's selection appointed for a Party where the Party does not have an Advisor of their own choice at a hearing.
 - f. To testify at the hearing or refuse to testify at the hearing; however, if a Party or witness fails to submit to cross-examination at the hearing, the Hearing Panel shall not rely on any statement of that Party or witness in reaching a determination regarding responsibility. The Hearing Panel shall not draw any inference about the determination regarding responsibility based solely on a Party's or witness's failure to submit to cross-examination.
 - g. To have an equal opportunity to present and question witnesses, including fact and expert witnesses, and present relevant evidence.
 - h. To request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other.
16. Additional Rights for Academic Medical Center Process:
 - a. To receive notice of the meeting with the decision-maker.

- b. To submit written, relevant questions that a Party wants asked of any Party or witness and to be provided with the answers to such questions.
- c. To be allowed additional, limited follow-up questions.

K. Role of Support Persons and Advisors.

1. **Support Persons.** Each Complainant and Respondent is allowed to have one Support Person of their choice present with them for all Title IX Process interviews and meetings. The Parties may select whomever they wish to serve as their Support Person, including an attorney or parent. The Support Person may also act as the Party's Advisor.

If requested by a student Party, the Title IX Coordinator may assign a Trained Support Person to explain the Title IX process and attend interviews and meetings with a Party. University Trained Support Person(s) are administrators, faculty, or staff at the University trained on the Title IX Process. A Trained Support Person cannot be called upon as a witness by a Party in a hearing to testify about matters learned while that individual was acting in their capacity as a Trained Support Person.

2. **Advisors.** Each Party may have an Advisor of their choice present at the hearing to conduct cross-examination and other questioning for that Party. A Party may not directly question any other Party or any witness; all cross-examination and other questioning on behalf of a Party must be conducted by their Advisor. The Advisor may be, but is not required to be, an attorney. If a Party does not have an Advisor of their choice present at the hearing, the University will provide, without fee or charge to that Party, an Advisor of the University's choice to conduct cross-examination and other questioning on behalf of that Party. The Parties may not require that the assigned Advisor have specific qualifications such as being an attorney.

At the hearing, a Party's Advisor may ask the other Party and any witnesses all relevant questions and follow-up questions, including that challenging credibility. An Advisor may conduct cross-examination and other questioning for a Party, and object to questions on limited grounds as specified in the Rules of Decorum. The Advisor may not make a presentation or otherwise represent the Complainant or the Respondent during the hearing. The Advisor may consult with the Party quietly or in writing, or outside the hearing during breaks, but may not speak on behalf of the Party, other than to conduct cross-examination or other questioning for the Party. Advisors who do not follow the Rules of Decorum will be warned or dismissed from the hearing at the discretion of the Hearing Officer.

- L. **Investigation.** If a Formal Complaint is filed, then the Title IX Coordinator will promptly appoint a trained Investigator or a team of trained Investigators to investigate.

The burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rests on the University.

For purposes of the Investigation, the University cannot access, consider, disclose, or otherwise use a Party's records that are made or maintained by a physician, psychiatrist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the Party, unless the University obtains that Party's voluntary, written consent to do so for use in the Title IX process.

The Parties are not prohibited from discussing the allegations under investigation or from gathering and presenting relevant evidence. The Parties may present

witnesses, including fact and expert witnesses, and other inculpatory and exculpatory evidence; all such evidence must be relevant.

A Party whose participation is expected or invited at a hearing, interview or other meeting, shall receive written notice of the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings, with sufficient time for the Party to prepare to participate.

The Parties may be accompanied to any related meeting or interview by a Support Person of their choice, who may be, but is not required to be, an attorney; however, the Support Person may only participate in the proceedings as set forth in this policy. The Parties shall be permitted to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint, including the evidence upon which the University does not intend to rely in reaching any determination regarding responsibility, and inculpatory or exculpatory evidence whether obtained from a Party or other source and copies of recordings of all interviews conducted during the investigation, in sufficient time for the Parties to meaningfully respond to the evidence prior to the conclusion of the investigation. Prior to completion of the investigative report, the University will make available to each Party and the Party's Advisor, if any, the evidence subject to inspection and review in an electronic format or a hard copy, and the Parties will have ten (10) business days to submit a written response to the Investigator, which the Investigator will consider prior to completion of the investigative report.

The final investigative report will fairly summarize the relevant evidence, and prior to a hearing or other time of determination regarding responsibility, the investigator will send to each Party and the Party's Advisor, if any, the final investigative report in an electronic format or a hard copy, for their review and written response. If a written response is received from either Party, that response will be shared with the other Party and their Advisor, if any.

All investigations will be thorough, reliable and impartial. All interviews shall be recorded. In the event that recording is not possible due to technological issues, the investigator shall take thorough notes and such notes shall be provided to the Parties in lieu of recordings. The investigator shall document the reason the recording was not possible and such documentation shall become part of the Record of the Case. The investigation of reported sexual harassment should be completed expeditiously, normally within thirty (30) business days of the filing of the Formal Complaint. Investigation of a Formal Complaint may take longer based on the nature and circumstances of the Formal Complaint.

- M. **Impact of Optional Report to Law Enforcement.** A delay may also occur when criminal charges on the basis of the same behaviors that invoke this process are being investigated, to allow for evidence collection by the law enforcement agency. However, University action will not typically be altered or precluded on the grounds that civil cases or criminal charges involving the same incident have been filed or that such charges have been dismissed or reduced.

The Title IX Coordinator will not wait for the conclusion of a criminal investigation or criminal proceeding to begin the Title IX process. However, a Title IX investigation and resolution process may be temporarily delayed for good cause, which can include concurrent law enforcement activity. In such instances, written notice of the delay or extension with reasons for the action will be sent to each Party.

If delayed, the Title IX Coordinator will promptly resume the Title IX investigation as soon as notified by the law enforcement agency that it has completed the evidence-gathering process. The Title IX Coordinator will implement appropriate supportive measures during the law enforcement agency's investigation period to provide for the safety of all Parties, the University community and the avoidance of retaliation or sexual harassment.

N. **Dismissal of a Formal Complaint.** During or upon the completion of the investigation, the Title IX Coordinator will review the Formal Complaint and the investigative report, if available, to determine if the Formal Complaint is subject to dismissal. A Formal Complaint shall be dismissed: (1) if the conduct alleged in the Formal Complaint would not constitute sexual harassment, as defined in CRR 600.020 even if proved; (2) the conduct alleged in the Formal Complaint did not occur in the University's education program or activity, or (3) the conduct alleged in the Formal Complaint did not occur against a person in the United States. A dismissal under this provision does not preclude action under other applicable University processes.

A Formal Complaint or any allegations therein, may be dismissed at any time during the investigation or hearing if (1) the Complainant notifies the Title IX Coordinator in writing that the Complainant would like to withdraw the Formal Complaint or any allegations therein; (2) the Respondent is no longer enrolled or employed by the University; or (3) specific circumstances prevent the University from gathering evidence sufficient to reach a determination as to the Formal Complaint or the allegations therein.

Upon a dismissal required or permitted under this provision, the University will promptly send written notice of the dismissal and reason(s) therefor simultaneously to the Parties. Either Party may appeal a dismissal as set forth in Section U herein. If the Title IX Coordinator determines there is a sufficient basis to proceed with the Formal Complaint, then the Title IX Coordinator will direct the process to continue. The Formal Complaint will then be resolved through Informal Resolution or Hearing Panel Resolution, or the Academic Medical Center (AMC) Process, if applicable.

O. **Informal Resolution.** Upon the filing of a Formal Complaint, the Parties may choose to engage in Informal Resolution. The decision of the Parties to engage in Informal Resolution must be voluntary, informed, and in writing. The Parties are not required to engage in Informal Resolution as a condition of enrollment or continuing enrollment, or employment or continuing employment, or enjoyment of any other right. The Parties are not required to waive their right to an investigation of a Formal Complaint or a right to a hearing process, or AMC Process, if applicable. At any time prior to agreeing to (or in Administrative Resolution, rendering of) a final resolution, any Party has the right to withdraw from the Informal Resolution process and the matter will be referred back for further investigation and/or hearing as may be applicable.

Informal Resolution is never available to resolve allegations that an employee sexually harassed a student.

In Informal Resolution, which includes mediation or facilitated dialogue, a neutral facilitator will foster a dialogue with the Parties to an effective resolution, if possible. The Complainant's and the Respondent's Support Persons may attend the Informal Resolution meeting. The Parties will abide by the terms of the agreed-upon resolution. Failure to abide by the terms of the agreed-upon resolution may be referred to the Title IX Coordinator for review and referral to the appropriate University Process for discipline or sanctions. The Title IX Coordinator will keep records of any Informal Resolution that is reached.

In the event the Parties are unable to reach a mutually agreeable resolution, the matter will be referred back for further investigation and/or hearing as may be applicable. The content of the Parties' discussions during the Informal Resolution Process will be kept confidential in the event the matter proceeds to the hearing process. The Parties' agreement to participate, refusal to participate in, or termination of participation in Informal Resolution shall not be factors in any subsequent decisions regarding whether a policy violation occurred.

Among the resolutions which may be reached at this stage, the Respondent may voluntarily request to permanently separate from the University of Missouri System. If the Title IX Coordinator accepts the Respondent's proposal, the Respondent must sign a Voluntary Permanent Separation and General Release agreement to effectuate their separation and terminate the Title IX Process.

- P. **Procedural Details for Administrative Resolution.** The Parties may mutually choose to participate in a type of Informal Resolution called Administrative Resolution. The Administrative Resolution process is not available where a student has alleged that an employee sexually harassed the student. The Administrative Resolution process is not available to Academic Medical Centers (AMC). The Administrative Resolution process is a process whereby the decision-maker will meet separately with the Parties and their Support Person, if any, and consider the evidence provided by the investigator, including the investigative report, and evidence provided by the Parties, and will make a determination of responsibility that is binding on both Parties. The decision of the Parties to participate in Administrative Resolution must be voluntary, informed and in writing provided to the investigator, and must include a knowing written waiver of their right to a hearing under the Title IX process. However, either Party may choose to leave the process and opt for a hearing at any time before a final determination has been rendered. In addition, the following will apply to the Administrative Resolution process:
1. The standard of proof will be "preponderance of the evidence," defined as determining whether the evidence shows it is more likely than not that a policy violation occurred.
 2. The decision-maker has the discretion to determine the relevance of any witness or documentary evidence and may exclude information that is irrelevant, immaterial, cumulative, or more prejudicial than informative. In addition, the following rules shall apply to the introduction of evidence:
 - a. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
 - b. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the decision-maker.
 - c. Incidents or behaviors of the Respondent not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by the Respondent that shows a pattern may be considered only if deemed relevant by the decision-maker.
 - d. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
 - e. The decision-maker shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information

protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.

3. In the Administrative Resolution Process, the Respondent and the Complainant may provide a list of questions for the decision-maker to ask the other Party. If those questions are deemed appropriate and relevant, they may be asked on behalf of the requesting Party; answers to such questions will be shared with the requesting Party.
4. At any time prior to a final determination being rendered, the Complainant and/or the Respondent may request that the Formal Complaint shift from the Administrative Resolution Process to the Hearing Panel Resolution Process. Upon receipt of such timely request from either Party, the Formal Complaint will shift to the Hearing Panel Resolution Process.
5. The Administrative Resolution process will normally be completed within sixty (60) business days of the decision-maker's receipt of the Formal Complaint. Deviations from this timeframe will be promptly communicated to both Parties.
6. For good cause, the decision-maker in the Administrative Resolution Process may, in their discretion, grant reasonable extensions to the time frames and limits provided.
7. The Administration Resolution process consists of:
 - a. A prompt, thorough and impartial investigation;
 - b. A separate meeting with each Party and their Support Person, if any, and the decision-maker;
 - c. A written finding by the decision-maker on each of the alleged policy violations;
 - d. A written finding by the decision-maker on sanctions and remedial actions for findings of responsibility; and
 - e. The decision-maker shall be as follows:
 - (1) For Student or Student Organization Respondents and Staff Respondents, the decision-maker will be the Title IX Coordinator;
 - (2) For Faculty Respondents, the decision-maker will be as follows:
 - (a) The Title IX Coordinator will act as decision-maker and make recommendation(s) on findings of responsibility and sanctions and remedial actions, if applicable, to the Provost who will be the final decision-maker.
 - (b) The Title IX Coordinator has the option to request that a designee from the Provost's office act as decision-maker in Administrative Resolution and make recommendation(s) regarding findings of responsibility and sanctions and remedial actions, if applicable, to the Provost who will be the final decision-maker.
8. At least fifteen (15) business days prior to meeting with the decision-maker or if no meeting is requested, at least fifteen (15) business days prior to the decision-maker rendering a finding(s), the Title IX Coordinator or Provost's designee, if applicable, will send a letter (Notice of Administrative Resolution) to the Parties with the following information:
 - a. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
 - b. The name of the decision-maker.
 - c. Reference to or attachment of the applicable procedures.

- d. A copy of the final investigative report.
 - e. The option and deadline of ten (10) business days from the date of the notice to request a meeting with the decision-maker.
 - f. An indication that the Parties may have the assistance of a Support Person of their choosing at the meeting, though the Support Person's attendance at the meeting is the responsibility of the respective Parties.
9. The sanctions of expulsion and termination are not available sanctions under the Administrative Resolution process in this Policy. Further, any suspension of a student under this Administrative Resolution process shall not exceed two (2) years. Any suspension of an employee under this Administrative Resolution process may be without pay, but may not exceed ten (10) business days.
 10. The decision-maker can, but is not required to, meet with and question the Investigator and any identified witnesses. The decision-maker may request that the Investigator conduct additional interviews and/or gather additional information. The decision-maker will meet separately with the Complainant and the Respondent, and their Support Person, if any, to review the alleged policy violations and the investigative report. The Respondent may choose to admit responsibility for all or part of the alleged policy violations at any point in the process. If the Respondent admits responsibility, in whole or in part, the decision-maker will render a finding that the individual is in violation of University policy for the admitted conduct. For any disputed violations, the decision-maker will render a finding using the preponderance of the evidence standard. The decision-maker will also determine appropriate sanctions or remedial actions.
 11. The decision-maker will inform the Respondent and the Complainant simultaneously of the finding on each of the alleged policy violations and the finding of sanctions, if applicable, in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
 12. Either Party may appeal a decision under Administrative Resolution in accordance with Section U of this policy.
- Q. Hearing Panel Resolution.** This process is not available for Academic Medical Centers. See Section R.
1. **Equity Resolution Hearing Panelist Pool.** Each University will create and annually train a pool of not less than five (5) faculty and five (5) administrators and/or staff to serve as hearing panel members in the Hearing Panel Resolution Process. The faculty hearing panel pool members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Pool members are selected by the Chancellor (or Designee) and serve a renewable one-year term. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University. The Chancellor (or Designee) will select a Hearing Panelist Pool Chair ("Pool Chair"). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint.

Administrators, faculty, and staff will be removed from the Hearing Panelist Pool if they fail to satisfy the annual training requirements, as determined by the Title IX Coordinator. Under such circumstances, the Title IX Coordinator will notify the Chancellor (or Designee), who will inform the administrator, faculty, or staff member of the discontinuation of their term.

2. **Title IX Hearing Panel (“Hearing Panel”).** When a Formal Complaint is not resolved through an Informal Resolution process, the Hearing Panelist Pool Chair will randomly select two (2) members from the Hearing Panelist Pool to serve on the specific Hearing Panel together with the Hearing Officer. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. Up to two (2) alternates may be designated to sit in throughout the process as needed. The University reserves the right to have its attorney present during the hearing and during deliberations to advise the Hearing Panel.

3. **Notice of Hearing.**

- a. At least twenty (20) business days prior to the hearing, the Title IX Coordinator will send a letter (Notice of Hearing) to the Parties with the following information:

- (1) A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.

- (2) A description of the applicable procedures.

- (3) A statement that the Parties may have the assistance of an Advisor of their choosing, at the hearing; that the Party’s Advisor will conduct all cross-examination and other questioning of the other Party and all witnesses on behalf of the Party they are advising; that if the Party does not have an Advisor, an Advisor will be provided by the University for the purpose of conducting cross-examination and other questioning for that Party; and the Advisor may be, but is not required to be, an attorney.

- (4) The time, date and location of the hearing.

- (5) A list of the names of each of the Hearing Panel members, including the Hearing Officer, and alternates, and information on how to raise an objection to any member of the Hearing Panel and the timeline in which to raise any objections.

- (6) A copy of the final investigative report and exhibits.

- (7) Notification to the Parties that all of the evidence gathered in the course of the investigation that is directly related to the allegations including inculpatory and exculpatory evidence, is available to the Parties and instructions regarding how to request access to that evidence.

- (8) Notice that if a Party or witness does not submit to cross-examination at the hearing, the decision-maker(s) must not rely on any statement of that Party or witness in reaching a determination regarding responsibility, but no inference can be drawn from the fact that a Party or witness failed to submit to cross-examination.

- (9) Notice that the Parties may request a virtual hearing and/or any necessary accommodations.

- b. The Notice of Hearing letter will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively

deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.

4. Pre-Hearing Witness List and Documentary Evidence.

- a. At least fifteen (15) business days prior to the hearing, the Complainant and Respondent will provide to the Investigator a list of the names of the proposed witnesses and copies of all proposed documentary evidence that a Party intends to call or use at the hearing.
- b. At least ten (10) business days prior to the hearing, the Investigator will provide to each Party the names of proposed witnesses and proposed documentary evidence that the other Party intends to call or use at the hearing.
- c. No employee or student, directly or through others, should take any action which may interfere with the investigation or hearing procedures. Employees and students are prohibited from attempted or actual intimidation or harassment of any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.

5. Objection to or Recusal of Hearing Panel Member.

- a. Hearing Panel members, including the Hearing Officer, shall not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent. If a Hearing Panel member or Hearing Officer feels that they have a conflict of interest or bias, or cannot make an objective determination, they must recuse themselves from the proceedings in advance of the hearing.
- b. The Parties will have been given the names of the Hearing Panel members, including the Hearing Officer, in the Notice of Hearing. Should any Complainant or Respondent object to any panelist, they must raise all objections, in writing, to the Title IX Coordinator at least fifteen (15) business days prior to the hearing.
- c. Hearing Panel members will only be unseated and replaced if the Title IX Coordinator concludes that good cause exists for the removal of a panel member. Good cause may include, but is not limited to, bias that would preclude an impartial hearing or circumstances in which the Hearing Panel member's involvement could impact the Party's work or learning environment due to current or potential interactions with the Hearing Panel member (e.g., a panel member being in the same department as either Party). If the Title IX Coordinator determines that a Hearing Panel member, other than the Hearing Officer, should be unseated and replaced, then Title IX Coordinator will ask the Hearing Panel Pool Chair to randomly select another member from the pool to serve on the Hearing Panel. The Title IX Coordinator will select an alternate Hearing Officer if they determine that the Hearing Officer should be replaced. The Title IX Coordinator will provide a written response to all Parties addressing any objections to the Hearing Panel members, including the Hearing Officer.

- 6. Alternative Attendance or Questioning Mechanisms.** All hearings will be live. However, at the request of either Party or by the University's designation, the live hearing may occur with the Parties located in separate rooms with technology enabling the Hearing Panel, including the Hearing Officer, and their legal advisor, if any, the Parties and their Advisors, and the

Investigator, to simultaneously see and hear the Party or the witness answering questions. Should any hearing take place in this manner, the Title IX Coordinator (or Designee) shall be in charge of the technology during the hearing. The University will make reasonable accommodations for the Parties in keeping with the principles of equity and fairness.

7. **Requests to Reschedule the Hearing Date.** For good cause, the Title IX Coordinator may grant requests to reschedule the hearing date.
8. **Pre-Hearing Matters.**
 - a. At least ten (10) business days prior to the hearing date, a Party shall inform the Title IX Coordinator whether the Party intends to bring an Advisor of their choice to the hearing.
 - b. At least ten (10) business days prior to the hearing date, a Party shall inform the Title IX Coordinator whether the Party is requesting accommodations for the hearing.
 - c. At least five (5) business days prior to the hearing date, the final investigative report and all exhibits will be provided to the Hearing Panel members.
9. **Pre-Hearing Meeting.** Unless otherwise agreed by the Parties and the Hearing Officer, a pre-hearing meeting may be scheduled one hour prior to the start of the hearing between the Hearing Officer and Parties' Advisors. Parties may, but are not required to, be in attendance at this meeting.
10. **Conduct of Hearing.** The Hearing Officer shall participate on the Hearing Panel and preside at the hearing, call the hearing to order, call the roll of the Hearing Panel and alternates in attendance, ascertain the presence or absence of the Investigator, the Complainant and the Respondent, confirm receipt of the Notice of Allegations and Notice of Hearing by the Parties, report any extensions requested or granted and establish the presence of any Advisors.
 - a. **Order of Evidence.** The order of evidence shall generally be the following:
 - (1) The Complainant will proceed first and may give a verbal statement of their allegations of sexual harassment against the Respondent. The Hearing Panel may next ask questions of the Complainant. The Complainant will then be subject to cross-examination by the Advisor of the Respondent. The Complainant may also call witnesses who will be subject to questioning by the Advisor of the Complainant, questioning by the Hearing Panel, and cross-examination by the Advisor of the Respondent. The Complainant may also submit documentary evidence.
 - (2) The Respondent will proceed next and may give a verbal statement in response to the allegations of sexual harassment made by the Complainant. The Hearing Panel may next ask questions of the Respondent. The Respondent will be subject to cross-examination by the Advisor of the Complainant. The Respondent may also call witnesses who will be subject to questioning by the Advisor of the Respondent, questioning by the Hearing Panel, and cross-examination by the Advisor of the Complainant. The Respondent may also submit documentary evidence.
 - (3) The Investigator will then be available to answer questions of the Hearing Panel. The Investigator will next be subject to cross-examination by the Advisors of the Complainant and the Respondent. The Investigator may also call witnesses who will be

subject to questioning by the Hearing Panel, and cross-examination by the Advisors of the Complainant and Respondent. The Investigator may also submit documentary evidence.

(4) The Hearing Panel may ask questions of the Parties or any witnesses including the Investigator at any time during the hearing.

- b. **Record of Hearing.** The Title IX Coordinator shall arrange for an audio or audiovisual recording of the hearing. The recording of the hearing will become part of the Record of the Case.

11. Hearing Process Rules.

- a. The formal rules of evidence shall not apply to any live hearing.
- b. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
- c. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the Hearing Officer.
- d. Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the Hearing Officer.
- e. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
- f. The Hearing Officer shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
- g. The relevancy and admissibility of any evidence offered at the hearing shall be determined by the Hearing Officer, whose ruling shall be final.
- h. A Party's Advisor will be permitted to ask the other Party and any witnesses relevant questions and follow-up questions, including those challenging credibility. Before a Complainant, Respondent or witness answers a cross-examination or other question, the Hearing Officer must first determine whether the question is relevant and explain any decision to exclude a question as not relevant. Where the Hearing Officer permits a question to be answered, a presumption shall be made that the Hearing Officer determined that the question was relevant.
- i. If a Party or witness does not submit to cross-examination at a hearing, the Hearing Panel must not rely on any statement of that Party or witness in reaching a determination regarding responsibility, but no

inference can be drawn from the fact that a Party or witness failed to submit to cross-examination.

- j. The Party's Advisors may object to questions on limited grounds as specified in the Rules of Decorum. The Hearing Officer will rule on such objections and that ruling shall be final.
- k. The Hearing Officer may dismiss any person from the hearing who interferes with or obstructs the hearing, fails to adhere to the Rules of Decorum, or fails to abide by the rulings of the Hearing Officer.
- l. Procedural questions which arise during the hearing and which are not covered by these general rules shall be determined by the Hearing Officer, whose ruling shall be final.

12. Findings of the Hearing Panel.

- a. The Hearing Panel will deliberate with no others present, except any legal advisor to the Hearing Panel, to find whether the Respondent is responsible or not responsible for the policy violation(s) in question. The Hearing Panel will base its finding on a preponderance of the evidence (i.e., whether it is more likely than not that the Respondent committed each alleged violation). If a Respondent is found responsible by a majority of the Hearing Panel, the Hearing Panel will determine appropriate sanctions and remedial actions by a majority vote.
- b. The Hearing Officer will prepare a written determination reflecting the decision of the Hearing Panel regarding responsibility, sanctions and remedial actions, if any ("Hearing Panel Decision"), and deliver it to the Title IX Coordinator detailing the following:
 - (1) Identification of the allegations potentially constituting sexual harassment as defined in CRR 600.020;
 - (2) A description of the procedural steps taken from the receipt of the Formal Complaint through the determination, including any notifications to the Parties, interviews with Parties and witnesses, site visits, methods used to gather other evidence and hearings held;
 - (3) Findings of fact supporting the determination;
 - (4) Conclusions regarding the application of the University's Title IX Policies to the facts;
 - (5) A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions to be imposed on the Respondent, and whether remedies designed to restore or preserve equal access to the University's education programs or activities will be provided by the University to the Complainant; and
 - (6) The procedures and permissible bases for the Complainant and the Respondent to appeal.
- c. The Hearing Panel Decision should be submitted to the Title IX Coordinator within five (5) business days of the end of deliberations. Deviations from the five-day period will be communicated by the Hearing Officer to the Parties and the Title IX Coordinator, along with an expected time for completion. The Hearing Panel Decision will be provided to the Title IX Coordinator who will provide it to the Parties simultaneously within five (5) business days of receipt of the decision.
- d. The Hearing Panel Decision will be sent to each Party by email to their University-issued email account, or by the method of notification

previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.

- e. The Hearing Panel Decision will become final either on the date that the Parties are provided with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.
- f. The Title IX Coordinator is responsible for effective implementation of any remedies.

R. Process for Academic Medical Centers (AMC)

1. Academic Medical Centers at the University of Missouri are not required to provide for a live hearing, but rather must adhere to the following process for resolving Formal Complaints alleging Title IX violations.
2. The decision-maker(s) for the Title IX Process for Academic Medical Centers shall be a neutral, impartial, and unbiased decision-maker designated by the Executive Vice Chancellor for Health Affairs.
3. **Notice of AMC Meeting.** The decision-maker will meet separately with each Party. At least fifteen (15) business days prior to the initial meeting with the decision-maker, the Title IX Coordinator will send a letter (Notice of AMC Meeting) to the Parties with the following information:
 - a. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
 - b. A description of the applicable procedures.
 - c. A statement that the Parties may be accompanied by a Support Person of their choosing at the AMC Meeting.
 - d. The time, date and location of the AMC Meeting.
 - e. The name of the decision-maker, and information on how to raise an objection to the decision-maker and the timeline in which to raise any objections.
 - f. A copy of the investigative report and exhibits.
 - g. Notification to the Parties that all of the evidence gathered in the course of the investigation that is directly related to the allegations, including inculpatory and exculpatory evidence, is available to the Parties and how to request access to that evidence.
4. The Notice of AMC Meeting letter will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
5. At least fifteen (15) business days prior to the initial AMC Meeting, the Investigator will provide to the Parties access to all evidence gathered in the investigation which is directly related to the allegations in the Formal Complaint, including any evidence upon which the Investigator does not intend to rely, and inculpatory and exculpatory evidence whether obtained from a Party or other source, copies of recordings of all interviews conducted during the investigation, and a copy of any investigative report.
6. At least ten (10) business days prior to the initial AMC Meeting, the Complainant and Respondent may provide the decision-maker with written, relevant questions the Party wants asked of any Party or witness. At least five

- (5) business days prior to the initial AMC Meeting, the decision-maker will provide each Party with the answers, and allow for additional, limited follow-up questions from each Party. The decision-maker must explain to the Party proposing the questions any decision to exclude a question as not relevant. The Parties may also provide the decision-maker with documentary evidence.
7. No employee or student, directly or through others, should take any action which may interfere with the investigation or the AMC process. Employees and students are prohibited from attempted or actual intimidation or harassment of any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.
 8. The decision-maker shall not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent. If a decision-maker feels that they have a conflict of interest or bias, or cannot make an objective determination, they must recuse themselves from the proceedings in advance of the AMC meeting.
 9. At least ten (10) business days prior to the initial AMC Meeting, the Parties shall provide to the Title IX Coordinator all objections in writing to the decision-maker identified in the Notice of AMC Meeting. If the Title IX Coordinator determines that the decision-maker should be replaced, the Title IX Coordinator will select an alternate decision-maker. The Title IX Coordinator will provide a written response to all Parties addressing the objections.
 10. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
 11. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the Hearing Officer.
 12. Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the Hearing Officer.
 13. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
 14. The decision-maker shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
 15. All meetings between the decision-maker and Parties and/or witnesses shall be recorded.
 16. Within ten (10) business days of the last meeting with any Party or witness, the decision-maker must issue a written determination regarding responsibility, applying the preponderance of the evidence standard of

evidence. The written determination must include:

- a. Identification of the allegations potentially constituting sexual harassment as defined in CRR 600.020.
 - b. A description of the procedural steps taken from the receipt of the Formal Complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence and meetings held;
 - c. Findings of fact supporting the determination;
 - d. Conclusions regarding the application of the Title IX policies to the facts;
 - e. A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions to be imposed on the Respondent, and whether any remedies designed to restore or preserve equal access to the University's education program or activity will be provided by the University to the Complainant; and
 - f. The University's procedures and permissible bases for the Complainant and Respondent to appeal as set forth in Section U.
17. The written determination will be provided to the Title IX Coordinator, who will provide it to the Parties simultaneously within five (5) business days of receipt of the determination. Notification will be made in writing and sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
18. The determination becomes final either on the date that the University provides the Parties with the written determination of the result of the appeal, if any appeal is filed, or if any appeal is not filed, the date on which an appeal would no longer be considered timely.
19. The Title IX Coordinator is responsible for effective implementation of any remedies.

S. Sanctions and Remedial Actions.

1. If the Respondent is found responsible for a violation of the University's Title IX Policies, the Hearing Panel, or the decision-maker in the Administrative Resolution Process or Academic Medical Center Process, will determine sanctions and remedial actions. The Title IX Coordinator will apply and enforce the sanctions and remedial actions and may also add other remedial actions as deemed appropriate.
 - a. Factors Considered When Finding Sanctions/Remedial Actions include but are not limited to:
 - (1) The nature, severity of, and circumstances surrounding the violation;
 - (2) The disciplinary history of the Respondent;
 - (3) The need for sanctions/remedial actions to bring an end to the conduct;
 - (4) The need for sanctions/remedial actions to prevent the future recurrence of the conduct; and
 - (5) The need to remedy the effects of the conduct on the Complainant and the University community.

2. **Types of Sanctions.** The following sanctions may be imposed upon any Respondent found to have violated the University's Title IX Policies. Multiple sanctions may be imposed for any single violation. Sanctions include but are not limited to the following:

a. **For Respondents who are Student(s) or Student Organization(s):**

(1) **Warning.** A notice in writing to the Respondent that there is or has been a violation of institutional regulations, and cautioning that if there are further violations, the existence of the Warning may result in more severe sanctions in the future.

(2) **Probation.** A written reprimand for violation of specified regulations. Probation is for a designated period of time and includes the probability of more severe sanctions if the Respondent is found to be violating any institutional regulation(s) during the probationary period.

(3) **Loss of Privileges.** Denial of specified privileges for a designated period of time.

(4) **Restitution.** Compensating the University for loss, damage, or injury to University property. This may take the form of appropriate service and/or monetary or material replacement.

(5) **Discretionary Sanctions.** Work assignments, service to the University, or other related discretionary assignments, or completion of educational programming.

(6) **Residence Hall Suspension.** Separation of the Respondent from the residence halls for a definite period of time, after which the Respondent is eligible to return. Conditions for readmission may be specified.

(7) **Residence Hall Expulsion.** Permanent separation of the Respondent from the residence halls.

(8) **Campus Suspension.** Respondent is suspended from being allowed on a specific University campus for a definite period of time. Logistical modifications consistent with the sanction imposed, may be granted at the discretion of the Chief Student Affairs Officer (or Designee).

(9) **University System Suspension.** Separation of the Respondent from the University System for a definite period of time, after which the Respondent is eligible to return. Conditions for readmission may be specified.

(10) **Withdrawal of Recognition.** Respondent Student Organization loses its Official Approval as a recognized student organization. May be either temporary or permanent.

(11) **University System Expulsion.** Permanent and complete separation (i.e., not eligible for online courses either) of the Respondent from the University System.

b. **For Respondents who are Employee(s):**

(1) Warning – verbal or written;

(2) Performance improvement plan;

(3) Required counseling;

(4) Required training or education;

(5) Loss of annual pay increase;

(6) Loss of supervisory responsibility;

- (7) Recommendation of discipline in a training program, including recommendation of termination, suspension or other corrective or remedial actions;
- (8) For Non-Regular Faculty, immediate termination of term contract and employment;
- (9) For Regular, Untenured Faculty, immediate termination of term contract and employment. Notice of not reappointing would not be required;
- (10) Suspension without pay;
- (11) Non-renewal of appointment;
- (12) For Regular, Tenured Faculty, suspension without pay, removal from campus and referral to the Chancellor to initiate dismissal for cause as detailed in Section 310.060 of the Collected Rules and Regulations;
- (13) For Staff, Demotion;
- (14) For Staff, Termination.

c. **Remedial Actions.** The following remedial actions may also be imposed to address the effects of the violation(s) of the University's Title IX Policies on the Complainant. Such remedial actions will vary depending on the circumstances of the policy violation(s), but may include:

(1) Where the Complainant is a student:

- (a) Permitting the student to retake courses;
- (b) Providing tuition reimbursement;
- (c) Providing additional academic support;
- (d) Removal of a disciplinary action; and
- (e) Providing educational and/or on-campus housing accommodations.

(2) Where the Complainant is an employee:

- (a) Removal of a disciplinary action;
- (b) Modification of a performance review;
- (c) Adjustment in pay;
- (d) Changes to the employee's reporting relationships; and
- (e) Workplace accommodations.

In addition, the University may offer or require training and/or monitoring as appropriate to address the effects of the violation(s) of the University's Title IX Policies.

d. **When Implemented.** Sanctions will be imposed once the written determination regarding responsibility becomes final; the determination regarding responsibility is final either on the date that the Parties are provided with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.

T. **Withdrawal While Charges Pending.** Should a Respondent decide to resign employment, or withdraw from the University and not participate in the investigation and/or hearing without signing a Voluntary Permanent Separation and General Release Agreement and without the approval of the Title IX Coordinator, the Formal Complaint may be dismissed, or the Title IX Coordinator may determine that the

process will nonetheless proceed in the Respondent's absence to a reasonable resolution and, if the Respondent is found responsible, the Respondent will not be permitted to return to the University unless all sanctions have been satisfied.

U. **Appeal.**

1. **Grounds for Appeal.** Both Complainant and Respondent are allowed to appeal the dismissal of a Formal Complaint or any of the allegations therein, or the findings of the Administrative Resolution Process, the Hearing Panel Resolution Process, or the Academic Medical Center process. Appeals are limited to the following:
 - a. A procedural irregularity that affected the outcome of the matter (e.g., material deviation from established procedures, etc.);
 - b. To consider new evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter;
 - c. The Title IX Coordinator, Investigator(s), or decision-maker(s) had a conflict of interest or bias for or against Complainants or Respondents generally or the individual Complainant or Respondent that affected the outcome of the matter; or
 - d. The sanctions fall outside the range typically imposed for this offense, or for the cumulative conduct record of the Respondent.
2. **Requests for Appeal.** Both the Complainant and the Respondent may appeal a dismissal of a Formal Complaint or any allegations therein, or a determination regarding responsibility to the Equity Resolution Appellate Officer. The Equity Resolution Appellate Officer must not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent; if the Equity Resolution Appellate Officer does not believe that they can make an objective decision about an appeal, they should recuse themselves and the Chancellor (or Designee) shall appoint an alternate Equity Resolution Appellate Officer to hear the pending appeal. All requests for appeal must be submitted in writing to the Equity Resolution Appellate Officer within five (5) business days of the delivery of the notice of dismissal or Administrative Resolution Decision, Hearing Panel Decision, or AMC Determination. When any Party requests an appeal, the other Party will be notified and receive a copy of the request for appeal.
3. **Response to Request for Appeal.** Within five (5) business days of the delivery of the notice and copy of the request for appeal, the non-appealing Party may file a response to the request for appeal. The response can address that sufficient grounds for appeal have not been met and/or the merits of the appeal.
4. **Review of the Request to Appeal.** The Equity Resolution Appellate Officer will make an initial review of the appeal request(s) to determine whether:
 - a. The request is timely, and
 - b. The appeal is on the basis of any of the articulated grounds listed above, and
 - c. When viewed in the light most favorable to the appealing Party, the appeal states grounds that could result in an adjusted finding or sanction.

The Equity Resolution Appellate Officer will reject the request for appeal if any of the above requirements are not met. The decision to reject the request for appeal is final and further appeals and grievances are not permitted. The

Equity Resolution Appellate Officer will render a written decision whether the request for appeal is accepted or rejected within fifteen (15) business days from receipt of the request for appeal. If no written decision is provided to the Parties within fifteen (15) business days from receipt of the request, the appeal will be deemed accepted.

5. **Review of the Appeal.** If all three (3) requirements for appeal listed in paragraph 4 above are met, the Equity Resolution Appellate Officer will accept the request for appeal and proceed with rendering a decision on the appeal applying the following additional principles:
 - a. Appeals are not intended to be full re-hearings of the Formal Complaint and are therefore deferential to the original findings. In most cases, appeals are confined to a review of the written documentation and Record of the Case, and relevant documentation regarding the grounds for appeal. Appeals granted based on new evidence should normally be remanded to the original decision-maker for reconsideration.
 - b. The Equity Resolution Appellate Officer will render a written decision on the appeal to all Parties within ten (10) business days from accepting the request for appeal. In the event the Equity Resolution Appellate Officer is unable to render a written decision within ten (10) business days from accepting the request for appeal, the Equity Resolution Appellate Officer will promptly notify the Parties in writing of the delay.
 - c. Once an appeal is decided, the outcome is final. Further appeals are not permitted.
6. **Extensions of Time.** For good cause, the Equity Resolution Appellate Officer may grant reasonable extensions of time (e.g.: 7-10 business days) to the deadlines in the appeal process. The Equity Resolution Appellate Officer will notify the Parties in writing if such extensions are granted.

V. **Failure to Complete Sanctions/Comply with Interim and Long-term Remedial Actions.** All Respondents are expected to comply with all sanctions and remedial actions within the timeframe specified. Failure to follow through on these sanctions and remedial actions by the date specified, whether by refusal, neglect or any other reason, may result in additional sanctions and remedial actions and/or suspension, expulsion, termination, referral to Dismissal for Cause process, or withdrawal of recognition from the University. Suspension will only be lifted when compliance is achieved to the satisfaction of the Title IX Coordinator.

W. **Dismissal for Cause Referral.** If the recommended sanction for a Regular, Tenured Faculty member is referral to the Chancellor to initiate Dismissal for Cause, the Record of the Case will be forwarded to the appropriate Faculty Committee on Tenure. Because the Dismissal for Cause proceeding is not a re-hearing of the Complaint, the Record of the Case will be included as evidence and the findings will be adopted for proceeding as detailed in Section 310.060: Procedures in Case of Dismissal for Cause in the Collected Rules and Regulations.

X. **Records.** In implementing this policy, records of all Formal Complaints, the Hearing Process or Academic Medical Center Process, and resolutions (including Informal resolution and result therefrom), will be kept by the Title IX Coordinator. For the purpose of review or appeal, the Record of the Case will be accessible at reasonable times and places to the Respondent and the Complainant. The Record of the Case will be kept for seven (7) years following final resolution. In addition, a record of the response to all complaints of sexual harassment, must be maintained for a period of seven (7) years, including records of any actions, including Supportive Measures, taken in response to a report or Formal Complaint of sexual harassment. In each instance, the University must document the basis for its

conclusion that its response was not deliberately indifferent, and document that it has taken measures designed to restore or preserve equal access to the University's education programs or activities. If the University did not provide a Complainant with Supportive Measures, the University must document the reasons why such a response was not clearly unreasonable in light of the known circumstances.

Each Title IX Coordinator, including the Title IX Coordinator for the academic medical center, shall maintain statistical, de-identified data on the race, gender and age of each Party to a Formal Complaint for that university/ academic medical center, and will report such data on an annual basis to the President of the University of Missouri. Additionally, statistical data relating to each university in the University of Missouri System shall be reported on an annual basis to that university's Chancellor and chief officers for human resources, student affairs, and diversity, equity and inclusion; the academic medical center shall report such statistical data for the academic medical center on an annual basis to the Executive Vice-Chancellor for Health Affairs. Data relating to the University of Missouri System shall be reported on an annual basis to the University of Missouri System's chief officers for human resources, student affairs, and diversity, equity and inclusion.

- Y. **Retaliation.** No person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by Title IX, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this policy. Intimidation, threats, coercion, or discrimination, including charges against an individual for policy violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or Formal Complaint of sexual harassment, for the purpose of interfering with any right or privilege secured by Title IX, constitutes retaliation.

The University must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a Formal Complaint of sexual harassment, any Complainant, any individual who has been reported to be the perpetrator of sex discrimination, any Respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of Title IX, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder. Complaints alleging retaliation may be filed with the Equity Officer in accordance with CRRs 600.010, 600.040, and 600.050. The exercise of rights protected under the First Amendment does not constitute retaliation prohibited under this section.

Charging an individual with a policy violation for making a materially false statement in bad faith in the course of the any proceedings under this policy does not constitute retaliation provided, however that a determination regarding responsibility, alone, is not sufficient to conclude that any Party made a materially false statement in bad faith.

600.040 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization - for matters involving conduct alleged to have occurred on or after August 14, 2020

Bd. Min. 2-5-15; Revised 7-28-20 with effective date of 8-14-20.

- A. **General.** The University will promptly and appropriately respond to any report of violation of the University's Anti-Discrimination policies. The procedures described below apply to such reports when the Respondent is a Faculty Member(s), a student(s), or a student organization. Further, when the report involves allegations against the President or a Chancellor, upon consultation between the Office of the General Counsel and the Equity Officer, the investigation may be conducted by an outside investigator. This procedure does not govern complaints alleging conduct that would be defined as sexual harassment under Section 600.020 of the Collected Rules and Regulations.
- B. **Jurisdiction.** Jurisdiction of the University of Missouri generally shall be limited to conduct which occurs on the University of Missouri premises or at University-sponsored or University-supervised functions. However, the University may take appropriate action, including, but not limited to, the imposition of sanctions under Section 600.040 of the Collected Rules and Regulations against Faculty Members, Students, or Student Organizations for conduct occurring in other settings, including off-campus, (1) in order to protect the physical safety of students, employees, and visitors or other members of the University community, or (2) if there are effects of the conduct that interfere with or limit any person's ability to participate in or benefit from the University's educational programs, activities or employment, or (3) if the conduct is related to the Faculty Member's fitness or performance in the professional capacity of teacher or researcher or (4) if the conduct occurs when the Faculty Member is serving in the role of a University employee.

If a Complainant simultaneously alleges or the investigation suggests violations of the University's Anti-Discrimination Policies and (1) violation, misinterpretation, or arbitrary application of another written University rule, policy, regulation, or procedure which applies personally to the Faculty member; and/or (2) that there has been an infringement on the academic freedom of the Faculty member, the University shall have the authority to investigate and take appropriate action regarding each of the Complainant's allegations pursuant to this Equity Resolution Process. In conducting such investigations, the Provost, Equity Officer, and/or the Investigator may consult with and/or seek guidance from the Human Resources staff or other appropriate administrators as necessary.

If a Complainant alleges or the investigation suggests that a student conduct policy violation occurred in concert with the alleged violation of the University's Anti-Discrimination Policies, the University shall have the authority to investigate and take appropriate action regarding each of the alleged violations of the student conduct policy pursuant to this Equity Resolution Process. In conducting such investigations, the Equity Officer and/or the Investigator may consult with and/or seek guidance from the Student Conduct Coordinator or Residential Life Coordinator as appropriate.

If a Complainant alleges or the investigation suggests that a discrimination or harassment policy violation as defined in Section 600.010 of the Collected Rules and

Regulations occurred in concert with an alleged violation of the University's Title IX policies, the University shall investigate and take appropriate action regarding the alleged violation(s) of the discrimination or harassment policy pursuant to University's Title IX process. If the allegation(s) in the Complaint that fall under the Title IX policy are dismissed, the University may discontinue the process under the Title IX policy and then proceed under this equity resolution process for any remaining reports of alleged violation(s) of Section 600.010 in the Complaint.

At-Will Employment Status. Nothing contained in this policy is intended and no language contained herein shall be construed as establishing a "just cause" standard for imposing discipline, including but not limited to, termination of employment. Further, nothing contained in this policy is intended and no language contained herein shall be construed to alter in any manner whatsoever the at-will employment status of any at-will University employee.

C. **Definitions:**

1. **Administrative Resolution.** A voluntary resolution process where a decision-maker makes a finding on each of the alleged policy violations in a Complaint and a finding on sanctions and remedies without a hearing.
2. **Chair of the Hearing Panel ("Panel Chair").** A Chair of the Hearing Panel for a specific Complaint is designated by the Hearing Panelist Pool Chair. The Pool Chair may serve as the Chair of the Hearing Panel for a specific Complaint.
3. **Complainant.** "Complainant" refers to the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies chooses not to act as the Complainant in the resolution process or requests that the complaint not be pursued. If the University decides to pursue a report of discrimination by a visitor, third party or applicant through the applicable equity resolution process, the University will act as the Complainant. Former University Faculty or Staff members may act as the Complainant in the applicable equity resolution process only when their employment is terminated and they allege that the termination of employment was discriminatory. For any other allegations of discrimination by former University Faculty or Staff members, the University will appropriately respond to reports of a violation of the University's Anti-Discrimination policies and if the University decides to pursue a report of discrimination through the applicable equity resolution process, the University will act as the Complainant.
4. **Complaint.** A document prepared by the Equity Officer when a verbal or written report of alleged discrimination or harassment becomes known to the University, or a document filed and signed by a Complainant alleging discrimination or harassment against a Respondent and requesting that the University investigate the allegation.
5. **Conflict Resolution.** A voluntary resolution process using alternative dispute resolution mechanisms such as mediation, facilitated dialogue, or restorative justice.
6. **Equity Resolution Appellate Officer.** For Student(s) or Student Organization Respondents, a trained, senior-level administrator appointed by the Chancellor (or Designee) to hear all [requests for reconsideration of summary determination and](#) appeals stemming from the Equity Resolution Process. For Faculty Respondents, the Chancellor (or Designee).

7. **Equity Resolution Hearing Panel (“Hearing Panel”).** A group of three (3) trained Equity Resolution Hearing Panelist Pool members who serve as the Hearing Panel for a specific Complaint. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member.
8. **Equity Resolution Hearing Panelists Pool (“Hearing Panelist Pool”).** A group of at least five (5) faculty and five (5) administrators and/or staff selected by the Chancellor (or Designee) to serve as hearing panel members in the Hearing Panel Resolution process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University.
9. **Equity Officer.** The Equity Officer is a trained administrator designated by the Chancellor (or Designee) to receive and assist with the investigation and resolution of Complaints regarding violation of the University’s Anti-Discrimination Policies. All references to “Equity Officer” throughout this policy refer to the Equity Officer or the Equity Officer’s Designee.
10. **Equity Support Person:** An individual selected by a Party to provide support and guidance throughout the Equity Resolution Process. Each Party is allowed one Equity Support Person.
11. **Faculty Member.** For purposes of Section 600.040, Faculty Member includes all regular and non-regular academic staff appointments as defined in Sections 310.020 and 310.035 of the Collected Rules and Regulations.
12. **Hearing Panelist Pool Chair (“Pool Chair”).** The Hearing Panelist Pool Chair is selected by the Chancellor (or Designee). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Complaint. The Pool Chair may serve as a panel member for a specific Complaint.
13. **Hearing Panel Resolution.** Resolution of a Complaint by an Equity Resolution Hearing Panel making the finding on each of the alleged policy violations. In faculty matters, the Hearing Panel will make recommendations as to any sanctions, if applicable, and the Provost will make the finding on sanctions. In matters involving students or student organizations, the Hearing Panel will make a finding on sanctions and remedial actions.
14. **Investigators.** Investigators are trained individuals appointed by the Equity Officer to conduct investigations of the alleged violations of the University’s Anti-Discrimination Policies.
15. **Parties.** The Complainant and the Respondent are collectively referred to as the Parties.
16. **Record of the Case.** The Record of the Case in the Section 600.040 Process includes, when applicable: All Notices to the Parties, investigative report, recordings of Party and witness interviews, exhibits used at a hearing, the hearing record (an audio or audiovisual record of the hearing); any determination of dismissal of all or part of a Formal Complaint; the determination on each of the alleged policy violations and sanctions by either the Hearing Panel or Decision-maker; and the decision on the appeal, if any, including the request for appeal, any additional evidence submitted for the appeal, and written arguments of the parties.
17. **Report.** Any verbal or written communication or notice of an alleged violation of the University’s Anti-Discrimination Policies.

18. **Respondent.** "Respondent" refers to the Faculty Member(s) or student(s) or student organization alleged to have violated the University's Anti-Discrimination Policies.
 19. **Student.** A person having once been admitted to the University who has not completed a course of study and who intends to or does continue a course of study in or through one of the Universities of the University System. For the purpose of these rules, student status continues whether or not the University's academic programs are in session.
 20. **Student Organization.** A recognized student organization which has received Official Approval in accordance with Section 250.010 of the Collected Rules and Regulations. Three members of the organization may represent the student organization as the Party.
 21. **Summary Resolution.** Resolution of the Complaint upon a determination by the Equity Officer that there is an insufficient basis to proceed with the Complaint that the Respondent violated the University's Anti-Discrimination Policies.
 22. **University's Anti-Discrimination Policies.** The University's Anti-Discrimination Policies include the Equal Employment/Education Opportunity and Nondiscrimination Policy located at Section 600.010 of the Collected Rules and Regulations (CRR).
- D. **Making a Report.** Any person (whether or not the person reporting is the person alleged to be the victim of conduct that could constitute discrimination or harassment) may report discrimination or harassment to the Equity Officer. A report may be made in person, or at any time (including during non-business hours) by mail, by telephone, or by electronic mail, using the contact information listed for the Equity Officer, by an online portal set up by the University for this purpose, or by any other means that results in the Equity Officer receiving the person's verbal or written report. Individuals may also contact University police if the alleged offense may also constitute a crime. In order to foster reporting and participation, the University may provide amnesty to Parties and witnesses accused of minor student conduct violations ancillary to the incident.
- E. **Preliminary Contact and Inquiry.** Upon receiving a report, the Equity Officer shall promptly contact the Complainant to discuss the availability of supportive measures as defined herein, consider the Complainant's wishes with respect to supportive measures, inform the Complainant of availability of supportive measures with or without the filing of a Complaint, and explain to the Complainant the process for filing a Complaint. If the identity of the Complainant is unknown, the Equity Officer may conduct a limited investigation sufficient to identify the Complainant to the extent possible.
- In addition to making preliminary contact, the Equity Officer shall conduct a preliminary inquiry to gather enough information to make a threshold decision regarding whether the report describes a possible violation of the University's anti-discrimination policies.
- If the report describes a possible violation, the Equity Officer will refer the matter to the appropriate procedural process and provide appropriate supportive measures. If the report does not describe a possible violation, the matter will be referred to the appropriate non-Equity process. Under those circumstances, the Equity Officer may counsel and suggest monitoring or training opportunities to correct for inappropriate behavior that does not rise to the level of a violation.
- The preliminary inquiry shall be conducted promptly (typically within 7-10 business days) of receiving the report.
- F. **Filing a Complaint.**
A Complaint is a document prepared by the Equity Officer after a verbal or written

report of alleged discrimination or harassment becomes known to the University, or a document filed and signed by a Complainant alleging discrimination or harassment against a Respondent and requesting that the University investigate the allegation. As used herein, the phrase “document filed and signed by a complainant” means a document or electronic submission (such as by electronic mail or through an online portal provided for this purpose by the University) that contains the complainant’s physical or digital signature, or otherwise indicates that the Complainant is the person filing the Complaint.

All Complaints alleging discrimination or harassment under this policy will be investigated. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University’s Anti-Discrimination policies chooses not to act as the Complainant in the resolution process or requests that the Complaint not be pursued. If the University decides to pursue a report of discrimination by a visitor, third party or applicant through the applicable equity resolution process, the University will act as the Complainant. Where the Equity Officer prepares a Complaint, the Equity Officer is not a Complainant or otherwise a party under this policy.

The University may consolidate Complaints as to allegations of discrimination or harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one Party against the other Party where the allegations of discrimination or harassment, arise out of the same facts or circumstances. Where this process involves more than one Complainant or more than one Respondent, each Complainant and each Respondent shall be entitled and subject to all of the rights and obligations set forth herein.

G. Notice of Allegations

1. Upon receipt of a Complaint, the Equity Officer, will provide a written notice to the known Parties that includes the following:
 - a. A description of the University’s available Equity Resolution processes, including Conflict Resolution;
 - b. Notice of the allegations of discrimination and/or harassment, including sufficient details known at the time. Sufficient details include the identities of the parties involved in the incident, if known; the conduct allegedly constituting the discrimination and/or harassment; and the date and location of the alleged incident.
 - c. A statement that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the Equity Resolution process.
 - d. A statement notifying the Parties of the availability of supportive measures.
 - e. A statement notifying the Parties of their right to have an Equity Support Person of their choice, who may be, but is not required to be, an attorney.
 - f. A statement notifying the Parties that they may have an Equity Support Person selected by a Party accompany the Party to all meetings, interviews, and proceedings to provide support for the Party throughout the Equity Resolution Process.
 - g. A statement notifying the Parties that they will be permitted to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Complaint, including the evidence upon which the University does not intend to rely in reaching a

determination regarding responsibility and including inculpatory or exculpatory evidence whether obtained from a Party or other source.

- h. A statement notifying the Parties that they must be truthful when making any statement or providing any information or evidence to the University throughout the grievance process, and all documentary evidence must be genuine and accurate. False statements and fraudulent evidence by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or for disciplinary action pursuant to CRR 200.010 for students.
 - i. A statement that nothing in the Equity Process is intended to supersede nor expand any rights the individual may have under applicable state or federal statutory laws or the U.S. Constitution.
 - j. A statement informing a Party that all notices hereafter will be sent via their University-issued email account, unless they provide to the Equity Officer an alternate method of notification. If a Party does not have a University-issued email account, all notices hereafter will be via U.S. Mail unless they provide the Equity Officer with a preferred method of notification.
2. The Notice of Allegations will be made in writing to the Parties by email to the Party's University-issued email account, with a read-receipt or reply email requested. If a read-receipt or reply email is not returned within ~~one-three~~ (+3) business days or the Party does not have a University-issued email account, the Notice of Allegations shall be sent via U.S. Mail postage pre-paid to the last known address of the Party. Notice also may be provided in person to either Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual, or 3) when mailed.

H. Supportive Measures, Emergency Removal, Interim Suspension of Student Organization, and Administrative Leave

3.1. Supportive Measures. Supportive measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a Complaint. These measures are designed to restore or preserve equal access to the University's education programs, activities or employment without unreasonably burdening the other Party, including measures designed to protect the safety of all Parties or the University's education environment, or deter discrimination and harassment. The University will maintain as confidential any supportive measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the supportive measures. The Equity Officer is responsible for the effective implementation of supportive measures. Supportive measures may include:

- a. Referral and facilitating contact for the Complainant or Respondent for counseling or other support services.
- b. Mutual restrictions on contact between the Parties.
- c. Providing campus escort services to the Parties.
- d. Increased security and monitoring of certain areas of the campus.
- e. Adjusting the extracurricular activities, work schedules, work assignments, supervisory responsibilities, or work arrangements of the Complainant and/or Respondent, as appropriate.
- f. If either Party is a student:

- (1) Referral of that Party to academic support services and any other services that may be beneficial to the Party.
- (2) Adjusting the courses, assignments, and/or exam schedules of the Party.
- (3) Altering the on-campus housing assignments, dining arrangements, or other campus services for the Party.
- g. Providing limited transportation accommodations for the Parties.
- h. Informing the Parties of the right to notify law enforcement authorities of the alleged incident and offering to help facilitate such a report.

4.2. Emergency Removal. ~~The Equity Officer may implement~~ **an Emergency Removal** of a Respondent from the University's education program or activity on an emergency basis, if the Equity Officer, after conducting an individualized safety and risk analysis, determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of discrimination or harassment, justifies removal.

- a. In all cases in which an Emergency Removal is imposed, the Respondent will immediately be given notice and an opportunity to challenge the decision of the Equity Officer either prior to such Removal being imposed, or as soon thereafter as reasonably possible but no later than five (5) business days **following the Removal. Any challenge by Respondent shall to be made in writing and directed to the Equity Officer and must show cause why the Removal should not be implemented. The Equity Officer Any such challenge shall be made in writing and directed to the Equity Officer who** will forward **such the** challenge to the Emergency Removal Appeal Individual/Committee, which will make a final decision on **Removal** within three (3) business days.
- b. Violation of an Emergency Removal under this policy may be grounds for discipline **under applicable University conduct policy.**

5.3. Interim Suspension of Student Organization. ~~The Equity Officer may suspend~~ **Suspending**, on an interim basis, a Respondent Student Organization's operations, University recognition, access to and use of the University campus/facilities/events and/or all other University activities or privileges for which the Respondent Student Organization might otherwise be eligible, pending the completion of the Equity Process when the Equity Officer finds and believes from available information that the presence of the student organization on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student organization will be initiated within seven (7) business days.

6.4. Administrative Leave. ~~The Equity Officer may implement~~ **ing** an administrative leave for an employee in accordance with University Human Resources Policies. Administrative leave for an employee is not an Emergency Removal under this policy.

H.I. Employees and Students Participating in the Equity Resolution Process. All University employees and students must be truthful when making any statement or providing any information or evidence to the University throughout the process, including but not limited to the Investigator, Equity Officer, Provost (or Designee), the Hearing Panel, and/or the Equity Resolution Appellate Officer, and all documentary evidence must be genuine and accurate. False statements or fraudulent evidence or refusal to cooperate with the Investigator, Equity Officer, Provost (or Designee), Hearing Panel, and/or the Equity Resolution Appellate Officer by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601,

or other applicable University policies, or if by a student may be the basis for disciplinary action pursuant to the provisions of CRR 200.010. However, this obligation does not supersede nor expand any rights the individual may have under applicable state or federal statutory law or the U.S. Constitution. For purposes of this policy, "refusal to cooperate" does not include refusal to participate in any proceedings involving sex discrimination. The fact that a determination has been made that a Respondent has or has not violated any policy is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness.

No employee or student, directly or through others, should take any action which may interfere with the investigation. Employees and students are prohibited from attempting to or actually intimidating or harassing any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.

H.J. Rights of the Parties in the Equity Resolution Process

1. To be treated with respect by University officials.
2. To be free from retaliation.
3. To have access to University support resources (such as counseling and mental health services and University health services).
4. To request a no contact directive between the Parties.
5. To have an Equity Support Person of the Party's choice accompany the Party to all interviews, meetings, and proceedings throughout the Equity Resolution Process.
6. To refuse to have an allegation resolved through Conflict or Administrative Resolution Processes.
7. To receive prior to a hearing or other time of determination regarding responsibility, an investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and written response.
8. To have an opportunity to present a list of potential witnesses and provide evidence to the Investigator.
9. To have Complaints heard in substantial accordance with these procedures.
10. To receive written notice of any delay of the process or limited extension of time frames.
11. To be informed of the finding, rationale, sanctions and remedial actions.
12. To report the matter to law enforcement (if applicable) and to have assistance in making that report.
13. To have an opportunity to ~~appeal-request reconsideration of the~~ summary determination ending the process, and appeal the determination of a hearing panel or decision-maker.
14. When the Complainant is not the reporting Party, the Complainant has full rights to participate in any Equity Resolution Process.
15. Additional Rights for Students as a Party:
 - a. To request reasonable housing, living and other accommodations and remedies consistent with Section 600.040.H.
 - b. To receive amnesty for minor student misconduct that is ancillary to the incident, at the discretion of the Equity Officer.
16. Additional Rights for Hearing Panel Resolution:
 - a. To receive notice of a hearing.

- b. To have the names of witnesses that may participate in the hearing and copies of all documentary evidence gathered in the course of the investigation and any investigative report prior to the hearing.
- c. To be present at the hearing, which right may be waived by either written notification to the Hearing Panel Chair or by failure to appear.
- d. To have present an Equity Support Person during the hearing and to consult with such Equity Support Person during the hearing.
- e. To request to have an Equity Support Person of the University's selection appointed for a Student Party where the Student Party does not have an Equity Support Person of their own choice at a hearing.
- f. To testify at the hearing or refuse to testify at the hearing.
- g. To have an equal opportunity to present witnesses and documents deemed relevant by the Hearing Panel Chair, and to question witnesses present and testifying at the hearing.
- h. To request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other.

J.K. Role of Equity Support Persons. Each Complainant and Respondent is allowed to have one Equity Support Person of their choice present with them for all Equity Resolution Process interviews, meetings and proceedings. The Parties may select whomever they wish to serve as their Equity Support Person, including an attorney or parent.

If requested by a Student Party, the Equity Officer may assign an Equity Support Person to explain the Equity Resolution process and attend interviews, meetings and proceedings with a Student Party. University Equity Support Person(s) are administrators, faculty, or staff at the University trained on the Equity Resolution Process. The Parties may not require that the assigned Equity Support Person have specific qualifications such as being an attorney. An Equity Support Person cannot be called upon as a witness by a Party in a hearing to testify about matters learned while that individual was acting in their capacity as an Equity Support Person. The Equity Support Person may not make a presentation or represent the Complainant or Respondent during the hearing. At the hearing, the Parties are expected to ask and respond to questions on their own behalf, without representation by the Equity Support Person. The Equity Support Person may consult with the Party quietly or in writing, or outside the hearing during breaks, but may not speak on behalf of the Party to the hearing panelists. If the Equity Support Person fails to follow these guidelines, they will be warned or dismissed from the hearing at the discretion of the Hearing Panel Chair.

K.L. Investigation. Upon the initiation of a formal investigation, the Equity Officer will promptly appoint a trained Investigator or a team of trained Investigators to investigate the Complaint.

The burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rests on the University.

The University cannot access, consider, disclose, or otherwise use a Party's records that are made or maintained by a physician, psychiatrist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the Party, unless the University obtains that Party's voluntary, written consent to do so for use in the Equity Resolution process.

The Parties are not prohibited from discussing the allegations under investigation or from gathering and presenting relevant evidence. The Parties may present witnesses and other inculpatory and exculpatory evidence; all such evidence must be relevant.

A Party whose participation is expected or invited at a hearing, interview, or other meeting, shall receive written notice of the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings, with sufficient time for the Party to prepare to participate.

The Parties may be accompanied to any related meeting or interview by an Equity Support Person of their choice, who may be, but is not required to be, an attorney; however, the Equity Support Person may only participate in the proceedings as set forth in this policy.

The Investigator(s) will make reasonable efforts to conduct interviews with the Parties and relevant witnesses, obtain available evidence and identify sources of expert information, if necessary. The Investigator(s) will provide an investigative report to the Equity Officer. This report may contain the Investigator's observations regarding the credibility of the Complainant, the Respondent, and any witnesses interviewed.

The final investigative report will fairly summarize the relevant evidence.

All investigations will be thorough, reliable and impartial. All interviews shall be recorded. In the event that recording is not possible due to technological issues, the investigator shall take thorough notes and such notes shall be provided to the Parties in lieu of recordings. The investigator shall document the reason the recording was not possible and such documentation shall become part of the Record of the Case.

The investigation of reported discrimination or harassment should be completed expeditiously, normally within thirty (30) business days of the filing of the Complaint. Investigation of a Complaint may take longer based on the nature and circumstances of the Complaint.

H.M. Impact of Optional Report to Law Enforcement. A delay may also occur when criminal charges on the basis of the same behaviors that invoke this process are being investigated, to allow for evidence collection by the law enforcement agency. However, University action will not typically be altered or precluded on the grounds that civil cases or criminal charges involving the same incident have been filed or that such charges have been dismissed or reduced.

The Equity Officer will not wait for the conclusion of a criminal investigation or criminal proceeding to begin the Equity Resolution process. However, an Equity investigation and resolution process may be temporarily delayed for good cause, which can include concurrent law enforcement activity. In such instances, written notice of the delay or extension with reasons for the action will be sent to each Party.

If delayed, the Equity Officer will promptly resume the Equity investigation as soon as notified by the law enforcement agency that it has completed the evidence-gathering process. The Equity Officer will implement appropriate supportive measures during the law enforcement agency's investigation period to provide for the safety of all Parties, the University community and the avoidance of retaliation, discrimination, or harassment.

N. Summary Resolution. During or upon completion of investigation, the Equity Officer will review the investigation which may include meeting with the Investigator(s). The investigative report is not provided to the Parties during Summary Resolution, but is provided to the Parties at either the Administrative Resolution or Hearing Panel Resolution. Based on that review, the Equity Officer will make a summary determination whether, based on the evidence gathered, there is a sufficient basis to proceed with the Complaint that the Respondent is responsible for violating the University's Anti-Discrimination Policies.

If the Equity Officer determines that there is a sufficient basis to proceed with the Complaint, then the Equity Officer will direct the process to continue. The Complaint

will then be resolved through either Conflict Resolution, Administrative Resolution, or Hearing Panel Resolution. There is no right to request reconsideration or appeal the summary determination to continue the process.

If the Equity Officer determines that there is an insufficient basis to proceed with the Complaint, then the process will end and the Complainant and Respondent will simultaneously be sent written notification of the determination and advised of their right to request reconsideration. The Equity Officer may counsel and suggest monitoring or training opportunities to correct for inappropriate behavior that does not rise to the level of a violation. ~~Upon a summary determination ending the process, the University will promptly send written notice of the summary determination and reason(s) therefor simultaneously to the Parties.~~

~~Upon a summary determination ending the process, the University will promptly send written notice of the summary determination and reason(s) therefor simultaneously to the Parties.~~

The Parties may request that the Equity Resolution Appellate Officer reconsider appeal a summary determination ending the process in accordance with Section 7, by filing a written request with the Equity Resolution Appellate Officer within five (5) business days of notice of the summary determination. If the Equity Resolution Appellate Officer decides there is a sufficient basis to proceed with the Complaint, if the summary determination ending the process is reversed, the Equity Resolution Appellate Officer will reverse the determination ending the process and direct the process to continue pursuant to this policy. The Equity Resolution Appellate Officer will simultaneously send the Parties notice of their decision. This decision to continue the process lies in the sole discretion of the Equity Resolution Appellate Officer and such decision is final. Further reconsideration of such decision is not permitted.

If the Equity Resolution Appellate Officer agrees with the summary determination ending the process by the Equity Officer that there is not a sufficient basis to proceed with the Complaint, then the process will end and the Complainant and the Respondent will simultaneously be sent written notification of the decision. This decision to end the process lies in the sole discretion of the Equity Resolution Appellate Officer and such decision is final. Further reconsideration of such decision is not permitted. -

M-O. Conflict Resolution. The Parties may choose to engage in Conflict Resolution at any time during the Equity Resolution Process. The decision of the Parties to engage in Conflict Resolution must be voluntary, informed, and in writing. The Parties are not required to engage in Conflict Resolution as a condition of enrollment or continuing enrollment, or employment or continuing employment, or enjoyment of any other right. The Parties are not required to waive their right to an investigation of a Complaint or a right to a hearing. It is not necessary to pursue Conflict Resolution prior to pursuing the Administrative or Hearing Panel Resolution Process and either Party can stop the Conflict Resolution Process at any time and request either the Administrative Resolution Process or Hearing Panel Resolution Process. Conflict Resolution is never available to resolve allegations that an employee sexually harassed or engaged in sexual misconduct with a student. Upon receiving a request for Conflict Resolution, the Equity Officer will determine if Conflict Resolution is appropriate based on the willingness of the Parties, the nature of the conduct at issue and the susceptibility of the conduct to Conflict Resolution. In Conflict Resolution, which includes mediation or facilitated dialogue, a neutral facilitator will foster dialogue with the Parties to an effective resolution, if possible. The Complainant's and the Respondent's Equity Support Person may attend the

Conflict Resolution meeting. The Parties will abide by the terms of the agreed upon resolution. Failure to abide by the terms of the agreed upon resolution may be referred to the Equity Officer for review and referral to the appropriate University Process for discipline or sanctions. The Equity Officer will keep records of any Conflict Resolution that is reached.

In the event the Parties are unable to reach a mutually agreeable resolution, the matter will be referred back to the Administrative or Hearing Panel Resolution process. The content of the Parties' discussion during the Conflict Resolution Process will be kept confidential in the event the matter proceeds to the Administrative or Hearing Panel Resolution processes. The Parties' agreement to participate in, refusal to participate in, or termination of participation in Conflict Resolution shall not be factors in any subsequent decisions regarding whether a policy violation occurred. Among the resolutions which may be reached at this stage (or at any point prior to a finding through Administrative or Hearing Panel Resolution), the Respondent may voluntarily request to permanently separate from the University of Missouri System. If the Equity Officer accepts the Respondent's proposal, the Respondent must sign a Voluntary Permanent Separation and General Release agreement to effectuate their separation and terminate the Equity Resolution process.

N.P. _____ Procedural Details for Administrative Resolution and Hearing Panel Resolution. For both the Administrative Resolution and Hearing Panel Resolution, which are described in more detail below, the following will apply:

1. The standard of proof will be "preponderance of the evidence," defined as determining whether evidence shows it is more likely than not that a policy violation occurred.
2. The Respondent is presumed not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the Equity Resolution process.
3. The decision-maker has the discretion to determine the relevance of any witness or documentary evidence and may exclude information that is irrelevant, immaterial, cumulative, or more prejudicial than informative. In addition, the following rules shall apply to the introduction of evidence:
 - a. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
 - b. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the decision-maker.
 - c. Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the decision-maker.
 - d. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's

- capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
- e. The decision-maker shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
4. The Respondent may not directly question the Complainant and the Complainant may not directly question the Respondent. However, if both Complainant and Respondent request the opportunity, direct questioning between the Parties will be permitted in the Hearing Panel Resolution Process. Otherwise written questions will be directed to the Chair in the Hearing Panel Resolution Process, and those questions deemed appropriate and relevant will be asked on behalf of the requesting Party.
 5. In the Administrative Resolution Process, the Respondent and the Complainant may provide a list of questions for the decision-maker to ask the other Party. If those questions are deemed appropriate and relevant, they may be asked on behalf of the requesting Party; answers to such questions will be shared with the requesting Party.
 6. At any time prior to the deadline in the Notice of Administrative Resolution, the Complainant and/or the Respondent may request that the Complaint shift from the Administrative Resolution process to the Hearing Panel Resolution process. Upon receipt of such timely request from either Party, the Complaint will shift to the Hearing Panel Resolution Process.
 7. The Resolution Processes may proceed regardless of whether the Respondent chooses to participate in the investigation, the finding or the hearing.
 8. The Administrative Resolution or Hearing Panel Resolution Process will normally be completed within a reasonably prompt time period, not to exceed one hundred twenty (120) days, following the Equity Officer's receipt of a Complaint. Unusual delays will be promptly communicated to both Parties.
 9. For good cause, the decision-maker may, in their discretion, grant reasonable extensions to the time frames and limits provided.

9.0. **Administrative Resolution:**

1. Administrative Resolution can be pursued for any behavior that falls within the University's Anti-Discrimination Policies. Administrative Resolution may be used when both Parties elect to resolve the Complaint using the Administrative Resolution Process.
2. The Administrative Resolution process consists of:
 - a. A prompt, thorough and impartial investigation;
 - b. A separate meeting with each Party and their Equity Support Person, if any, and the decision-maker, if requested;
 - c. A written finding by the decision-maker on each of the alleged policy violations:
 - (1) For Faculty Respondents by the Provost (or Designee)
 - (2) For Student/Student Organization Respondents by the Equity Officer
 - d. A written finding on sanctions for findings of responsibility:
 - (1) For Faculty Respondents by the Provost
 - (2) For Student/Student Organization Respondents by the Equity Officer

3. At least fifteen (15) business days prior to meeting with the decision-maker, or if no meeting is requested, at least fifteen (15) business days prior to the decision-maker rendering a finding(s), the decision-maker will send a letter (Notice of Administrative Resolution) to the Parties containing the following information:
 - a. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
 - b. The name of the decision-maker.
 - c. Reference to or attachment of the applicable procedures.
 - d. A copy of the final investigative report.
 - e. The option and deadline of ten (10) business days from the date of the notice to request a meeting with the decision-maker.
 - f. An indication that the Parties may have the assistance of an Equity Support Person of their choosing at the meeting with the decision-maker, though the Equity Support Person's attendance at the meeting is the responsibility of the respective Parties.
 - g. The option and the deadline of ten (10) business days from the date of the Notice to request in writing that the matter be referred to the Hearing Panel Resolution process. If neither Party requests the Hearing Panel Resolution Process within the required time period, the matter will be decided through the Administrative Resolution Process and the right to the Hearing Panel Resolution Process is waived.
4. The Notice of Administrative Resolution will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person 2) emailed to the individual to their University-issued email account or 3) when sent via the alternate method of notification specified by the Party.
5. Within ten (10) business days from the date of the Notice of Administrative Resolution, the Parties have the right to have the matter referred to the Hearing Panel Resolution Process. If neither Party requests the Hearing Panel Resolution Process within the required time period, the matter will be decided through the Administrative Resolution Process and the right to the Hearing Panel Resolution Process is waived.
6. The decision-maker can, but is not required to, meet with and question the Investigator and any identified witnesses. The decision-maker may request that the Investigator conduct additional interviews and/or gather additional information. The decision-maker will attempt to meet separately with the Complainant and the Respondent, and their Equity Support Person, if any, to review the alleged policy violations and the investigative report. The Respondent may choose to admit responsibility for all or part of the alleged policy violations at any point in the process. If the Respondent admits responsibility, in whole or in part, the decision-maker will render a finding that the individual is in violation of University policy for the admitted conduct. For any disputed violations, the decision-maker will render a finding utilizing the preponderance of the evidence standard. For Faculty Respondents, the Provost's Designee may recommend appropriate sanctions and remedial actions but only the Provost will find sanctions or remedial actions. The findings and sanctions are subject to appeal.
7. The decision-maker will inform the Respondent and the Complainant simultaneously of the finding on each of the alleged policy violations and the finding of sanctions, if applicable, in writing by email to the Party's University-

issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person 2) emailed to the individual to their University-issued email account or 3) when sent via the alternate method of notification specified by the Party.

8. Either Party may appeal a decision under Administrative Resolution in accordance with Section T of this policy.

P-R. **Hearing Panel Resolution**

1. **Equity Resolution Hearing Panelist Pool.** Each University will create and annually train a pool of not less than five (5) faculty and five (5) administrators and/or staff to serve as hearing panel members in the Hearing Panel Resolution Process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Panelists are selected by the Chancellor (or Designee) and serve a renewable one-year term. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University.
The Chancellor (or Designee) will select a Hearing Panelist Pool Chair (“Pool Chair”). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint. Administrators, faculty, and staff will be removed from the Hearing Panelist Pool if they fail to satisfy the annual training requirements, as determined by the Equity Officer. Under such circumstances, the Equity Officer will notify the Chancellor (or Designee), who will inform the administrator, faculty, or staff member of the discontinuation of their term.
2. **Equity Resolution Hearing Panel (“Hearing Panel”).** When a Complaint is not resolved through the Administrative Resolution Process, the Hearing Panelist Pool Chair will randomly select three (3) members from the Hearing Panelist Pool to serve on the specific Hearing Panel. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. Up to two (2) alternates may be designated to sit in throughout the process as needed. The University reserves the right to have its attorney present during the hearing and during deliberations to advise the Hearing Panel.
3. **Notice of Hearing.**
 - a. At least twenty (20) business days prior to the hearing, the Equity Officer will send a letter (Notice of Hearing) to the Parties with the following information:
 - (1) A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
 - (2) A description of or attachment of the applicable procedures.
 - (3) A statement that the Parties may have the assistance of an Equity Support Person of their choosing, at the hearing; at the hearing, though the Equity Support Person’s attendance at the hearing is the responsibility of the respective Parties.
 - (4) The time, date and location of the hearing.
 - (5) A list of the names of each of the Hearing Panel members and

alternates, and information on how to raise an objection to any member of the Hearing Panel and the timeline in which to raise any objections.

(6) A copy of the final investigative report and exhibits.

(7) Notification to the Parties that all of the evidence gathered in the course of the investigation that is directly related to the allegations is available to the Parties and instructions regarding how to request access to that information.

(8) Notice that the Parties may request a virtual hearing and/or any necessary accommodations.

- b. The Notice of Hearing letter will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.

4. Pre-Hearing Witness List and Documentary Evidence.

- a. At least fifteen (15) business days prior to the hearing, the Complainant and Respondent will provide to the Investigator a list of the names of the proposed witnesses and copies of all proposed documentary evidence that a Party intends to call or use at the hearing.
- b. At least ten (10) business days prior to the hearing, the Investigator will provide to each Party the names of proposed witnesses and proposed documentary evidence that the other Party intends to call or use at the hearing.
- c. No employee or student, directly or through others, should take any action which may interfere with the investigation or hearing procedures. Employees and students are prohibited from attempted or actual intimidation or harassment of any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.
- d. At least five (5) business days prior to the hearing date, the final investigative report and all exhibits will be provided to the Hearing Panel members.

5. Objection to or Recusal of Hearing Panel Member.

- a. Hearing Panel members shall not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent. If a Hearing Panel member feels that they have a conflict of interest or bias, or cannot make an objective determination, they must recuse themselves from the proceedings in advance of the hearing.
- b. The Parties will have been given the names of the Hearing Panel members in the Notice of Hearing. Should any Complainant or Respondent object to any panelist, they must raise all objections, in writing, to the Equity Officer at least fifteen (15) business days prior to the hearing.
- c. Hearing panel members will only be unseated and replaced if the Equity Officer concludes that good cause exists for the removal of a panel member. Good cause may include, but is not limited to, bias that would preclude an impartial hearing or circumstances in which the Hearing Panel member's involvement could impact the Party's work or learning

environment due to current or potential interactions with the Hearing Panel member (e.g., a panel member being in the same department as either Party). If the Equity Officer determines that a Hearing Panel member should be unseated and replaced, then the Equity Officer will ask the Hearing Panel Pool Chair to randomly select another member from the pool to serve on the Hearing Panel. The Equity Officer will provide a written response to all Parties addressing any objections to the Hearing Panel members.

6. **Request for Alternative Attendance or Questioning Mechanisms.** The Chair of the Hearing Panel, in consultation with the Parties and investigators, may decide in advance of the hearing that certain witnesses do not need to be physically present if their testimony can be adequately summarized by the Investigator(s) in the investigative report or during the hearing. All Parties will have ample opportunity to present facts and arguments in full and question all present witnesses during the hearing, though formal cross-examination is not used between the Parties.
All hearings will be live. However, at the request of either Party, or by the University's designation, the live hearing may occur with the Parties located in separate rooms with technology enabling the Hearing Panel and their legal advisor, if any, the Parties and their Equity Support Person, and the Investigator, to simultaneously see and hear the Party or the witness answering questions. Should any hearing take place in this manner, the Equity Officer (or Designee) shall be in charge of the technology during the hearing. The University will make reasonable accommodations for the Parties in keeping with the principles of equity and fairness.
7. **Requests to Reschedule the Hearing Date.** For good cause, the Chair of the Hearing Panel may grant requests to reschedule the hearing date.
8. **Conduct of Hearing.** The Chair of the Hearing Panel ("Chair" in this subsection) shall preside at the hearing, call the hearing to order, call the roll of the Hearing Panel and alternates in attendance, ascertain the presence or absence of the Investigator, the Complainant and the Respondent, confirm receipt of the Notice of Allegations and Notice of Hearing by the Parties, report any extensions requested or granted, and establish the presence of any Equity Support Persons. Formal rules of evidence shall not apply.

a. **Order of Evidence.** The order of evidence shall be the following:

(1) **Investigator's Report and Testimony.** The Investigator(s) will first present the written investigative report and may give a narrative report of the investigation, and then be subject to questioning by the Complainant, the Respondent and the Hearing Panel. The Investigator(s) may also call witnesses who will be subject to questioning by the Investigator, the Complainant, the Respondent and the Hearing Panel. The Investigator may also submit documentary evidence. The investigator(s) will remain present during the entire hearing process.

(2) **Complainant's Evidence.** The Complainant may give testimony and be subject to questioning by the Investigator, the Respondent (through the Hearing Panel Chair as discussed in Section 600.040.P above) and the Hearing Panel. The Complainant may also call and question witnesses who may also then be questioned by the Respondent, the Investigator and the Hearing Panel. The Complainant may also submit documentary evidence.

(3) **Respondent's Evidence.** The Respondent may give testimony and be subject to questioning by the Investigator, the Complainant (through the Chair as discussed in Section 600.040.P above) and the Hearing Panel. The Respondent may also call and question witnesses who may also then be questioned by the Complainant, the Investigator and the Hearing Panel. The Respondent may also submit documentary evidence.

(4) **Record of Hearing.** The Chair of the Hearing Panel shall arrange for recording of the hearing, whether by audio, video, digital or stenographic means. The recording of the hearing will become part of the Record of the Case in the Section 600.040 Process.

9. **Process Rules and Rights of the Hearing Panel.**

- a. The relevancy and admissibility of any evidence offered at the hearing shall be determined by the Chair, whose ruling shall be final, unless the Chair shall present the question to the Hearing Panel at the request of a member of the Hearing Panel, in which event, the ruling of the Hearing Panel by majority vote shall be final.
- b. To question witnesses or evidence introduced by the Investigator, the Complainant or the Respondent at any time during the hearing process.
- c. To call additional witnesses and submit documentary evidence.
- d. To exclude a witness proposed by the Investigator, the Complainant or the Respondent if it is determined their testimony would be redundant or not relevant.
- e. To dismiss any person from the hearing who interferes with or obstructs the hearing or fails to abide by the rulings of the Chair of the Hearing Panel.
- f. To have present a legal advisor to the Hearing Panel, who shall be designated by the Office of the General Counsel.
- g. To have the names of witnesses that may be called by the Investigator, the Complainant and the Respondent, all relevant documentary evidence that may be introduced by those Parties, and a complete copy of the investigative report at least five (5) business days prior to the hearing.
- h. Procedural questions which arise during the hearing and which are not covered by these general rules shall be determined by the Chair, whose ruling shall be final unless the Chair shall present the question to the Hearing Panel at the request of a member of the Hearing Panel, in which event, the ruling of the Hearing Panel by majority vote shall be final.

10. **Findings of the Hearing Panel.**

- a. The Hearing Panel will deliberate with no others present, except any legal advisor to the Hearing Panel, to find whether the Respondent is responsible or not responsible for the policy violation(s) in question. The Hearing Panel will base its finding on a preponderance of the evidence (i.e., whether it is more likely than not that the Respondent committed each alleged violation).
- b. If a Student or Student Organization Respondent is found responsible by a majority of the Hearing Panel, the Hearing Panel will determine the appropriate sanctions which will be imposed by the Equity Officer. If a Faculty Respondent is found responsible by a majority of the Hearing Panel, the Hearing Panel will recommend appropriate sanctions to the Provost, who will determine and impose the appropriate sanctions.

- c. The Hearing Panel Chair will prepare a written determination regarding responsibility ("Hearing Panel Decision") and deliver it to the Provost (or Designee) (for Faculty Respondents) or the Equity Officer (for Student Respondents) detailing the following:
- (1) Identification of the allegations potentially constituting discrimination or harassment, as defined in CRR 600.010, and the determination of the Hearing Panel.
 - (2) A description of the procedural steps taken from the receipt of the Complaint through the determination, including any notifications to the Parties, interviews with Parties and witnesses, site visits, methods used to gather other evidence and hearings held;
 - (3) Findings of fact supporting the determination and any information the Hearing Panel excluded from its consideration and why;
 - (4) Conclusions regarding the application of the University's Anti-Discrimination policies to the facts;
 - (5) A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility;
 - (6) For Student Respondents, any disciplinary sanctions to be imposed on the Respondent, and whether remedies designed to restore or preserve equal access to the University's education programs or activities will be provided by the University to the Complainant;
 - (7) For Faculty Respondents, any disciplinary sanctions the Hearing Panel recommends to be imposed on the Respondent and any recommended remedies designed to restore or preserve equal access to the University's education programs or activities to be provided by the University to the Complainant; and
 - (8) The procedures and permissible bases for the Complainant and the Respondent to appeal.
- d. The Hearing Panel Decision will be provided to the Equity Officer (for Student Respondents) within five (5) business days of the end of deliberations. The Hearing Panel Decision will be provided to the Provost (or Designee) (for Faculty Respondents) within five (5) business days of the end of deliberations.
- e. The Provost (or Designee) (for Faculty Respondents) or the Equity Officer (for Student Respondents) will inform the Respondent and the Complainant simultaneously of the Hearing Panel Decision and the Provost's finding of sanctions, if applicable, within five (5) business days of receipt of the Hearing Panel Decision; such notification will be sent in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person 2) emailed to the individual to their University-issued email account or 3) when sent via the alternate method of notification specified by the Party.
- f. The Hearing Panel Decision will become final either on the date that the Parties are provided with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.
- g. The Equity Officer is responsible for effective implementation of any remedies.

Q.S. **Sanctions and Remedial Actions.**

1. **Factors Considered When Finding Sanctions/Remedial Actions.** When recommending or imposing sanctions and/or remedial actions, factors to consider include but are not limited to the following:
 - a. The nature, severity of, and circumstances surrounding the violation;
 - b. The disciplinary history of the Respondent;
 - c. The need for sanctions/remedial actions to bring an end to the conduct;
 - d. The need for sanctions/remedial actions to prevent the future recurrence of conduct;
 - e. The need to remedy the effects of the conduct on the Complainant and the University community; and
 - f. Any other information deemed relevant by the decision-maker(s).
2. **Types of Sanctions.**
 - a. The following sanctions may be imposed upon any Faculty Member found to have violated the University's Anti-Discrimination Policies. Multiple sanctions may be imposed for any single violation. Sanctions include but are not limited to:
 - (1) Warning - verbal or written;
 - (2) Performance Improvement Plan;
 - (3) Required counseling;
 - (4) Required training or education;
 - (5) Loss of annual pay increase;
 - (6) Loss of supervisory responsibility;
 - (7) Recommendation of discipline in a training program, including recommendation of termination, suspension or other corrective or remedial actions;
 - (8) For Non-Regular Faculty, immediate termination of term contract and employment;
 - (9) For Regular, Untenured Faculty, immediate termination of term contract and employment. Notice of not reappointing would not be required;
 - (10) Suspension without pay;
 - (11) Non-renewal of appointment; and
 - (12) For Regular, Tenured Faculty, suspension without pay, removal from campus and referral to the Chancellor to initiate dismissal for cause as detailed in Section 310.060 of the Collected Rules and Regulations.
 - b. The following sanctions may be imposed upon any Respondent Student or Respondent Student Organization found to have violated the University's Anti-Discrimination Policies. Multiple sanctions may be imposed for any single violation. Sanctions include but are not limited to:
 - (1) **Warning.** A notice in writing to the Respondent Student or Respondent Student Organization that there is or has been a violation of institutional regulations.
 - (2) **Probation.** A written reprimand for violation of specified regulations. Probation is for a designated period of time and includes

the probability of more severe sanctions if the Respondent Student or Respondent Student Organization is found to be violating any institutional regulation(s) during the probationary period.

(3) **Loss of Privileges.** Denial of specified privileges for a designated period of time.

(4) **Restitution.** Compensating the University for loss, damage, or injury to University property. This may take the form of appropriate service and/or monetary or material replacement.

(5) **Discretionary Sanctions.** Work assignments, service to the University, or other related discretionary assignments, or completion of educational programming or counseling.

(6) **Residence Hall Suspension.** Separation of the Respondent Student from the residence halls for a definite period of time, after which the Respondent Student is eligible to return. Conditions for readmission may be specified.

(7) **Residence Hall Expulsion.** Permanent separation of the Respondent Student from the residence halls.

(8) **Campus Suspension.** Respondent Student is suspended from being allowed on a specific University campus for a definite period of time. Logistical modifications consistent with the sanction imposed, may be granted at the discretion of the Chief Student Affairs Officer (or Designee).

(9) **University System Suspension.** Separation of the Respondent Student from the University System for a definite period of time, after which the Respondent Student is eligible to return. Conditions for readmission may be specified.

(10) **Withdrawal of Recognition.** Respondent Student Organization loses its Official Approval as a recognized student organization. May be either temporary or permanent.

(11) **University System Expulsion.** Permanent and complete separation (i.e., not eligible for online courses either) of the Respondent Student from the University System.

- c. **Remedial Actions.** The following remedial actions may also be imposed to address the effects of the violation(s) of the University's Anti-Discrimination Policies on the Complainant. Such remedial actions will vary depending on the circumstances of the policy violation(s), but may include:

(1) Where the Complainant is a student:

- (a) Permitting the student to retake courses;
- (b) Providing tuition reimbursement;
- (c) Providing additional academic support;
- (d) Removal of a disciplinary action; and
- (e) Providing educational and/or on-campus housing accommodations.

(2) Where the Complainant is an employee:

- (a) Removal of a disciplinary action;
- (b) Modification of a performance review;
- (c) Adjustment in pay;
- (d) Changes to the employee's reporting relationships; and
- (e) Workplace accommodations.

In addition, the University may offer or require training and/or monitoring as appropriate to address the effects of the violation(s) of the University's Anti-discrimination Policies.

d. **When Implemented.**

(1) Sanctions imposed against Student Respondents are stayed until the end of any appeal period or once an appeal, if any, is final, unless the Equity Officer determines the sanctions should be imposed immediately.

(2) Sanctions against Staff Respondents shall be implemented immediately.

(3) Sanctions against Faculty Respondents shall be implemented immediately; however, for Regular, Tenured Faculty Respondents, the sanction of suspension without pay will be a suspension with pay while the appeal is pending, but not for the duration of any dismissal for cause proceedings.

(4) When the sanction is termination, actual termination will be stayed until the end of any appeal period or once an appeal, if any, is final; however, the Respondent will be suspended without pay during any appeal period or once an appeal, if any, is final.

3. **Withdrawal While Charges Pending.** Should a Respondent decide to leave the University and not participate in the investigation and/or hearing without signing a Voluntary Permanent Separation and General Release Agreement and without the approval of the Equity Officer, the Complaint may be dismissed, or the Equity Officer may determine that the process will nonetheless proceed in the Respondent's absence to a reasonable resolution and, if the Respondent is found responsible, the Respondent will not be permitted to return to the University unless all sanctions have been satisfied.

~~R-T. **Appeal.** Both Complainant and Respondent are allowed to appeal the summary determination ending the process, or a determination regarding responsibility in the Administrative Resolution Process or the finding(s) in the Hearing Panel Resolution Process.~~

~~1. **Grounds for appeal.** Grounds for appeals are limited to the following:~~

~~a. Both Complainant and Respondent are allowed to appeal the summary determination ending the process, or a determination regarding responsibility in the Administrative Resolution Process or the finding(s) in the Hearing Panel Resolution Process. Grounds for appeals are limited to the following:~~

~~b.a.~~ A procedural irregularity that affected the outcome of the matter (e.g., material deviation from established procedures, etc.);

~~e-b.~~ To consider new evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made that could affect the outcome of the matter;

~~d-c.~~ The Equity Officer, Investigator(s), or decision-maker(s) had a conflict of interest or bias for or against Complainants or Respondents generally or the individual Complainant or Respondent that affected the outcome of the matter; or

~~e-d.~~ The sanctions fall outside the range typically imposed for this offense, or for the cumulative conduct record of the Respondent.

2. **Requests for Appeal.** Both the Complainant and the Respondent may appeal to the Equity Resolution Appellate Officer. The Equity Resolution Appellate

Officer must not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent; if the Equity Resolution Appellate Officer does not believe that they can make an objective decision about an appeal, they should recuse themselves. For Student and Student Organization Respondents, the Chancellor (or Designee) shall appoint an alternate Equity Resolution Appellate Officer to hear the pending appeal; For Faculty Respondents, the President (or Designee) shall appoint an alternate Equity Resolution Appellate Officer to hear the pending appeal. All requests for appeal must be submitted in writing to the Equity Resolution Appellate Officer within five (5) business days of the delivery of the Notice of Administrative Resolution or Hearing Panel Decision. When any Party requests an appeal, the other Party will be notified and receive a copy of the request for appeal from the Equity Resolution Appellate Officer.

3. **Response to Request for Appeal.** Within five (5) business days of the delivery of the notice and copy of the request for appeal, the non-appealing Party may file a response to the request for appeal. The response can address that sufficient grounds for appeal have not been met and/or the merits of the appeal.
4. **Review of the Request to Appeal.** The Equity Resolution Appellate Officer will make an initial review of the appeal request(s). The Equity Resolution Appellate Officer will review the request for appeal to determine whether:
 - a. The request is timely;
 - b. The appeal is on the basis of any of the articulated grounds listed above; and
 - c. When viewed in the light most favorable to the appealing Party, the appeal states grounds that could result in an adjusted finding or sanction.

The Equity Resolution Appellate Officer will reject the request for appeal if any of the above requirements are not met. The decision to reject the request for appeal is final and further appeals and grievances are not permitted. The Equity Resolution Appellate Officer will render a written decision whether the request for appeal is accepted or rejected within fifteen (15) business days from receipt of the request for appeal. If no written decision is provided to the Parties within fifteen (15) business days from receipt of the request, the appeal will be deemed accepted.

5. **Review of the Appeal.** If all three requirements for appeal listed in Paragraph 4 above are met, the Equity Resolution Appellate Officer will accept the request for appeal and proceed with rendering a decision on the appeal applying the following additional principles:
 - a. Appeals are not intended to be full re-hearings of the Complaint and are therefore deferential to the original findings. In most cases, appeals are confined to a review of the written documentation and Record of the Case, Administrative Resolution determination, or Hearing Panel Resolution, and relevant documentation regarding the grounds for appeal. Appeals granted based on new evidence should normally be remanded to the original decision-maker for reconsideration.
 - b. The Equity Resolution Appellate Officer will normally render a written decision on the appeal to all Parties within ten (10) business days from accepting the request for appeal. In the event the Equity Resolution Appellate Officer is unable to render a written decision within ten (10) business days from accepting the request for appeal, the Equity

Resolution Appellate Officer will promptly notify the Parties in writing of the delay.

c. Once an appeal is decided, the outcome is final. Further appeals and grievances are not permitted.

6. **Extensions of Time.** For good cause, the Equity Resolution Appellate Officer may grant reasonable extensions of time (e.g.: 7-10 business days) to the deadlines in the appeal process. The Equity Resolution Appellate Officer will notify the Parties in writing if such extensions are granted.

S.U. Failure to Complete Sanctions/Comply with Interim and Long-term Remedial Actions. All Respondents are expected to comply with all sanctions and remedial actions within the time frame specified. Failure to follow through on these sanctions and remedial actions by the date specified, whether by refusal, neglect or any other reason, may result in additional sanctions and remedial actions through the applicable process.

T.V. Records. In implementing this policy, records of all Complaints, resolutions (including Conflict resolution and result therefrom, and Administrative Resolution and result therefrom), and hearings will be kept by the Equity Officer. For the purpose of review or appeal, the Record of the Case will be accessible at reasonable times and places to the Respondent and the Complainant. The Record of the Case will be kept for seven (7) years following final resolution.

Each Equity Officer, including the Equity Officer for the academic medical center, shall maintain statistical, de-identified data on the race, gender and age of each Party to a Complaint for that university/ academic medical center, and will report such data on an annual basis to the President of the University of Missouri. Additionally, statistical data relating to each university in the University of Missouri System shall be reported on an annual basis to that university's Chancellor and chief officers for human resources, student affairs, and diversity, equity and inclusion; the academic medical center shall report such statistical data for the academic medical center on an annual basis to the Executive Vice-Chancellor for Health Affairs. Data relating to the University of Missouri System shall be reported on an annual basis to the University of Missouri System's chief officers for human resources, student affairs, and diversity, equity and inclusion.

U.W. Dismissal for Cause Referral. If the recommended sanction for a Regular, Tenured Faculty member is referral to the Chancellor to initiate Dismissal for Cause, the Record of the Case will be forwarded to the appropriate Faculty Committee on Tenure. Because the Dismissal for Cause proceeding is not a re-hearing of the Complaint, the Record of the Case will be included as evidence and the findings will be adopted for proceeding as detailed in Section 310.060: Procedures in Case of Dismissal for Cause in the Collected Rules and Regulations.

V.X. Retaliation. The University strictly prohibits retaliation against any person for making any good faith report of discrimination or harassment, or for filing, testifying, assisting, or participating in any investigation or proceeding involving allegations of discrimination or harassment. For matters involving discrimination or harassment other than sex discrimination under this policy, employees have an obligation to cooperate with University officials including the Investigator, Equity Officer, Provost (or Designee), Hearing Panel, and/or the Equity Resolution Appellate Officer.

For matters involving sex discrimination under this policy, no person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by law, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing. Intimidation, threats, coercion, or discrimination, including charges against an individual for policy violations that do not

involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or Complaint of sexual harassment, for the purpose of interfering with any right or privilege secured by law, constitutes retaliation.

The University must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a Complaint of sexual harassment, any Complainant, any individual who has been reported to be the perpetrator of sex discrimination, any Respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of applicable law, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder. Complaints alleging retaliation may be filed with the Equity Officer in accordance with CRRs 600.010, 600.040, and 600.050.

Any person who engages in such retaliation shall be subject to disciplinary action, up to and including expulsion or termination, in accordance with applicable procedures. Any person who believes they have been subjected to retaliation is encouraged to notify the Equity Officer. The University will promptly investigate all complaints of retaliation in accordance with this policy.

The exercise of rights protected under the First Amendment does not constitute retaliation prohibited under this section.

Charging an individual with a policy violation for making a materially false statement in bad faith in the course of any proceedings under this policy does not constitute retaliation provided, however that a determination regarding responsibility, alone, is not sufficient to conclude that any Party made a materially false statement in bad faith.

600.040 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization - for matters involving conduct alleged to have occurred on or after August 14, 2020

Bd. Min. 2-5-15; Revised 7-28-20 with effective date of 8-14-20.

- A. **General.** The University will promptly and appropriately respond to any report of violation of the University's Anti-Discrimination policies. The procedures described below apply to such reports when the Respondent is a Faculty Member(s), a student(s), or a student organization. Further, when the report involves allegations against the President or a Chancellor, upon consultation between the Office of the General Counsel and the Equity Officer, the investigation may be conducted by an outside investigator. This procedure does not govern complaints alleging conduct that would be defined as sexual harassment under Section 600.020 of the Collected Rules and Regulations.
- B. **Jurisdiction.** Jurisdiction of the University of Missouri generally shall be limited to conduct which occurs on the University of Missouri premises or at University-sponsored or University-supervised functions. However, the University may take appropriate action, including, but not limited to, the imposition of sanctions under Section 600.040 of the Collected Rules and Regulations against Faculty Members, Students, or Student Organizations for conduct occurring in other settings, including off-campus, (1) in order to protect the physical safety of students, employees, and visitors or other members of the University community, or (2) if there are effects of the conduct that interfere with or limit any person's ability to participate in or benefit from the University's educational programs, activities or employment, or (3) if the conduct is related to the Faculty Member's fitness or performance in the professional capacity of teacher or researcher or (4) if the conduct occurs when the Faculty Member is serving in the role of a University employee.

If a Complainant simultaneously alleges or the investigation suggests violations of the University's Anti-Discrimination Policies and (1) violation, misinterpretation, or arbitrary application of another written University rule, policy, regulation, or procedure which applies personally to the Faculty member; and/or (2) that there has been an infringement on the academic freedom of the Faculty member, the University shall have the authority to investigate and take appropriate action regarding each of the Complainant's allegations pursuant to this Equity Resolution Process. In conducting such investigations, the Provost, Equity Officer, and/or the Investigator may consult with and/or seek guidance from the Human Resources staff or other appropriate administrators as necessary.

If a Complainant alleges or the investigation suggests that a student conduct policy violation occurred in concert with the alleged violation of the University's Anti-Discrimination Policies, the University shall have the authority to investigate and take appropriate action regarding each of the alleged violations of the student conduct policy pursuant to this Equity Resolution Process. In conducting such investigations, the Equity Officer and/or the Investigator may consult with and/or seek guidance from the Student Conduct Coordinator or Residential Life Coordinator as appropriate.

If a Complainant alleges or the investigation suggests that a discrimination or harassment policy violation as defined in Section 600.010 of the Collected Rules and

Regulations occurred in concert with an alleged violation of the University's Title IX policies, the University shall investigate and take appropriate action regarding the alleged violation(s) of the discrimination or harassment policy pursuant to University's Title IX process. If the allegation(s) in the Complaint that fall under the Title IX policy are dismissed, the University may discontinue the process under the Title IX policy and then proceed under this equity resolution process for any remaining reports of alleged violation(s) of Section 600.010 in the Complaint.

At-Will Employment Status. Nothing contained in this policy is intended and no language contained herein shall be construed as establishing a "just cause" standard for imposing discipline, including but not limited to, termination of employment. Further, nothing contained in this policy is intended and no language contained herein shall be construed to alter in any manner whatsoever the at-will employment status of any at-will University employee.

C. **Definitions:**

1. **Administrative Resolution.** A voluntary resolution process where a decision-maker makes a finding on each of the alleged policy violations in a Complaint and a finding on sanctions and remedies without a hearing.
2. **Chair of the Hearing Panel ("Panel Chair").** A Chair of the Hearing Panel for a specific Complaint is designated by the Hearing Panelist Pool Chair. The Pool Chair may serve as the Chair of the Hearing Panel for a specific Complaint.
3. **Complainant.** "Complainant" refers to the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies chooses not to act as the Complainant in the resolution process or requests that the complaint not be pursued. If the University decides to pursue a report of discrimination by a visitor, third party or applicant through the applicable equity resolution process, the University will act as the Complainant. Former University Faculty or Staff members may act as the Complainant in the applicable equity resolution process only when their employment is terminated and they allege that the termination of employment was discriminatory. For any other allegations of discrimination by former University Faculty or Staff members, the University will appropriately respond to reports of a violation of the University's Anti-Discrimination policies and if the University decides to pursue a report of discrimination through the applicable equity resolution process, the University will act as the Complainant.
4. **Complaint.** A document prepared by the Equity Officer when a verbal or written report of alleged discrimination or harassment becomes known to the University, or a document filed and signed by a Complainant alleging discrimination or harassment against a Respondent and requesting that the University investigate the allegation.
5. **Conflict Resolution.** A voluntary resolution process using alternative dispute resolution mechanisms such as mediation, facilitated dialogue, or restorative justice.
6. **Equity Resolution Appellate Officer.** For Student(s) or Student Organization Respondents, a trained, senior-level administrator appointed by the Chancellor (or Designee) to hear all requests for reconsideration of summary determination and appeals stemming from the Equity Resolution Process. For Faculty Respondents, the Chancellor (or Designee).

7. **Equity Resolution Hearing Panel (“Hearing Panel”).** A group of three (3) trained Equity Resolution Hearing Panelist Pool members who serve as the Hearing Panel for a specific Complaint. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member.
8. **Equity Resolution Hearing Panelists Pool (“Hearing Panelist Pool”).** A group of at least five (5) faculty and five (5) administrators and/or staff selected by the Chancellor (or Designee) to serve as hearing panel members in the Hearing Panel Resolution process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University.
9. **Equity Officer.** The Equity Officer is a trained administrator designated by the Chancellor (or Designee) to receive and assist with the investigation and resolution of Complaints regarding violation of the University’s Anti-Discrimination Policies. All references to “Equity Officer” throughout this policy refer to the Equity Officer or the Equity Officer’s Designee.
10. **Equity Support Person:** An individual selected by a Party to provide support and guidance throughout the Equity Resolution Process. Each Party is allowed one Equity Support Person.
11. **Faculty Member.** For purposes of Section 600.040, Faculty Member includes all regular and non-regular academic staff appointments as defined in Sections 310.020 and 310.035 of the Collected Rules and Regulations.
12. **Hearing Panelist Pool Chair (“Pool Chair”).** The Hearing Panelist Pool Chair is selected by the Chancellor (or Designee). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Complaint. The Pool Chair may serve as a panel member for a specific Complaint.
13. **Hearing Panel Resolution.** Resolution of a Complaint by an Equity Resolution Hearing Panel making the finding on each of the alleged policy violations. In faculty matters, the Hearing Panel will make recommendations as to any sanctions, if applicable, and the Provost will make the finding on sanctions. In matters involving students or student organizations, the Hearing Panel will make a finding on sanctions and remedial actions.
14. **Investigators.** Investigators are trained individuals appointed by the Equity Officer to conduct investigations of the alleged violations of the University’s Anti-Discrimination Policies.
15. **Parties.** The Complainant and the Respondent are collectively referred to as the Parties.
16. **Record of the Case.** The Record of the Case in the Section 600.040 Process includes, when applicable: All Notices to the Parties, investigative report, recordings of Party and witness interviews, exhibits used at a hearing, the hearing record (an audio or audiovisual record of the hearing); any determination of dismissal of all or part of a Formal Complaint; the determination on each of the alleged policy violations and sanctions by either the Hearing Panel or Decision-maker; and the decision on the appeal, if any, including the request for appeal, any additional evidence submitted for the appeal, and written arguments of the parties.
17. **Report.** Any verbal or written communication or notice of an alleged violation of the University’s Anti-Discrimination Policies.

18. **Respondent.** "Respondent" refers to the Faculty Member(s) or student(s) or student organization alleged to have violated the University's Anti-Discrimination Policies.
 19. **Student.** A person having once been admitted to the University who has not completed a course of study and who intends to or does continue a course of study in or through one of the Universities of the University System. For the purpose of these rules, student status continues whether or not the University's academic programs are in session.
 20. **Student Organization.** A recognized student organization which has received Official Approval in accordance with Section 250.010 of the Collected Rules and Regulations. Three members of the organization may represent the student organization as the Party.
 21. **Summary Resolution.** Resolution of the Complaint upon a determination by the Equity Officer that there is an insufficient basis to proceed with the Complaint that the Respondent violated the University's Anti-Discrimination Policies.
 22. **University's Anti-Discrimination Policies.** The University's Anti-Discrimination Policies include the Equal Employment/Education Opportunity and Nondiscrimination Policy located at Section 600.010 of the Collected Rules and Regulations (CRR).
- D. **Making a Report.** Any person (whether or not the person reporting is the person alleged to be the victim of conduct that could constitute discrimination or harassment) may report discrimination or harassment to the Equity Officer. A report may be made in person, or at any time (including during non-business hours) by mail, by telephone, or by electronic mail, using the contact information listed for the Equity Officer, by an online portal set up by the University for this purpose, or by any other means that results in the Equity Officer receiving the person's verbal or written report. Individuals may also contact University police if the alleged offense may also constitute a crime. In order to foster reporting and participation, the University may provide amnesty to Parties and witnesses accused of minor student conduct violations ancillary to the incident.
- E. **Preliminary Contact and Inquiry.** Upon receiving a report, the Equity Officer shall promptly contact the Complainant to discuss the availability of supportive measures as defined herein, consider the Complainant's wishes with respect to supportive measures, inform the Complainant of availability of supportive measures with or without the filing of a Complaint, and explain to the Complainant the process for filing a Complaint. If the identity of the Complainant is unknown, the Equity Officer may conduct a limited investigation sufficient to identify the Complainant to the extent possible.
- In addition to making preliminary contact, the Equity Officer shall conduct a preliminary inquiry to gather enough information to make a threshold decision regarding whether the report describes a possible violation of the University's anti-discrimination policies.
- If the report describes a possible violation, the Equity Officer will refer the matter to the appropriate procedural process and provide appropriate supportive measures. If the report does not describe a possible violation, the matter will be referred to the appropriate non-Equity process. Under those circumstances, the Equity Officer may counsel and suggest monitoring or training opportunities to correct for inappropriate behavior that does not rise to the level of a violation.
- The preliminary inquiry shall be conducted promptly (typically within 7-10 business days) of receiving the report.
- F. **Filing a Complaint.**
A Complaint is a document prepared by the Equity Officer after a verbal or written

report of alleged discrimination or harassment becomes known to the University, or a document filed and signed by a Complainant alleging discrimination or harassment against a Respondent and requesting that the University investigate the allegation. As used herein, the phrase “document filed and signed by a complainant” means a document or electronic submission (such as by electronic mail or through an online portal provided for this purpose by the University) that contains the complainant’s physical or digital signature, or otherwise indicates that the Complainant is the person filing the Complaint.

All Complaints alleging discrimination or harassment under this policy will be investigated. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University’s Anti-Discrimination policies chooses not to act as the Complainant in the resolution process or requests that the Complaint not be pursued. If the University decides to pursue a report of discrimination by a visitor, third party or applicant through the applicable equity resolution process, the University will act as the Complainant. Where the Equity Officer prepares a Complaint, the Equity Officer is not a Complainant or otherwise a party under this policy.

The University may consolidate Complaints as to allegations of discrimination or harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one Party against the other Party where the allegations of discrimination or harassment, arise out of the same facts or circumstances. Where this process involves more than one Complainant or more than one Respondent, each Complainant and each Respondent shall be entitled and subject to all of the rights and obligations set forth herein.

G. Notice of Allegations

1. Upon receipt of a Complaint, the Equity Officer, will provide a written notice to the known Parties that includes the following:
 - a. A description of the University’s available Equity Resolution processes, including Conflict Resolution;
 - b. Notice of the allegations of discrimination and/or harassment, including sufficient details known at the time. Sufficient details include the identities of the parties involved in the incident, if known; the conduct allegedly constituting the discrimination and/or harassment; and the date and location of the alleged incident.
 - c. A statement that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the Equity Resolution process.
 - d. A statement notifying the Parties of the availability of supportive measures.
 - e. A statement notifying the Parties of their right to have an Equity Support Person of their choice, who may be, but is not required to be, an attorney.
 - f. A statement notifying the Parties that they may have an Equity Support Person selected by a Party accompany the Party to all meetings, interviews, and proceedings to provide support for the Party throughout the Equity Resolution Process.
 - g. A statement notifying the Parties that they will be permitted to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Complaint, including the evidence upon which the University does not intend to rely in reaching a

determination regarding responsibility and including inculpatory or exculpatory evidence whether obtained from a Party or other source.

- h. A statement notifying the Parties that they must be truthful when making any statement or providing any information or evidence to the University throughout the grievance process, and all documentary evidence must be genuine and accurate. False statements and fraudulent evidence by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or for disciplinary action pursuant to CRR 200.010 for students.
 - i. A statement that nothing in the Equity Process is intended to supersede nor expand any rights the individual may have under applicable state or federal statutory laws or the U.S. Constitution.
 - j. A statement informing a Party that all notices hereafter will be sent via their University-issued email account, unless they provide to the Equity Officer an alternate method of notification. If a Party does not have a University-issued email account, all notices hereafter will be via U.S. Mail unless they provide the Equity Officer with a preferred method of notification.
2. The Notice of Allegations will be made in writing to the Parties by email to the Party's University-issued email account, with a read-receipt or reply email requested. If a read-receipt or reply email is not returned within three (3) business days or the Party does not have a University-issued email account, the Notice of Allegations shall be sent via U.S. Mail postage pre-paid to the last known address of the Party. Notice also may be provided in person to either Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual, or 3) when mailed.

H. **Supportive Measures, Emergency Removal, Interim Suspension of Student Organization, and Administrative Leave**

1. **Supportive Measures.** Supportive measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a Complaint. These measures are designed to restore or preserve equal access to the University's education programs, activities or employment without unreasonably burdening the other Party, including measures designed to protect the safety of all Parties or the University's education environment, or deter discrimination and harassment. The University will maintain as confidential any supportive measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the supportive measures. The Equity Officer is responsible for the effective implementation of supportive measures. Supportive measures may include:
 - a. Referral and facilitating contact for the Complainant or Respondent for counseling or other support services.
 - b. Mutual restrictions on contact between the Parties.
 - c. Providing campus escort services to the Parties.
 - d. Increased security and monitoring of certain areas of the campus.
 - e. Adjusting the extracurricular activities, work schedules, work assignments, supervisory responsibilities, or work arrangements of the Complainant and/or Respondent, as appropriate.
 - f. If either Party is a student:

- (1) Referral of that Party to academic support services and any other services that may be beneficial to the Party.
 - (2) Adjusting the courses, assignments, and/or exam schedules of the Party.
 - (3) Altering the on-campus housing assignments, dining arrangements, or other campus services for the Party.
 - g. Providing limited transportation accommodations for the Parties.
 - h. Informing the Parties of the right to notify law enforcement authorities of the alleged incident and offering to help facilitate such a report.
2. **Emergency Removal.** The Equity Officer may implement a removal of a Respondent from the University's education program or activity on an emergency basis, if the Equity Officer, after conducting an individualized safety and risk analysis, determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of discrimination or harassment, justifies removal.
- a. In all cases in which an Emergency Removal is imposed, the Respondent will immediately be given notice and an opportunity to challenge the decision of the Equity Officer either prior to such Removal being imposed, or as soon thereafter as reasonably possible but no later than five (5) business days following the Removal. Any challenge by Respondent shall be made in writing and directed to the Equity Officer and must show cause why the Removal should not be implemented. The Equity Officer will forward the challenge to the Emergency Removal Appeal Individual/Committee, which will make a final decision on Removal within three (3) business days.
 - b. Violation of an Emergency Removal under this policy may be grounds for discipline under applicable University conduct policy.
3. **Interim Suspension of Student Organization.** The Equity Officer may suspend, on an interim basis, a Respondent Student Organization's operations, University recognition, access to and use of the University campus/facilities/events and/or all other University activities or privileges for which the Respondent Student Organization might otherwise be eligible, pending the completion of the Equity Process when the Equity Officer finds and believes from available information that the presence of the student organization on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student organization will be initiated within seven (7) business days.
4. **Administrative Leave.** The Equity Officer may implement an administrative leave for an employee in accordance with University Human Resources Policies. Administrative leave for an employee is not an Emergency Removal under this policy.
- I. **Employees and Students Participating in the Equity Resolution Process.** All University employees and students must be truthful when making any statement or providing any information or evidence to the University throughout the process, including but not limited to the Investigator, Equity Officer, Provost (or Designee), the Hearing Panel, and/or the Equity Resolution Appellate Officer, and all documentary evidence must be genuine and accurate. False statements or fraudulent evidence or refusal to cooperate with the Investigator, Equity Officer, Provost (or Designee), Hearing Panel, and/or the Equity Resolution Appellate Officer by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or if by a student may be the basis for disciplinary action pursuant to the provisions of CRR 200.010. However, this

obligation does not supersede nor expand any rights the individual may have under applicable state or federal statutory law or the U.S. Constitution. For purposes of this policy, "refusal to cooperate" does not include refusal to participate in any proceedings involving sex discrimination. The fact that a determination has been made that a Respondent has or has not violated any policy is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness.

No employee or student, directly or through others, should take any action which may interfere with the investigation. Employees and students are prohibited from attempting to or actually intimidating or harassing any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.

J. Rights of the Parties in the Equity Resolution Process

1. To be treated with respect by University officials.
2. To be free from retaliation.
3. To have access to University support resources (such as counseling and mental health services and University health services).
4. To request a no contact directive between the Parties.
5. To have an Equity Support Person of the Party's choice accompany the Party to all interviews, meetings, and proceedings throughout the Equity Resolution Process.
6. To refuse to have an allegation resolved through Conflict or Administrative Resolution Processes.
7. To receive prior to a hearing or other time of determination regarding responsibility, an investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and written response.
8. To have an opportunity to present a list of potential witnesses and provide evidence to the Investigator.
9. To have Complaints heard in substantial accordance with these procedures.
10. To receive written notice of any delay of the process or limited extension of time frames.
11. To be informed of the finding, rationale, sanctions and remedial actions.
12. To report the matter to law enforcement (if applicable) and to have assistance in making that report.
13. To have an opportunity to request reconsideration of the summary determination ending the process, and appeal the determination of a hearing panel or decision-maker.
14. When the Complainant is not the reporting Party, the Complainant has full rights to participate in any Equity Resolution Process.
15. Additional Rights for Students as a Party:
 - a. To request reasonable housing, living and other accommodations and remedies consistent with Section 600.040.H.
 - b. To receive amnesty for minor student misconduct that is ancillary to the incident, at the discretion of the Equity Officer.
16. Additional Rights for Hearing Panel Resolution:
 - a. To receive notice of a hearing.
 - b. To have the names of witnesses that may participate in the hearing and copies of all documentary evidence gathered in the course of the investigation and any investigative report prior to the hearing.

- c. To be present at the hearing, which right may be waived by either written notification to the Hearing Panel Chair or by failure to appear.
 - d. To have present an Equity Support Person during the hearing and to consult with such Equity Support Person during the hearing.
 - e. To request to have an Equity Support Person of the University's selection appointed for a Student Party where the Student Party does not have an Equity Support Person of their own choice at a hearing.
 - f. To testify at the hearing or refuse to testify at the hearing.
 - g. To have an equal opportunity to present witnesses and documents deemed relevant by the Hearing Panel Chair, and to question witnesses present and testifying at the hearing.
 - h. To request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other.
- K. **Role of Equity Support Persons.** Each Complainant and Respondent is allowed to have one Equity Support Person of their choice present with them for all Equity Resolution Process interviews, meetings and proceedings. The Parties may select whomever they wish to serve as their Equity Support Person, including an attorney or parent.
- If requested by a Student Party, the Equity Officer may assign an Equity Support Person to explain the Equity Resolution process and attend interviews, meetings and proceedings with a Student Party. University Equity Support Person(s) are administrators, faculty, or staff at the University trained on the Equity Resolution Process. The Parties may not require that the assigned Equity Support Person have specific qualifications such as being an attorney. An Equity Support Person cannot be called upon as a witness by a Party in a hearing to testify about matters learned while that individual was acting in their capacity as an Equity Support Person. The Equity Support Person may not make a presentation or represent the Complainant or Respondent during the hearing. At the hearing, the Parties are expected to ask and respond to questions on their own behalf, without representation by the Equity Support Person. The Equity Support Person may consult with the Party quietly or in writing, or outside the hearing during breaks, but may not speak on behalf of the Party to the hearing panelists. If the Equity Support Person fails to follow these guidelines, they will be warned or dismissed from the hearing at the discretion of the Hearing Panel Chair.
- L. **Investigation.** Upon the initiation of a formal investigation, the Equity Officer will promptly appoint a trained Investigator or a team of trained Investigators to investigate the Complaint.
- The burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rests on the University.
- The University cannot access, consider, disclose, or otherwise use a Party's records that are made or maintained by a physician, psychiatrist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the Party, unless the University obtains that Party's voluntary, written consent to do so for use in the Equity Resolution process.
- The Parties are not prohibited from discussing the allegations under investigation or from gathering and presenting relevant evidence. The Parties may present witnesses and other inculpatory and exculpatory evidence; all such evidence must be relevant. A Party whose participation is expected or invited at a hearing, interview, or other meeting, shall receive written notice of the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings, with sufficient time for the Party to prepare to participate.

The Parties may be accompanied to any related meeting or interview by an Equity Support Person of their choice, who may be, but is not required to be, an attorney; however, the Equity Support Person may only participate in the proceedings as set forth in this policy.

The Investigator(s) will make reasonable efforts to conduct interviews with the Parties and relevant witnesses, obtain available evidence and identify sources of expert information, if necessary. The Investigator(s) will provide an investigative report to the Equity Officer. This report may contain the Investigator's observations regarding the credibility of the Complainant, the Respondent, and any witnesses interviewed.

The final investigative report will fairly summarize the relevant evidence.

All investigations will be thorough, reliable and impartial. All interviews shall be recorded. In the event that recording is not possible due to technological issues, the investigator shall take thorough notes and such notes shall be provided to the Parties in lieu of recordings. The investigator shall document the reason the recording was not possible and such documentation shall become part of the Record of the Case. The investigation of reported discrimination or harassment should be completed expeditiously, normally within thirty (30) business days of the filing of the Complaint. Investigation of a Complaint may take longer based on the nature and circumstances of the Complaint.

- M. **Impact of Optional Report to Law Enforcement.** A delay may also occur when criminal charges on the basis of the same behaviors that invoke this process are being investigated, to allow for evidence collection by the law enforcement agency. However, University action will not typically be altered or precluded on the grounds that civil cases or criminal charges involving the same incident have been filed or that such charges have been dismissed or reduced.

The Equity Officer will not wait for the conclusion of a criminal investigation or criminal proceeding to begin the Equity Resolution process. However, an Equity investigation and resolution process may be temporarily delayed for good cause, which can include concurrent law enforcement activity. In such instances, written notice of the delay or extension with reasons for the action will be sent to each Party.

If delayed, the Equity Officer will promptly resume the Equity investigation as soon as notified by the law enforcement agency that it has completed the evidence-gathering process. The Equity Officer will implement appropriate supportive measures during the law enforcement agency's investigation period to provide for the safety of all Parties, the University community and the avoidance of retaliation, discrimination, or harassment.

- N. **Summary Resolution.** During or upon completion of investigation, the Equity Officer will review the investigation which may include meeting with the Investigator(s). The investigative report is not provided to the Parties during Summary Resolution, but is provided to the Parties at either the Administrative Resolution or Hearing Panel Resolution. Based on that review, the Equity Officer will make a summary determination whether, based on the evidence gathered, there is a sufficient basis to proceed with the Complaint that the Respondent is responsible for violating the University's Anti-Discrimination Policies.

If the Equity Officer determines that there is a sufficient basis to proceed with the Complaint, then the Equity Officer will direct the process to continue. The Complaint will then be resolved through either Conflict Resolution, Administrative Resolution, or Hearing Panel Resolution. There is no right to request reconsideration or appeal the summary determination to continue the process.

If the Equity Officer determines that there is an insufficient basis to proceed with the Complaint, then the process will end and the Complainant and Respondent will simultaneously be sent written notification of the determination and advised of their right to request reconsideration. The Equity Officer may counsel and suggest monitoring or training opportunities to correct for inappropriate behavior that does not rise to the level of a violation.

The Parties may request that the Equity Resolution Appellate Officer reconsider summary determination ending the process by filing a written request with the Equity Resolution Appellate Officer within five (5) business days of notice of the summary determination. If the Equity Resolution Appellate Officer decides there is a sufficient basis to proceed with the Complaint, the Equity Resolution Appellate Officer will reverse the determination ending the process and direct the process to continue pursuant to this policy. The Equity Resolution Appellate Officer will simultaneously send the Parties notice of their decision. This decision to continue the process lies in the sole discretion of the Equity Resolution Appellate Officer and such decision is final. Further reconsideration of such decision is not permitted.

If the Equity Resolution Appellate Officer agrees with the summary determination ending the process by the Equity Officer that there is not a sufficient basis to proceed with the Complaint, then the process will end and the Complainant and the Respondent will simultaneously be sent written notification of the decision. This decision to end the process lies in the sole discretion of the Equity Resolution Appellate Officer and such decision is final. Further reconsideration of such decision is not permitted.

- O. **Conflict Resolution.** The Parties may choose to engage in Conflict Resolution at any time during the Equity Resolution Process. The decision of the Parties to engage in Conflict Resolution must be voluntary, informed, and in writing. The Parties are not required to engage in Conflict Resolution as a condition of enrollment or continuing enrollment, or employment or continuing employment, or enjoyment of any other right. The Parties are not required to waive their right to an investigation of a Complaint or a right to a hearing. It is not necessary to pursue Conflict Resolution prior to pursuing the Administrative or Hearing Panel Resolution Process and either Party can stop the Conflict Resolution Process at any time and request either the Administrative Resolution Process or Hearing Panel Resolution Process. Conflict Resolution is never available to resolve allegations that an employee sexually harassed or engaged in sexual misconduct with a student. Upon receiving a request for Conflict Resolution, the Equity Officer will determine if Conflict Resolution is appropriate based on the willingness of the Parties, the nature of the conduct at issue and the susceptibility of the conduct to Conflict Resolution. In Conflict Resolution, which includes mediation or facilitated dialogue, a neutral facilitator will foster dialogue with the Parties to an effective resolution, if possible. The Complainant's and the Respondent's Equity Support Person may attend the Conflict Resolution meeting. The Parties will abide by the terms of the agreed upon resolution. Failure to abide by the terms of the agreed upon resolution may be referred to the Equity Officer for review and referral to the appropriate University Process for discipline or sanctions. The Equity Officer will keep records of any Conflict Resolution that is reached. In the event the Parties are unable to reach a mutually agreeable resolution, the matter will be referred back to the Administrative or Hearing Panel Resolution process. The content of the Parties' discussion during the Conflict Resolution Process will be kept confidential in the event the matter proceeds to the Administrative or Hearing Panel Resolution processes. The Parties' agreement to participate in, refusal

to participate in, or termination of participation in Conflict Resolution shall not be factors in any subsequent decisions regarding whether a policy violation occurred. Among the resolutions which may be reached at this stage (or at any point prior to a finding through Administrative or Hearing Panel Resolution), the Respondent may voluntarily request to permanently separate from the University of Missouri System. If the Equity Officer accepts the Respondent's proposal, the Respondent must sign a Voluntary Permanent Separation and General Release agreement to effectuate their separation and terminate the Equity Resolution process.

P. **Procedural Details for Administrative Resolution and Hearing Panel**

Resolution. For both the Administrative Resolution and Hearing Panel Resolution, which are described in more detail below, the following will apply:

1. The standard of proof will be "preponderance of the evidence," defined as determining whether evidence shows it is more likely than not that a policy violation occurred.
2. The Respondent is presumed not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the Equity Resolution process.
3. The decision-maker has the discretion to determine the relevance of any witness or documentary evidence and may exclude information that is irrelevant, immaterial, cumulative, or more prejudicial than informative. In addition, the following rules shall apply to the introduction of evidence:
 - a. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
 - b. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the decision-maker.
 - c. Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the decision-maker.
 - d. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
 - e. The decision-maker shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
4. The Respondent may not directly question the Complainant and the Complainant may not directly question the Respondent. However, if both Complainant and Respondent request the opportunity, direct questioning

between the Parties will be permitted in the Hearing Panel Resolution Process. Otherwise written questions will be directed to the Chair in the Hearing Panel Resolution Process, and those questions deemed appropriate and relevant will be asked on behalf of the requesting Party.

5. In the Administrative Resolution Process, the Respondent and the Complainant may provide a list of questions for the decision-maker to ask the other Party. If those questions are deemed appropriate and relevant, they may be asked on behalf of the requesting Party; answers to such questions will be shared with the requesting Party.
6. At any time prior to the deadline in the Notice of Administrative Resolution, the Complainant and/or the Respondent may request that the Complaint shift from the Administrative Resolution process to the Hearing Panel Resolution process. Upon receipt of such timely request from either Party, the Complaint will shift to the Hearing Panel Resolution Process.
7. The Resolution Processes may proceed regardless of whether the Respondent chooses to participate in the investigation, the finding or the hearing.
8. The Administrative Resolution or Hearing Panel Resolution Process will normally be completed within a reasonably prompt time period, not to exceed one hundred twenty (120) days, following the Equity Officer's receipt of a Complaint. Unusual delays will be promptly communicated to both Parties.
9. For good cause, the decision-maker may, in their discretion, grant reasonable extensions to the time frames and limits provided.

Q. Administrative Resolution:

1. Administrative Resolution can be pursued for any behavior that falls within the University's Anti-Discrimination Policies. Administrative Resolution may be used when both Parties elect to resolve the Complaint using the Administrative Resolution Process.
2. The Administrative Resolution process consists of:
 - a. A prompt, thorough and impartial investigation;
 - b. A separate meeting with each Party and their Equity Support Person, if any, and the decision-maker, if requested;
 - c. A written finding by the decision-maker on each of the alleged policy violations:
 - (1) For Faculty Respondents by the Provost (or Designee)
 - (2) For Student/Student Organization Respondents by the Equity Officer
 - d. A written finding on sanctions for findings of responsibility:
 - (1) For Faculty Respondents by the Provost
 - (2) For Student/Student Organization Respondents by the Equity Officer
3. At least fifteen (15) business days prior to meeting with the decision-maker, or if no meeting is requested, at least fifteen (15) business days prior to the decision-maker rendering a finding(s), the decision-maker will send a letter (Notice of Administrative Resolution) to the Parties containing the following information:
 - a. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
 - b. The name of the decision-maker.

- c. Reference to or attachment of the applicable procedures.
 - d. A copy of the final investigative report.
 - e. The option and deadline of ten (10) business days from the date of the notice to request a meeting with the decision-maker.
 - f. An indication that the Parties may have the assistance of an Equity Support Person of their choosing at the meeting with the decision-maker, though the Equity Support Person's attendance at the meeting is the responsibility of the respective Parties.
 - g. The option and the deadline of ten (10) business days from the date of the Notice to request in writing that the matter be referred to the Hearing Panel Resolution process. If neither Party requests the Hearing Panel Resolution Process within the required time period, the matter will be decided through the Administrative Resolution Process and the right to the Hearing Panel Resolution Process is waived.
4. The Notice of Administrative Resolution will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person 2) emailed to the individual to their University-issued email account or 3) when sent via the alternate method of notification specified by the Party.
 5. Within ten (10) business days from the date of the Notice of Administrative Resolution, the Parties have the right to have the matter referred to the Hearing Panel Resolution Process. If neither Party requests the Hearing Panel Resolution Process within the required time period, the matter will be decided through the Administrative Resolution Process and the right to the Hearing Panel Resolution Process is waived.
 6. The decision-maker can, but is not required to, meet with and question the Investigator and any identified witnesses. The decision-maker may request that the Investigator conduct additional interviews and/or gather additional information. The decision-maker will attempt to meet separately with the Complainant and the Respondent, and their Equity Support Person, if any, to review the alleged policy violations and the investigative report. The Respondent may choose to admit responsibility for all or part of the alleged policy violations at any point in the process. If the Respondent admits responsibility, in whole or in part, the decision-maker will render a finding that the individual is in violation of University policy for the admitted conduct. For any disputed violations, the decision-maker will render a finding utilizing the preponderance of the evidence standard. For Faculty Respondents, the Provost's Designee may recommend appropriate sanctions and remedial actions but only the Provost will find sanctions or remedial actions. The findings and sanctions are subject to appeal.
 7. The decision-maker will inform the Respondent and the Complainant simultaneously of the finding on each of the alleged policy violations and the finding of sanctions, if applicable, in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person 2) emailed to the individual to their University-issued email account or 3) when sent via the alternate method of notification specified by the Party.
 8. Either Party may appeal a decision under Administrative Resolution in accordance with Section T of this policy.

R. Hearing Panel Resolution

1. **Equity Resolution Hearing Panelist Pool.** Each University will create and annually train a pool of not less than five (5) faculty and five (5) administrators and/or staff to serve as hearing panel members in the Hearing Panel Resolution Process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Panelists are selected by the Chancellor (or Designee) and serve a renewable one-year term. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University.
The Chancellor (or Designee) will select a Hearing Panelist Pool Chair ("Pool Chair"). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint. Administrators, faculty, and staff will be removed from the Hearing Panelist Pool if they fail to satisfy the annual training requirements, as determined by the Equity Officer. Under such circumstances, the Equity Officer will notify the Chancellor (or Designee), who will inform the administrator, faculty, or staff member of the discontinuation of their term.
2. **Equity Resolution Hearing Panel ("Hearing Panel").** When a Complaint is not resolved through the Administrative Resolution Process, the Hearing Panelist Pool Chair will randomly select three (3) members from the Hearing Panelist Pool to serve on the specific Hearing Panel. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. Up to two (2) alternates may be designated to sit in throughout the process as needed. The University reserves the right to have its attorney present during the hearing and during deliberations to advise the Hearing Panel.
3. **Notice of Hearing.**
 - a. At least twenty (20) business days prior to the hearing, the Equity Officer will send a letter (Notice of Hearing) to the Parties with the following information:
 - (1) A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
 - (2) A description of or attachment of the applicable procedures.
 - (3) A statement that the Parties may have the assistance of an Equity Support Person of their choosing, at the hearing; at the hearing, though the Equity Support Person's attendance at the hearing is the responsibility of the respective Parties.
 - (4) The time, date and location of the hearing.
 - (5) A list of the names of each of the Hearing Panel members and alternates, and information on how to raise an objection to any member of the Hearing Panel and the timeline in which to raise any objections.
 - (6) A copy of the final investigative report and exhibits.
 - (7) Notification to the Parties that all of the evidence gathered in the course of the investigation that is directly related to the allegations is available to the Parties and instructions regarding how to request access to that information.
 - (8) Notice that the Parties may request a virtual hearing and/or any necessary accommodations.

- b. The Notice of Hearing letter will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
4. **Pre-Hearing Witness List and Documentary Evidence.**
- a. At least fifteen (15) business days prior to the hearing, the Complainant and Respondent will provide to the Investigator a list of the names of the proposed witnesses and copies of all proposed documentary evidence that a Party intends to call or use at the hearing.
 - b. At least ten (10) business days prior to the hearing, the Investigator will provide to each Party the names of proposed witnesses and proposed documentary evidence that the other Party intends to call or use at the hearing.
 - c. No employee or student, directly or through others, should take any action which may interfere with the investigation or hearing procedures. Employees and students are prohibited from attempted or actual intimidation or harassment of any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.
 - d. At least five (5) business days prior to the hearing date, the final investigative report and all exhibits will be provided to the Hearing Panel members.
5. **Objection to or Recusal of Hearing Panel Member.**
- a. Hearing Panel members shall not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent. If a Hearing Panel member feels that they have a conflict of interest or bias, or cannot make an objective determination, they must recuse themselves from the proceedings in advance of the hearing.
 - b. The Parties will have been given the names of the Hearing Panel members in the Notice of Hearing. Should any Complainant or Respondent object to any panelist, they must raise all objections, in writing, to the Equity Officer at least fifteen (15) business days prior to the hearing.
 - c. Hearing panel members will only be unseated and replaced if the Equity Officer concludes that good cause exists for the removal of a panel member. Good cause may include, but is not limited to, bias that would preclude an impartial hearing or circumstances in which the Hearing Panel member's involvement could impact the Party's work or learning environment due to current or potential interactions with the Hearing Panel member (e.g., a panel member being in the same department as either Party). If the Equity Officer determines that a Hearing Panel member should be unseated and replaced, then the Equity Officer will ask the Hearing Panel Pool Chair to randomly select another member from the pool to serve on the Hearing Panel. The Equity Officer will provide a written response to all Parties addressing any objections to the Hearing Panel members.
6. **Request for Alternative Attendance or Questioning Mechanisms.** The Chair of the Hearing Panel, in consultation with the Parties and investigators,

may decide in advance of the hearing that certain witnesses do not need to be physically present if their testimony can be adequately summarized by the Investigator(s) in the investigative report or during the hearing. All Parties will have ample opportunity to present facts and arguments in full and question all present witnesses during the hearing, though formal cross-examination is not used between the Parties.

All hearings will be live. However, at the request of either Party, or by the University's designation, the live hearing may occur with the Parties located in separate rooms with technology enabling the Hearing Panel and their legal advisor, if any, the Parties and their Equity Support Person, and the Investigator, to simultaneously see and hear the Party or the witness answering questions. Should any hearing take place in this manner, the Equity Officer (or Designee) shall be in charge of the technology during the hearing. The University will make reasonable accommodations for the Parties in keeping with the principles of equity and fairness.

7. **Requests to Reschedule the Hearing Date.** For good cause, the Chair of the Hearing Panel may grant requests to reschedule the hearing date.
8. **Conduct of Hearing.** The Chair of the Hearing Panel ("Chair" in this subsection) shall preside at the hearing, call the hearing to order, call the roll of the Hearing Panel and alternates in attendance, ascertain the presence or absence of the Investigator, the Complainant and the Respondent, confirm receipt of the Notice of Allegations and Notice of Hearing by the Parties, report any extensions requested or granted, and establish the presence of any Equity Support Persons. Formal rules of evidence shall not apply.

a. **Order of Evidence.** The order of evidence shall be the following:

(1) **Investigator's Report and Testimony.** The Investigator(s) will first present the written investigative report and may give a narrative report of the investigation, and then be subject to questioning by the Complainant, the Respondent and the Hearing Panel. The Investigator(s) may also call witnesses who will be subject to questioning by the Investigator, the Complainant, the Respondent and the Hearing Panel. The Investigator may also submit documentary evidence. The investigator(s) will remain present during the entire hearing process.

(2) **Complainant's Evidence.** The Complainant may give testimony and be subject to questioning by the Investigator, the Respondent (through the Hearing Panel Chair as discussed in Section 600.040.P above) and the Hearing Panel. The Complainant may also call and question witnesses who may also then be questioned by the Respondent, the Investigator and the Hearing Panel. The Complainant may also submit documentary evidence.

(3) **Respondent's Evidence.** The Respondent may give testimony and be subject to questioning by the Investigator, the Complainant (through the Chair as discussed in Section 600.040.P above) and the Hearing Panel. The Respondent may also call and question witnesses who may also then be questioned by the Complainant, the Investigator and the Hearing Panel. The Respondent may also submit documentary evidence.

(4) **Record of Hearing.** The Chair of the Hearing Panel shall arrange for recording of the hearing, whether by audio, video, digital or stenographic means. The recording of the hearing will become part of the Record of the Case in the Section 600.040 Process.

9. Process Rules and Rights of the Hearing Panel.

- a. The relevancy and admissibility of any evidence offered at the hearing shall be determined by the Chair, whose ruling shall be final, unless the Chair shall present the question to the Hearing Panel at the request of a member of the Hearing Panel, in which event, the ruling of the Hearing Panel by majority vote shall be final.
- b. To question witnesses or evidence introduced by the Investigator, the Complainant or the Respondent at any time during the hearing process.
- c. To call additional witnesses and submit documentary evidence.
- d. To exclude a witness proposed by the Investigator, the Complainant or the Respondent if it is determined their testimony would be redundant or not relevant.
- e. To dismiss any person from the hearing who interferes with or obstructs the hearing or fails to abide by the rulings of the Chair of the Hearing Panel.
- f. To have present a legal advisor to the Hearing Panel, who shall be designated by the Office of the General Counsel.
- g. To have the names of witnesses that may be called by the Investigator, the Complainant and the Respondent, all relevant documentary evidence that may be introduced by those Parties, and a complete copy of the investigative report at least five (5) business days prior to the hearing.
- h. Procedural questions which arise during the hearing and which are not covered by these general rules shall be determined by the Chair, whose ruling shall be final unless the Chair shall present the question to the Hearing Panel at the request of a member of the Hearing Panel, in which event, the ruling of the Hearing Panel by majority vote shall be final.

10. Findings of the Hearing Panel.

- a. The Hearing Panel will deliberate with no others present, except any legal advisor to the Hearing Panel, to find whether the Respondent is responsible or not responsible for the policy violation(s) in question. The Hearing Panel will base its finding on a preponderance of the evidence (i.e., whether it is more likely than not that the Respondent committed each alleged violation).
- b. If a Student or Student Organization Respondent is found responsible by a majority of the Hearing Panel, the Hearing Panel will determine the appropriate sanctions which will be imposed by the Equity Officer. If a Faculty Respondent is found responsible by a majority of the Hearing Panel, the Hearing Panel will recommend appropriate sanctions to the Provost, who will determine and impose the appropriate sanctions.
- c. The Hearing Panel Chair will prepare a written determination regarding responsibility ("Hearing Panel Decision") and deliver it to the Provost (or Designee) (for Faculty Respondents) or the Equity Officer (for Student Respondents) detailing the following:
 - (1) Identification of the allegations potentially constituting discrimination or harassment, as defined in CRR 600.010, and the determination of the Hearing Panel.
 - (2) A description of the procedural steps taken from the receipt of the Complaint through the determination, including any notifications to the

Parties, interviews with Parties and witnesses, site visits, methods used to gather other evidence and hearings held;

(3) Findings of fact supporting the determination and any information the Hearing Panel excluded from its consideration and why;

(4) Conclusions regarding the application of the University's Anti-Discrimination policies to the facts;

(5) A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility;

(6) For Student Respondents, any disciplinary sanctions to be imposed on the Respondent, and whether remedies designed to restore or preserve equal access to the University's education programs or activities will be provided by the University to the Complainant;

(7) For Faculty Respondents, any disciplinary sanctions the Hearing Panel recommends to be imposed on the Respondent and any recommended remedies designed to restore or preserve equal access to the University's education programs or activities to be provided by the University to the Complainant; and

(8) The procedures and permissible bases for the Complainant and the Respondent to appeal.

- d. The Hearing Panel Decision will be provided to the Equity Officer (for Student Respondents) within five (5) business days of the end of deliberations. The Hearing Panel Decision will be provided to the Provost (or Designee) (for Faculty Respondents) within five (5) business days of the end of deliberations.
- e. The Provost (or Designee) (for Faculty Respondents) or the Equity Officer (for Student Respondents) will inform the Respondent and the Complainant simultaneously of the Hearing Panel Decision and the Provost's finding of sanctions, if applicable, within five (5) business days of receipt of the Hearing Panel Decision; such notification will be sent in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person 2) emailed to the individual to their University-issued email account or 3) when sent via the alternate method of notification specified by the Party.
- f. The Hearing Panel Decision will become final either on the date that the Parties are provided with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.
- g. The Equity Officer is responsible for effective implementation of any remedies.

S. Sanctions and Remedial Actions.

1. **Factors Considered When Finding Sanctions/Remedial Actions.** When recommending or imposing sanctions and/or remedial actions, factors to consider include but are not limited to the following:

- a. The nature, severity of, and circumstances surrounding the violation;
- b. The disciplinary history of the Respondent;
- c. The need for sanctions/remedial actions to bring an end to the conduct;
- d. The need for sanctions/remedial actions to prevent the future recurrence of conduct;

- e. The need to remedy the effects of the conduct on the Complainant and the University community; and
 - f. Any other information deemed relevant by the decision-maker(s).
2. **Types of Sanctions.**

- a. The following sanctions may be imposed upon any Faculty Member found to have violated the University's Anti-Discrimination Policies. Multiple sanctions may be imposed for any single violation. Sanctions include but are not limited to:

- (1) Warning - verbal or written;
- (2) Performance Improvement Plan;
- (3) Required counseling;
- (4) Required training or education;
- (5) Loss of annual pay increase;
- (6) Loss of supervisory responsibility;
- (7) Recommendation of discipline in a training program, including recommendation of termination, suspension or other corrective or remedial actions;
- (8) For Non-Regular Faculty, immediate termination of term contract and employment;
- (9) For Regular, Untenured Faculty, immediate termination of term contract and employment. Notice of not reappointing would not be required;
- (10) Suspension without pay;
- (11) Non-renewal of appointment; and
- (12) For Regular, Tenured Faculty, suspension without pay, removal from campus and referral to the Chancellor to initiate dismissal for cause as detailed in Section 310.060 of the Collected Rules and Regulations.

- b. The following sanctions may be imposed upon any Respondent Student or Respondent Student Organization found to have violated the University's Anti-Discrimination Policies. Multiple sanctions may be imposed for any single violation. Sanctions include but are not limited to:

- (1) **Warning.** A notice in writing to the Respondent Student or Respondent Student Organization that there is or has been a violation of institutional regulations.
- (2) **Probation.** A written reprimand for violation of specified regulations. Probation is for a designated period of time and includes the probability of more severe sanctions if the Respondent Student or Respondent Student Organization is found to be violating any institutional regulation(s) during the probationary period.
- (3) **Loss of Privileges.** Denial of specified privileges for a designated period of time.
- (4) **Restitution.** Compensating the University for loss, damage, or injury to University property. This may take the form of appropriate service and/or monetary or material replacement.
- (5) **Discretionary Sanctions.** Work assignments, service to the University, or other related discretionary assignments, or completion of educational programming or counseling.

(6) **Residence Hall Suspension.** Separation of the Respondent Student from the residence halls for a definite period of time, after which the Respondent Student is eligible to return. Conditions for readmission may be specified.

(7) **Residence Hall Expulsion.** Permanent separation of the Respondent Student from the residence halls.

(8) **Campus Suspension.** Respondent Student is suspended from being allowed on a specific University campus for a definite period of time. Logistical modifications consistent with the sanction imposed, may be granted at the discretion of the Chief Student Affairs Officer (or Designee).

(9) **University System Suspension.** Separation of the Respondent Student from the University System for a definite period of time, after which the Respondent Student is eligible to return. Conditions for readmission may be specified.

(10) **Withdrawal of Recognition.** Respondent Student Organization loses its Official Approval as a recognized student organization. May be either temporary or permanent.

(11) **University System Expulsion.** Permanent and complete separation (i.e., not eligible for online courses either) of the Respondent Student from the University System.

- c. **Remedial Actions.** The following remedial actions may also be imposed to address the effects of the violation(s) of the University's Anti-Discrimination Policies on the Complainant. Such remedial actions will vary depending on the circumstances of the policy violation(s), but may include:

(1) Where the Complainant is a student:

- (a) Permitting the student to retake courses;
- (b) Providing tuition reimbursement;
- (c) Providing additional academic support;
- (d) Removal of a disciplinary action; and
- (e) Providing educational and/or on-campus housing accommodations.

(2) Where the Complainant is an employee:

- (a) Removal of a disciplinary action;
- (b) Modification of a performance review;
- (c) Adjustment in pay;
- (d) Changes to the employee's reporting relationships; and
- (e) Workplace accommodations.

In addition, the University may offer or require training and/or monitoring as appropriate to address the effects of the violation(s) of the University's Anti-discrimination Policies.

- d. **When Implemented.**

(1) Sanctions imposed against Student Respondents are stayed until the end of any appeal period or once an appeal, if any, is final, unless the Equity Officer determines the sanctions should be imposed immediately.

(2) Sanctions against Staff Respondents shall be implemented immediately.

(3) Sanctions against Faculty Respondents shall be implemented

immediately; however, for Regular, Tenured Faculty Respondents, the sanction of suspension without pay will be a suspension with pay while the appeal is pending, but not for the duration of any dismissal for cause proceedings.

(4) When the sanction is termination, actual termination will be stayed until the end of any appeal period or once an appeal, if any, is final; however, the Respondent will be suspended without pay during any appeal period or once an appeal, if any, is final.

3. **Withdrawal While Charges Pending.** Should a Respondent decide to leave the University and not participate in the investigation and/or hearing without signing a Voluntary Permanent Separation and General Release Agreement and without the approval of the Equity Officer, the Complaint may be dismissed, or the Equity Officer may determine that the process will nonetheless proceed in the Respondent's absence to a reasonable resolution and, if the Respondent is found responsible, the Respondent will not be permitted to return to the University unless all sanctions have been satisfied.
- T. **Appeal.** Both Complainant and Respondent are allowed to appeal a determination regarding responsibility in the Administrative Resolution Process or the finding(s) in the Hearing Panel Resolution Process.
1. **Grounds for appeal.** Grounds for appeals are limited to the following:
 - a. A procedural irregularity that affected the outcome of the matter (e.g., material deviation from established procedures, etc.);
 - b. To consider new evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made that could affect the outcome of the matter;
 - c. The Equity Officer, Investigator(s), or decision-maker(s) had a conflict of interest or bias for or against Complainants or Respondents generally or the individual Complainant or Respondent that affected the outcome of the matter; or
 - d. The sanctions fall outside the range typically imposed for this offense, or for the cumulative conduct record of the Respondent.
 2. **Requests for Appeal.** Both the Complainant and the Respondent may appeal to the Equity Resolution Appellate Officer. The Equity Resolution Appellate Officer must not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent; if the Equity Resolution Appellate Officer does not believe that they can make an objective decision about an appeal, they should recuse themselves. For Student and Student Organization Respondents, the Chancellor (or Designee) shall appoint an alternate Equity Resolution Appellate Officer to hear the pending appeal; For Faculty Respondents, the President (or Designee) shall appoint an alternate Equity Resolution Appellate Officer to hear the pending appeal. All requests for appeal must be submitted in writing to the Equity Resolution Appellate Officer within five (5) business days of the delivery of the Notice of Administrative Resolution or Hearing Panel Decision. When any Party requests an appeal, the other Party will be notified and receive a copy of the request for appeal from the Equity Resolution Appellate Officer.
 3. **Response to Request for Appeal.** Within five (5) business days of the delivery of the notice and copy of the request for appeal, the non-appealing Party may file a response to the request for appeal. The response can address that sufficient grounds for appeal have not been met and/or the merits of the appeal.

4. **Review of the Request to Appeal.** The Equity Resolution Appellate Officer will make an initial review of the appeal request(s). The Equity Resolution Appellate Officer will review the request for appeal to determine whether:
 - a. The request is timely;
 - b. The appeal is on the basis of any of the articulated grounds listed above; and
 - c. When viewed in the light most favorable to the appealing Party, the appeal states grounds that could result in an adjusted finding or sanction.

The Equity Resolution Appellate Officer will reject the request for appeal if any of the above requirements are not met. The decision to reject the request for appeal is final and further appeals and grievances are not permitted. The Equity Resolution Appellate Officer will render a written decision whether the request for appeal is accepted or rejected within fifteen (15) business days from receipt of the request for appeal. If no written decision is provided to the Parties within fifteen (15) business days from receipt of the request, the appeal will be deemed accepted.

5. **Review of the Appeal.** If all three requirements for appeal listed in Paragraph 4 above are met, the Equity Resolution Appellate Officer will accept the request for appeal and proceed with rendering a decision on the appeal applying the following additional principles:
 - a. Appeals are not intended to be full re-hearings of the Complaint and are therefore deferential to the original findings. In most cases, appeals are confined to a review of the written documentation and Record of the Case, Administrative Resolution determination, or Hearing Panel Resolution, and relevant documentation regarding the grounds for appeal. Appeals granted based on new evidence should normally be remanded to the original decision-maker for reconsideration.
 - b. The Equity Resolution Appellate Officer will normally render a written decision on the appeal to all Parties within ten (10) business days from accepting the request for appeal. In the event the Equity Resolution Appellate Officer is unable to render a written decision within ten (10) business days from accepting the request for appeal, the Equity Resolution Appellate Officer will promptly notify the Parties in writing of the delay.
 - c. Once an appeal is decided, the outcome is final. Further appeals and grievances are not permitted.
6. **Extensions of Time.** For good cause, the Equity Resolution Appellate Officer may grant reasonable extensions of time (e.g.: 7-10 business days) to the deadlines in the appeal process. The Equity Resolution Appellate Officer will notify the Parties in writing if such extensions are granted.

U. **Failure to Complete Sanctions/Comply with Interim and Long-term Remedial Actions.** All Respondents are expected to comply with all sanctions and remedial actions within the time frame specified. Failure to follow through on these sanctions and remedial actions by the date specified, whether by refusal, neglect or any other reason, may result in additional sanctions and remedial actions through the applicable process.

V. **Records.** In implementing this policy, records of all Complaints, resolutions (including Conflict resolution and result therefrom, and Administrative Resolution and result therefrom), and hearings will be kept by the Equity Officer. For the purpose of review or appeal, the Record of the Case will be accessible at reasonable times and

places to the Respondent and the Complainant. The Record of the Case will be kept for seven (7) years following final resolution.

Each Equity Officer, including the Equity Officer for the academic medical center, shall maintain statistical, de-identified data on the race, gender and age of each Party to a Complaint for that university/ academic medical center, and will report such data on an annual basis to the President of the University of Missouri. Additionally, statistical data relating to each university in the University of Missouri System shall be reported on an annual basis to that university's Chancellor and chief officers for human resources, student affairs, and diversity, equity and inclusion; the academic medical center shall report such statistical data for the academic medical center on an annual basis to the Executive Vice-Chancellor for Health Affairs. Data relating to the University of Missouri System shall be reported on an annual basis to the University of Missouri System's chief officers for human resources, student affairs, and diversity, equity and inclusion.

W. **Dismissal for Cause Referral.** If the recommended sanction for a Regular, Tenured Faculty member is referral to the Chancellor to initiate Dismissal for Cause, the Record of the Case will be forwarded to the appropriate Faculty Committee on Tenure. Because the Dismissal for Cause proceeding is not a re-hearing of the Complaint, the Record of the Case will be included as evidence and the findings will be adopted for proceeding as detailed in Section 310.060: Procedures in Case of Dismissal for Cause in the Collected Rules and Regulations.

X. **Retaliation.** The University strictly prohibits retaliation against any person for making any good faith report of discrimination or harassment, or for filing, testifying, assisting, or participating in any investigation or proceeding involving allegations of discrimination or harassment. For matters involving discrimination or harassment other than sex discrimination under this policy, employees have an obligation to cooperate with University officials including the Investigator, Equity Officer, Provost (or Designee), Hearing Panel, and/or the Equity Resolution Appellate Officer. For matters involving sex discrimination under this policy, no person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by law, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing. Intimidation, threats, coercion, or discrimination, including charges against an individual for policy violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or Complaint of sexual harassment, for the purpose of interfering with any right or privilege secured by law, constitutes retaliation.

The University must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a Complaint of sexual harassment, any Complainant, any individual who has been reported to be the perpetrator of sex discrimination, any Respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of applicable law, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder. Complaints alleging retaliation may be filed with the Equity Officer in accordance with CRRs 600.010, 600.040, and 600.050. Any person who engages in such retaliation shall be subject to disciplinary action, up to and including expulsion or termination, in accordance with applicable procedures. Any person who believes they have been subjected to retaliation is encouraged to notify the Equity Officer. The University will promptly investigate all complaints of retaliation in accordance with this policy.

The exercise of rights protected under the First Amendment does not constitute retaliation prohibited under this section.

Charging an individual with a policy violation for making a materially false statement in bad faith in the course of any proceedings under this policy does not constitute retaliation provided, however that a determination regarding responsibility, alone, is not sufficient to conclude that any Party made a materially false statement in bad faith.

600.050 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Staff Member or the University of Missouri - for matters involving conduct alleged to have occurred on or after August 14, 2020

Bd. Min. 2-5-15; Amended 2-9-17 with effective date of 3-1-17; Amended 7-28-20 with an effective date of 8-14-20.

- A. **General.** The University will promptly and appropriately respond to any report of violation of the University's Anti-Discrimination Policies. The procedures described below apply to such reports when the Respondent is a Staff Member, or when the Respondent is not an individual actor but rather the University of Missouri, one of the Universities within the University of Missouri System, or one of its or their educational programs, departments, or other institutional entities, except as noted herein. Further, when the report involves allegations against the President or a Chancellor, upon consultation between the Office of the General Counsel and the System Equity Officer, the investigation may be conducted by an outside investigator. This procedure does not govern complaints alleging discriminatory denial of coverage under any University health plan, which complaints shall be processed pursuant to the University's applicable grievance process. Further, this procedure does not apply to complaints alleging conduct that would be defined as sexual harassment under Section 600.020 of the Collected Rules and Regulations.
- B. **Jurisdiction.** Jurisdiction of the University of Missouri generally shall be limited to conduct which occurs on the University of Missouri premises or at University-sponsored or University-supervised functions. However, the University may take appropriate action, including, but not limited to, the imposition of sanctions under Section 600.050 of the Collected Rules and Regulations against Staff Members for conduct occurring in other settings, including off-campus, (1) in order to protect the physical safety of students, employees, and visitors or other members of the University community, (2) if there are effects of the conduct that interfere with or limit any person's ability to participate in or benefit from the University's educational programs, activities or employment, or (3) if the conduct occurs when the Staff Member is serving in the role of a University employee. The University may further take appropriate action, including, but not limited to, the imposition of remedial actions under Section 600.050 of the Collected Rules and Regulations for conduct occurring in other settings, including off-campus, (1) in order to protect the physical safety of students, employees, or visitors or other members of the University community, (2) if there are effects of the conduct that interfere with or limit any person's ability to participate in or benefit from the University's educational programs, activities or employment, or (3) if the conduct occurs when staff or faculty members are serving in the role of University employees. If a Complainant alleges or the investigation suggests that a discrimination or harassment policy violation as defined in Section 600.010 of the Collected Rules and Regulations occurred in concert with an alleged violation of the University's Title IX

policies, the University shall have the authority to investigate and take appropriate action regarding the alleged violation(s) of the discrimination or harassment policy pursuant to University's Title IX process. If the allegation(s) in the Complaint that fall under the Title IX policy are dismissed, the University may discontinue the process under the Title IX policy and then proceed under this Equity Resolution Process for any remaining reports of alleged violation(s) of Section 600.010 in the Complaint.

Further, if a Complainant simultaneously alleges or the investigation suggests that violations of the University's Anti-Discrimination Policies and disagreements arising from working relationships, working conditions, employment practices, or differences of interpretation of a policy, the University shall have the authority to investigate and take appropriate action regarding each of the Complainant's allegations pursuant to this Equity Resolution Process. In conducting such investigations, the Equity HR Officer or Equity Officer, and/or the Investigator may consult with and/or seek guidance from Human Resources staff or appropriate administrators as necessary.

- C. **At-Will Employment Status.** Nothing contained in this policy is intended and no language contained herein shall be construed as establishing a "just cause" standard for imposing discipline, including but not limited to, termination of employment. Further, nothing contained in this policy is intended and no language contained herein shall be construed to alter in any manner whatsoever the at-will employment status of any at-will University employee.
- D. **Definitions:**
1. **Administrative Resolution.** The equity resolution process of a Complaint by making a finding on each of the alleged policy violations and finding on sanctions without a hearing.
 2. **Complainant.** "Complainant" refers to the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies chooses not to act as the Complainant in the resolution process or requests that the Complaint not be pursued. If the University decides to pursue a claim of discrimination by a visitor, third party or applicant through the applicable Equity Resolution Process, the University will act as the Complainant. Former University Faculty or Staff members may act as the Complainant in the applicable Equity Resolution Process only when their employment is terminated and they allege that the termination of employment was discriminatory. For any other allegations of discrimination by former University Faculty or Staff members, the University will investigate and appropriately respond to reports of a violation of the University's Anti-Discrimination Policies and if the University decides to pursue a claim of discrimination through the applicable equity resolution process, the University will act as the Complainant.
 3. **Complaint.** A document prepared by the Equity Officer when a verbal or written report of alleged discrimination or harassment becomes known to the University, or a document filed and signed by a Complainant alleging discrimination or harassment against a Respondent and requesting that the University investigate the allegation.
 4. **Conflict Resolution.** A voluntary resolution process using alternative dispute resolution mechanisms such as mediation, facilitated dialogue, or restorative justice.

5. **Designated Administrator.** Designated Administrators are administrators selected by the System Chief Diversity Officer to assist in the Administrative Resolution process.
6. **Equity Human Resources Officer (“Equity HR Officer”).** The Equity Human Resources Officers (“Equity HR Officer”) are trained human resources and/or equity administrators designated by either the Chancellor (or Designee) for University Staff Members and MU Health Staff Members or the President (or Designee) for System Staff Members to receive and assist with the investigation and resolution of reports or Complaints regarding violation of the University’s Anti-Discrimination Policies.
7. **Equity Officer.** The Equity Officer is a trained administrator designated by the Chancellor (or Designee) to receive and assist with the investigation and resolution of Complaints regarding violation of the University’s Anti-Discrimination Policies. All references to “Equity Officer” throughout this policy refer to the Equity Officer, or the Equity Officer’s designee.
8. **Equity Resolution Appellate Officers.** Equity Resolution Appellate Officers are trained, senior-level administrators who hear all requests for reconsideration of summary determination and appeals stemming from the Equity Resolution Process, and are designated by either the Chancellor (or Designee) for University Staff Members or Health System Staff Members Respondents, or the President (or Designee) for System Staff Members or University Respondents.
9. **Equity Support Person.** The individuals selected by a Party to provide support and guidance throughout the Equity Resolution Process. Each Party is allowed one Equity Support Person.
10. **Investigators.** Investigators are trained individuals appointed by the Equity Officer to conduct investigations of the alleged violations of the University’s Anti-Discrimination Policies.
11. **Parties.** The Complainant and the Respondent are collectively referred to as the Parties.
12. **Record of the Case.** The Record of the Case in the Section 600.050 Process includes, when applicable: Letter(s) of Notice, investigative report and exhibits; the finding on each of the alleged policy violations and sanctions by the decision-maker and the decision on appeal, including the request for appeal, any additional evidence submitted for appeal, and written arguments of the parties, if applicable.
13. **Report.** Any verbal or written communication or notice of an alleged violation of the University’s Anti-Discrimination Policies.
14. **Respondent.** “Respondent” refers to the staff member or members alleged to have violated the University’s Anti-Discrimination Policies, or the University of Missouri, one of the Universities within the University of Missouri System, or one of its or their academic programs, departments, or other institutional entities, depending on the nature of the report. If the University of Missouri is the Respondent, the Equity Officer will designate the Respondent representative, consistent with the below guidelines:
 - a. For institutional complaints involving recruitment and admissions, the Respondent shall normally be represented by the Director of Admissions.
 - b. For institutional complaints involving treatment in educational programs, the Respondent shall normally be represented by the appropriate department head.

- c. For institutional complaints involving nonacademic matters related to campus living and student life, the Respondent shall normally be represented by the appropriate administrative supervisor, department head, and/or director.
 - d. For institutional complaints arising out of employment, the Respondent shall normally be represented by the supervisor, department head, or director of the employing unit.
 - e. For institutional complaints relating to financial aid decisions, the Respondent shall normally be the Director of Student Financial Aid where the application for financial aid was originally filed or the award originally made.
15. **Staff Members.** Staff members include all Administrative, Service and Support Staff, which includes all regular employees, variable hour employees, nonregular employees, per diem employees as defined in Section 320.050.II of the Collected Rules and Regulations, and Subsidiary Employees as defined in Section 320.050.III. When academic administrators are acting in their administrative, at-will role, Complaints against them will be processed pursuant to this Equity Resolution Process.
16. **Summary Resolution.** Resolution of the Complaint upon the determination by the Equity Officer that there is an insufficient basis to proceed with the Complaint that the Respondent violated the University's Anti-Discrimination Policies.
17. **Supervisor.** The individual or individuals who have authority to terminate the Respondent's employment. If a supervisor has a conflict as determined by the Equity Officer, the Equity HR Officer will determine the appropriate manager to act as the Supervisor for purposes of this rule.
18. **University's Anti-Discrimination Policies.** The University's Anti-Discrimination Policies include the Equal Employment/Education Opportunity and nondiscrimination Policy located at Section 600.010 of the Collected Rules and Regulations.
- E. **Making a Report.** Any person (whether or not the person reporting is the person alleged to be the victim of conduct that could constitute discrimination or harassment) may report discrimination or harassment to the Equity Officer. A report may be made in person, or at any time (including during non-business hours) by mail, by telephone, or by electronic mail, using the contact information listed for the Equity Officer, by an online portal set up by the University for this purpose, or by any other means that results in the Equity Officer receiving the person's verbal or written report. Individuals may also contact campus police if the alleged offense may also constitute a crime. In order to foster reporting and participation, the University may provide amnesty to Parties and witnesses accused of minor student conduct violations ancillary to the incident.
- F. **Preliminary Contact and Inquiry.** Upon receiving a report, the Equity Officer shall promptly contact the Complainant to discuss the availability of supportive measures as defined herein, consider the Complainant's wishes with respect to supportive measures, inform the Complainant of availability of supportive measures with or without the filing of a Complaint, and explain to the Complainant the process for filing a Complaint. If the identity of the Complainant is unknown, the Equity Officer may conduct a limited investigation sufficient to identify to Complainant to the extent possible.
- In addition to making preliminary contact, the Equity Officer shall conduct a preliminary inquiry to gather enough information to make a threshold decision regarding whether the report describes a possible violation of the University's anti-discrimination policies.

If the report describes a possible violation, the Equity Officer will refer the matter to the appropriate procedural process and provide appropriate supportive measures. If the report does not describe a possible violation, the matter will be referred to the appropriate non-Equity process. Under those circumstances, the Equity Officer may counsel and suggest monitoring or training opportunities to correct for inappropriate behavior that does not rise to the level of a violation.

The preliminary inquiry shall be conducted promptly (typically within 7-10 business days) of receiving the report.

G. Filing a Complaint.

A Complaint is a document prepared by the Equity Officer after a verbal or written report of alleged discrimination or harassment becomes known to the University, or a document filed and signed by a Complainant alleging discrimination or harassment against a Respondent and requesting that the University investigate the allegation. As used herein, the phrase “document filed and signed by a complainant” means a document or electronic submission (such as by electronic mail or through an online portal provided for this purpose by the University) that contains the complainant’s physical or digital signature, or otherwise indicates that the Complainant is the person filing the Complaint.

All Complaints alleging discrimination or harassment under this policy will be investigated. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University’s Anti-Discrimination policies chooses not to act as the Complainant in the resolution process or requests that the Complaint not be pursued. If the University decides to pursue a report of discrimination by a visitor, third party or applicant through the applicable equity resolution process, the University will act as the Complainant. Where the Equity Officer prepares a Complaint, the Equity Officer is not a Complainant or otherwise a party under this policy.

The University may consolidate Complaints as to allegations of discrimination or harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one party against the other Party where the allegations of discrimination or harassment, arise of the same facts or circumstances. Where this process involves more than one Complainant or more than one Respondent, each Complainant and each Respondent shall be entitled and subject to all of the rights and obligations set forth herein.

H. Notice of Allegations:

1. Upon receipt of a Complaint, the Equity Officer, will provide a written notice to the known Parties that includes the following:
 - a. A description of the University’s available Equity Resolution processes, including Conflict Resolution;
 - b. Notice of the allegations of discrimination and/or harassment, including sufficient details known at the time. Sufficient details include the identities of the Parties involved in the incident, if known; the conduct allegedly constituting the discrimination and/or harassment; and the date and location of the alleged incident.
 - c. A statement that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the Equity Resolution process.
 - d. A statement notifying the Parties of the availability of supportive measures.

- e. A statement notifying the Parties of their right to have an Equity Support Person of their choice, who may be, but is not required to be, an attorney.
 - f. A statement notifying the Parties that they may have an Equity Support Person selected by a Party accompany the Party to all meetings, interviews, and proceedings to provide support for the Party throughout the Equity Resolution Process.
 - g. A statement notifying the Parties that they will be permitted to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Complaint, including the evidence upon which the University does not intend to rely in reaching a determination regarding responsibility and including inculpatory or exculpatory evidence whether obtained from a Party or other source.
 - h. A statement notifying the Parties that they must be truthful when making any statement or providing any information or evidence to the University throughout the process, and all documentary evidence must be genuine and accurate. False statements and fraudulent evidence by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or for disciplinary action pursuant to CRR 200.010 for students.
 - i. A statement that nothing in the Equity Process is intended to supersede nor expand any rights the individual may have under applicable state or federal statutory laws or the U.S. Constitution.
 - j. A statement informing a Party that all notices hereafter will be sent via their University-issued email account, unless they provide to the Equity Officer an alternate method of notification. If a Party does not have a University-issued email account, all notices hereafter will be via U.S. Mail unless they provide the Equity Officer with a preferred method of notification.
2. The Notice of Allegations will be made in writing to the Parties by email to the Party's University-issued email account, with a read-receipt or reply email requested. If a read-receipt or reply email is not returned within ~~one-three~~ (43) business days or the Party does not have a University-issued email account, the Notice of Allegations shall be sent via U.S. Mail postage pre-paid to the last known address of the Party. Notice also may be provided in person to either Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual, or 3) when mailed.

1. Supportive Measures and Administrative Leave

- 3-1. Supportive Measures. Supportive measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a Complaint. These measures are designed to restore or preserve equal access to the University's education programs, activities or employment without unreasonably burdening the other Party, including measures designed to protect the safety of all Parties or the University's education environment, or deter discrimination and harassment. The University will maintain as confidential any supportive measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the supportive measures. The Equity Officer is responsible for the effective implementation of supportive measures. Supportive measures may include:

- a. Referral and facilitating contact for the Complainant or Respondent for counseling or other support services.
- b. Mutual restrictions on contact between the Parties.
- c. Providing campus escort services to the Parties.
- d. Increased security and monitoring of certain areas of the campus.
- e. Adjusting the extracurricular activities, work schedules, work assignments, supervisory responsibilities, or work arrangements of the Complainant and/or Respondent, as appropriate.
- f. If either Party is a student:
 - (1) Referral of that Party to academic support services and any other services that may be beneficial to the Party.
 - (2) Adjusting the courses, assignments, and/or exam schedules of the Party.
 - (3) Altering the on-campus housing assignments, dining arrangements, or other campus services for the Party.
- g. Providing limited transportation accommodations for the Parties.
- h. Informing the Parties of the right to notify law enforcement authorities of the alleged incident and offering to help facilitate such a report.

~~4.2.~~ **Administrative Leave.** ~~The Equity Officer may implement~~ an administrative leave for an employee in accordance with University Human Resources Policies.

~~J.J.~~ **Employees and Students Participating in the Equity Resolution Process.** All University employees and students must be truthful when making any statement or providing any information or evidence to the University throughout the process, including to the Investigator, the Equity HR Officer (or Designee), the Equity Officer, and/or the Equity Resolution Appellate Officer, and all documentary evidence must be genuine and accurate. False statements, fraudulent evidence or refusal to cooperate with the Investigator, the Equity HR Officer (or Designee), the Equity Officer, and/or the Equity Resolution Appellate Officer by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or if by a student may be the basis for disciplinary action pursuant to CRR 200.010. However, this obligation does not supersede nor expand any rights the individual may have under applicable state or federal statutory law or the U.S. Constitution. For purposes of this policy, "refusal to cooperate" does not include refusal to participate in any proceedings involving sex discrimination. The fact that a determination has been made that a Respondent has or has not violated any policy is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness. No employee or student, directly or through others, should take any action which may interfere with the investigation. Employees and students are prohibited from attempted or actual intimidation or harassment of any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.

~~J.K.~~ **Rights of the Parties in the Equity Resolution Process.**

1. To be treated with respect by University officials.
2. To be free from retaliation.
3. To have access to University support resources (such as counseling and mental health services and University health services).
4. To request a no contact directive between the Parties.

5. To have an Equity Support Person of the Party's choice accompany the Party to all interviews, meetings, and proceedings throughout the Equity Resolution Process.
6. To refuse to have an allegation resolved through Conflict Resolution Process.
7. To receive prior to Administrative Resolution, an investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and written response.
8. To have an opportunity to present a list of potential witnesses and provide evidence to the Investigator.
9. To have Complaints heard in substantial accordance with these procedures.
10. To receive written notice of any delay of the process or limited extension of time frames.
11. To be informed of the finding, rationale, sanctions and remedial actions.
12. To report the matter to law enforcement (if applicable) and to have assistance in making that report.
13. To have an opportunity to ~~appeal request reconsideration of thea~~ summary determination ending the process, and appeal the determination of a decision-maker.
14. When the Complainant is not the reporting Party, the Complainant has full rights to participate in any Equity Resolution Process under this policy.
15. Additional Rights for Students as a Party:
 - a. To request reasonable housing, living and other accommodations and remedies consistent with Section 600.050.I.
 - b. To receive amnesty for minor student misconduct that is ancillary to the incident, at the discretion of the Equity Officer.

K-L Role of Equity Support Persons. Each Complainant and Respondent is allowed to have one Equity Support Person of their choice present with them for all Equity Resolution Process interviews, meetings and proceedings. The Parties may select whomever they wish to serve as their Equity Support Person, including an attorney. An Equity Support Person is not required and any Party may elect to proceed without an Equity Support Person.

If Complainant is a student, they may request that the Equity Officer assign an Equity Support Person to provide support throughout the Equity Resolution Process.

University Equity Support Person(s) are administrators, faculty, or staff at the University trained on the Equity Resolution Process. The Complainant may not require that the assigned Equity Support Person have specific qualifications such as being an attorney. An Equity Support Person cannot be called upon as a witness by a Party in a hearing to testify about matters learned while that individual was acting in their capacity as an Equity Support Person.

L-M Investigation. Upon the initiation of a formal investigation, the Equity Officer will promptly appoint a trained Investigator or a team of trained Investigators to investigate the Complaint.

The burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rests on the University.

The University cannot access, consider, disclose, or otherwise use a Party's records that are made or maintained by a physician, psychiatrist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the Party, unless the University obtains that Party's voluntary, written consent to do so for use in the Equity Resolution process.

The Parties are not prohibited from discussing the allegations under investigation or from gathering and presenting relevant evidence. The Parties may present witnesses and other inculpatory and exculpatory evidence; all such evidence must be relevant. A Party whose participation is expected or invited at an interview or meeting shall receive written notice of the date, time, location, participants, and purpose of all meetings or investigative interviews with sufficient time for the Party to prepare to participate.

The Parties may be accompanied to any related meeting or proceeding by an Equity Support Person of their choice, who may be, but is not required to be, an attorney; however, the Equity Support Person may only participate in the proceedings as set forth in this policy.

The Investigator(s) will make reasonable efforts to conduct interviews with the Parties and relevant witnesses, obtain available evidence and identify sources of expert information, if necessary. The Investigator(s) will provide an investigative report to the Equity Officer. This report may contain the Investigator's observations regarding the credibility of the Complainant, the Respondent, and any witnesses interviewed.

The final investigative report will fairly summarize the relevant evidence.

All investigations will be thorough, reliable and impartial. All interviews shall be recorded. In the event that recording is not possible due to technological issues, the investigator shall take thorough notes and such notes shall be provided to the Parties in lieu of recordings. The investigator shall document the reason the recording was not possible and such documentation shall become part of the Record of the Case.

The investigation of reported discrimination or harassment should be completed expeditiously, normally within thirty (30) business days of the filing of the Complaint. Investigation of a Complaint may take longer based on the nature and circumstances of the Complaint.

M-N. Impact of Optional Report to Law Enforcement. A delay may also occur when criminal charges on the basis of the same behaviors that invoke this process are being investigated, to allow for evidence collection by the law enforcement agency. However, University action will not typically be altered or precluded on the grounds that civil cases or criminal charges involving the same incident have been filed or that such charges have been dismissed or reduced.

The Equity Officer will not wait for the conclusion of a criminal investigation or criminal proceeding to begin the Equity Resolution process. However, an Equity investigation and resolution process may be temporarily delayed for good cause, which can include concurrent law enforcement activity. In such instances, written notice of the delay or extension with reasons for the action will be sent to each Party. If delayed, the Equity Officer will promptly resume the Equity investigation as soon as notified by the law enforcement agency that it has completed the evidence-gathering process. The Equity Officer will implement appropriate supportive measures during the law enforcement agency's investigation period to provide for the safety of all Parties, the University community and the avoidance of retaliation, discrimination, or harassment.

N-O. Summary Resolution. During or upon completion of investigation, the Equity Officer will review the investigation which may include meeting with the Investigator(s). The investigative report is not provided to the Parties during Summary Resolution, but is provided to the Parties at Administrative Resolution. Based on that review, the Equity Officer will make a summary determination whether, based on the evidence gathered, there is a sufficient basis to proceed with the Complaint that the Respondent is responsible for violating the University's Anti-Discrimination Policies.

If the Equity Officer determines that there is a sufficient basis to proceed with the Complaint, then the Equity Officer will direct the process to continue. The Complaint will then be resolved through either Conflict Resolution or Administrative Resolution. There is no right to request reconsideration or appeal the summary determination to continue the process.

If the Equity Officer determines that there is an insufficient basis to proceed with the Complaint, then the process will end and the Complainant and Respondent will simultaneously be sent written notification of the determination and advised of their right to request reconsideration. The Equity Officer may counsel and suggest monitoring or training opportunities to correct for inappropriate behavior that does not rise to the level of a violation.

~~Upon a summary determination ending the process, the University will promptly send written notice of the summary determination and reason(s) therefor simultaneously to the Parties.~~

The Parties may request that the Equity Resolution Appellate Officer reconsider ~~appeal a~~ summary determination ending the process ~~in accordance with Section S.~~ ~~If the summary determination ending the process is reversed, by filing a written request with~~ the Equity Resolution Appellate Officer within five (5) business days of notice of the summary determination. If the Equity Resolution Appellate Officer decides there is a sufficient basis to proceed with the Complaint, the Equity Resolution Appellate Officer will reverse the determination ending the process and will direct the process to continue pursuant to this policy. The Equity Resolution Appellate Officer will simultaneously send the Parties notice of their decision. This decision to continue the process lies in the sole discretion of the Equity Resolution Appellate Officer and such decision is final. Further reconsideration of such decision is not permitted.

If the Equity Resolution Appellate Officer agrees with the summary determination ending the process by the Equity Officer that there is not a sufficient basis to proceed with the Complaint, then the process will end and the Complainant and the Respondent will simultaneously be sent written notification of the decision. This decision to end the process lies in the sole discretion of the Equity Resolution Appellate Officer and such decision is final. Further reconsideration of such decision is not permitted

~~Q.P.~~ **Conflict Resolution.** The Parties may choose to engage in Conflict Resolution at any time during the Equity Resolution Process. The decision of the Parties to engage in Conflict Resolution must be voluntary, informed, and in writing. The Parties are not required to engage in Conflict Resolution as a condition of enrollment or continuing enrollment, or employment or continuing employment, or enjoyment of any other right. The Parties are not required to waive their right to an investigation of a Complaint or a right to Administrative Resolution. It is not necessary to pursue Conflict Resolution prior to pursuing the Administrative Resolution Process and either Party can stop the Conflict Resolution Process at any time and request the Administrative Resolution Process. Conflict Resolution is never available to resolve allegations that an employee sexually harassed or engaged in sexual misconduct with a student. Upon receiving a request for Conflict Resolution, the Equity Officer will determine if Conflict Resolution is appropriate based on the willingness of the Parties, the nature of the conduct at issue and the susceptibility of the conduct to Conflict Resolution.

In Conflict Resolution, which includes mediation or facilitated dialogue, a neutral facilitator will foster dialogue with the Parties to an effective resolution, if possible.

The Complainant's and the Respondent's Equity Support Person may attend the Conflict Resolution meeting. The Parties will abide by the terms of the agreed upon resolution. Failure to abide by the terms of the agreed upon resolution may be referred to the Equity Officer for review and referral to the appropriate University Process for discipline or sanctions. The Equity Officer will keep records of any Conflict Resolution that is reached.

In the event the Parties are unable to reach a mutually agreeable resolution, the matter will be referred back to the Administrative Resolution process. The content of the Parties' discussion during the Conflict Resolution Process will be kept confidential in the event the matter proceeds to the Administrative Resolution Process. The Parties' agreement to participate in, refusal to participate in, or termination of participation in Conflict Resolution shall not be factors in any subsequent decisions regarding whether a policy violation occurred.

P-Q. Administrative Resolution.

1. **Procedural Details for Administrative Resolution.** The Administrative Resolution process is a process whereby decision-makers will meet with the Parties and their Equity Support Person, if any, and consider the evidence provided by the investigator, including the investigative report, and evidence provided by the Parties, and will make a determination of responsibility that is binding on both Parties. For the Administrative Resolution Process, which is described in more detail below, the following will apply:
 - a. The standard of proof will be "preponderance of the evidence," defined as determining whether evidence shows it is more likely than not that a policy violation occurred.
 - b. The decision-makers have the discretion to determine the relevance of any witness or documentary evidence and may exclude information that is irrelevant, immaterial, cumulative, or more prejudicial than informative. In addition, the following rules shall apply to the introduction of evidence:
 - (1) Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
 - (2) Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the decision-makers.
 - (3) Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the decision-makers.
 - (4) A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or

maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.

(5) The decision-makers shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.

- c. In the Administrative Resolution Process, the Respondent and the Complainant may provide a list of questions for the decision-makers to ask the other Party. If those questions are deemed appropriate and relevant, they may be asked on behalf of the requesting Party; answers to such questions will be shared with the requesting Party.
- d. The Administrative Resolution Process may proceed regardless of whether the Respondent chooses to participate in the investigation or the finding.
- e. The Administrative Resolution Process will normally be completed within a reasonably prompt time period, not to exceed one hundred twenty (120) days, following the Equity Officer's receipt of a Complaint. Unusual delays will be promptly communicated to both Parties.
- f. For good cause, the Equity Officer (for University Respondents), or Equity HR Officer (for Staff Respondents) may, in their discretion, grant reasonable extensions to the timeframes and limits provided.

2. **Process for Administrative Resolution**

Administrative Resolution can be pursued for any behavior that falls within the University's Anti-Discrimination Policies.

The Administrative Resolution process consists of:

- a. A prompt, thorough and impartial investigation by the Investigator;
- b. A separate meeting with each Party and their Equity Support Person, if any, and the joint decision-makers, if requested;
- c. A joint finding by designated decision-makers. For Complaints against a Staff member as a Respondent, a joint finding will be issued by the Equity HR Officer and Supervisor on each of the alleged policy violations and sanctions and remedial actions, if any, for findings of responsibility. For Complaints against the University of Missouri as a Respondent, a joint finding will be issued by the Equity Officer and Designated Administrator on each of the alleged policy violations and remedial actions for findings of responsibility.

At least fifteen (15) business days prior to meeting with the decision-makers or if no meeting is requested, at least fifteen (15) business days prior to the decision-makers rendering a finding(s), the Equity Officer (for University Respondents) or Equity HR Officer (for Staff Respondents) will send a letter (Notice of Administrative Resolution) containing the following information to the Parties:

- d. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
- e. Reference to or attachment of the applicable procedures.
- f. A copy of the final Investigative Report.
- g. The option and deadline of ten (10) business days from the date of the notice to request a meeting with the decision-makers.
- h. An indication that the Parties may have the assistance of an Equity Support Person of their choosing at the meeting with the decision-

makers, though the Equity Support Person's attendance at the meeting is the responsibility of the respective Parties.

The Notice of Administrative Resolution will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.

The Investigator(s) will also provide a copy of the final Investigative report to the Equity HR Officer and Supervisor (if Staff Respondent) or to the Equity Officer and Designated Administrator (if University Respondent).

The decision-makers can, but are not required to, meet with and question the Investigator(s) and any identified witnesses. The decision-makers may request that the Investigator(s) conduct additional interviews and/or gather additional information. The decision-makers will attempt to meet separately with the Complainant and the Respondent, and their Equity Support Person, if any, to review the alleged policy violations and the investigative report. The Respondent may choose to admit responsibility for all or part of the alleged policy violations at any point in the process. If the Respondent admits responsibility, in whole or in part, the decision-makers will render a finding that the individual is in violation of University policy for the admitted conduct. For any disputed violations, the decision-makers will render a joint finding utilizing the preponderance of the evidence standard. The decision-makers will also render a finding on appropriate sanctions or remedial actions, if applicable. The joint finding(s) are subject to appeal.

The Equity HR Officer (if Staff Respondent) or the Equity Officer (if University Respondent) will inform the Respondent and the Complainant simultaneously of the joint finding on each of the alleged policy violations and the joint finding on sanctions for findings of responsibility, if applicable, within ten (10) business days of the last meeting with any Party or witness. Notice will be made to the Respondent and the Complainant simultaneously in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.

Q-R. **Sanctions and Remedial Actions**

1. If the Staff Respondent is found responsible for a violation of the University's Anti-Discrimination Policies, the Equity HR Officer and Supervisor will determine sanctions and remedial actions. If the University is found responsible for a violation of the University's Anti-Discrimination Policies, the Equity Officer and Designated Administrator will determine remedial actions.
2. Factors to be considered when finding sanctions and remedial actions may include:
 - a. The nature, severity of, and circumstances surrounding the violation;
 - b. The disciplinary history of the Respondent;
 - c. The need for sanctions/remedial actions to bring an end to the conduct;
 - d. The need for sanctions/remedial actions to prevent the future recurrence of conduct;
 - e. The need to remedy the effects of the conduct on the Complainant and the University community; and

- f. Any other information deemed relevant by the decision-maker(s).
3. **Types of Sanctions.** The following sanctions may be imposed upon any Staff Member found to have violated the University's Anti-Discrimination Policies. Multiple sanctions may be imposed for any single violation. Sanctions include but are not limited to:
- a. Warning – verbal or written;
 - b. Performance improvement plan;
 - c. Required counseling;
 - d. Required training or education;
 - e. Loss of annual pay increase;
 - f. Loss of supervisory responsibility;
 - g. Demotion;
 - h. Suspension without pay;
 - i. Termination; and
 - j. Recommendation of discipline in a training program, including recommendation of termination, suspension or other corrective or remedial actions.
4. **Remedial Actions.** The following remedial actions may also be imposed to address the effects of the violation(s) of the University's Anti-Discrimination Policies on the Complainant for violations by a Staff Member or the University as a Respondent. The Equity Officer or Equity HR Officer is responsible for effective implementation of any remedial actions. Such remedial actions will vary depending on the circumstances of the policy violation(s), but may include:
- a. Where the Complainant is a student:
 - (1) Permitting the student to retake courses;
 - (2) Providing tuition reimbursement;
 - (4) Removal of a disciplinary action; and
 - (5) Providing educational and/or on-campus housing accommodations.
 - b. Where the Complainant is an employee:
 - (1) Removal of a disciplinary action;
 - (2) Modification of a performance review;
 - (3) Adjustment in pay;
 - (4) Changes to the employee's reporting relationships; and
 - (5) Workplace accommodations.
 - c. In addition, the University may offer or require training and/or monitoring as appropriate to address the effects of the violation(s) of the University's Anti-Discrimination Policies.
5. **When Implemented.** Sanctions and remedial actions are implemented immediately by the Equity Officer, unless the Equity Resolution Appellate Officer stays their implementation pending the outcome of the appeal.

R-S. Appeal. Both the Complainant and the Respondent are allowed to appeal the dismissal of a Complaint or any allegations therein, summary determination ending the process, or a determination regarding responsibility in the Administrative Resolution Process.

1. **Grounds for Appeal.** ~~Both the Complainant and the Respondent are allowed to appeal the dismissal of a Complaint or any allegations therein, summary determination ending the process, or a determination regarding responsibility in the Administrative Resolution Process.~~ Grounds for appeal are limited to the following:
- a. A procedural irregularity that affected the outcome of the dismissal decision or the Administrative Resolution Process (e.g., material deviation from established procedures, etc.);
 - b. To consider new evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter;
 - c. That the Equity Officer, Equity HR Officer, Investigator(s), or other decision-maker(s) had a conflict of interest or bias for or against Complainants or Respondents generally or the individual Complainant or Respondent that affected the outcome of the matter; or
 - d. The sanctions fall outside the range typically imposed for this offense, or for the cumulative disciplinary record of the Respondent.
2. **Requests for Appeal.** Both the Complainant and the Respondent may appeal to the Equity Resolution Appellate Officer. The Equity Resolution Appellate Officer must not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent; if the Equity Resolution Appellate Officer does not believe that they can make an objective decision about an appeal, they should recuse themselves and the Chancellor (or Designee) for University Staff Respondents, or the President (or Designee) for System Staff and University Respondents, shall appoint an alternate Equity Resolution Appellate Officer to hear the pending appeal. All requests for appeal must be submitted in writing to the Equity Resolution Appellate Officer within five (5) business days of the delivery of the notice of joint findings by the designated decision-makers. When any Party requests an appeal, the other Party will be notified and receive a copy of the request for appeal from the Equity Resolution Appellate Officer.
3. **Response to Request for Appeal.** Within five (5) business days of the delivery of the notice and copy of the request for appeal, the non-appealing Party may file a written response to the request for appeal. The written response can address that sufficient grounds for appeal have not been met and/or the merits of the appeal.
4. **Review of the Request to Appeal.** The Equity Resolution Appellate Officer will make an initial review of the appeal request(s) to determine whether:
- a. The request is timely;
 - b. The appeal is on the basis of any of the articulated grounds listed above; and
 - c. When viewed in the light most favorable to the appealing Party, the appeal states grounds that could result in an adjusted finding or sanction.

The Equity Resolution Appellate Officer will reject the request for appeal if any of the above requirements are not met. The decision to reject the request for appeal is final and further appeals and grievances are not permitted. The Equity Resolution Appellate Officer will render a written decision whether the request for appeal is accepted or rejected within fifteen (15) business days from receipt of the request for appeal. If no written decision is provided to the

Parties within fifteen (15) business days from receipt of the request, the appeal will be deemed accepted.

5. **Review of the Appeal.** If all three requirements for appeal listed in Paragraph 4 above are met, the Equity Resolution Appellate Officer will accept the request for appeal and proceed with rendering a decision on the appeal applying the following additional principles:
 - a. Appeals are not intended to be full re-hearings of the Complaint and are therefore deferential to the original findings. In most cases, appeals are confined to a review of the written documentation and Record of the Case, and pertinent documentation regarding the grounds for appeal. Appeals granted based on new evidence should normally be remanded to the original decision-maker for reconsideration.
 - b. The Equity Resolution Appellate Officer will provide a written decision on the appeal simultaneously to all Parties within ten (10) business days from accepting the request for appeal. This decision will describe the result of the appeal and the rationale for the result.
 - c. In the event the Equity Resolution Appellate Officer is unable to render a written decision within ten (10) business days from accepting the request for appeal, the Equity Resolution Appellate Officer will promptly notify the Parties in writing of the delay.
 - d. Once an appeal is decided, the outcome is final. Further appeals and grievances are not permitted.
6. **Extensions of Time.** For good cause, the Equity Resolution Appellate Officer may grant reasonable extensions of time (e.g.: 7-10 business days) to the deadlines in the appeal process. The Equity Resolution Appellate Officer will notify the Parties in writing if such extensions are granted.

S.T. **Failure to complete Sanctions/Comply with Interim and Long-term Remedial Actions.** All Respondents are expected to comply with all sanctions and remedial actions within the timeframe specified. Failure to follow through on these sanctions and remedial actions by the date specified, whether by refusal, neglect, or any other reason, may result in additional sanctions and remedial actions through the applicable process.

T.U. **Records.** In implementing this policy, records of all Complaints and resolutions will be kept by the Equity Officer. For purposes of review or appeal, the Record of the Case will be accessible at reasonable times and places to the Respondent and the Complainant. The Record of the Case will be kept for a minimum of seven (7) years following final resolution. Each Equity Officer, including the Equity Officer for the academic medical center, shall maintain statistical, de-identified data on the race, gender and age of each Party to a Complaint for that university/ academic medical center, and will report such data on an annual basis to the President of the University of Missouri. Additionally, statistical data relating to each university in the University of Missouri System shall be reported on an annual basis to that university's Chancellor and chief officers for human resources, student affairs, and diversity, equity and inclusion; the academic medical center shall report such statistical data for the academic medical center on an annual basis to the Executive Vice-Chancellor for Health Affairs. Data relating to the University of Missouri System shall be reported on an annual basis to the University of Missouri System's chief officers for human resources, student affairs, and diversity, equity and inclusion.

U.V. **Retaliation.** The University strictly prohibits retaliation against any person for making any good faith report of discrimination or harassment, or for filing, testifying, assisting, or participating in any investigation or proceeding involving

allegations of discrimination or harassment. For matters involving discrimination or harassment other than sex discrimination under this policy, employees have an obligation to cooperate with University officials including the Investigator, Equity Officer, Equity HR Officer, Supervisor, and/or the Equity Resolution Appellate Officer. For matters involving sex discrimination under this policy, no person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by law, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing. Intimidation, threats, coercion, or discrimination, including charges against an individual for policy violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or Complaint of sexual harassment, for the purpose of interfering with any right or privilege secured by law, constitutes retaliation.

The University must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a Complaint of sexual harassment, any Complainant, any individual who has been reported to be the perpetrator of sex discrimination, any Respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of applicable law, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder. Complaints alleging retaliation may be filed with the Equity Officer in accordance with CRRs 600.010, 600.040, and 600.050. Any person who engages in such retaliation shall be subject to disciplinary action, up to and including expulsion or termination, in accordance with applicable procedures. Any person who believes they have been subjected to retaliation is encouraged to notify the Equity Officer. The University will promptly investigate all complaints of retaliation in accordance with this policy.

The exercise of rights protected under the First Amendment does not constitute retaliation prohibited under this section.

Charging an individual with a policy violation for making a materially false statement in bad faith in the course of any proceedings under this policy does not constitute retaliation provided, however that a determination regarding responsibility, alone, is not sufficient to conclude that any Party made a materially false statement in bad faith.

600.050 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Staff Member or the University of Missouri - for matters involving conduct alleged to have occurred on or after August 14, 2020

Bd. Min. 2-5-15; Amended 2-9-17 with effective date of 3-1-17; Amended 7-28-20 with an effective date of 8-14-20.

- A. **General.** The University will promptly and appropriately respond to any report of violation of the University's Anti-Discrimination Policies. The procedures described below apply to such reports when the Respondent is a Staff Member, or when the Respondent is not an individual actor but rather the University of Missouri, one of the Universities within the University of Missouri System, or one of its or their educational programs, departments, or other institutional entities, except as noted herein. Further, when the report involves allegations against the President or a Chancellor, upon consultation between the Office of the General Counsel and the System Equity Officer, the investigation may be conducted by an outside investigator. This procedure does not govern complaints alleging discriminatory denial of coverage under any University health plan, which complaints shall be processed pursuant to the University's applicable grievance process. Further, this procedure does not apply to complaints alleging conduct that would be defined as sexual harassment under Section 600.020 of the Collected Rules and Regulations.
- B. **Jurisdiction.** Jurisdiction of the University of Missouri generally shall be limited to conduct which occurs on the University of Missouri premises or at University-sponsored or University-supervised functions. However, the University may take appropriate action, including, but not limited to, the imposition of sanctions under Section 600.050 of the Collected Rules and Regulations against Staff Members for conduct occurring in other settings, including off-campus, (1) in order to protect the physical safety of students, employees, and visitors or other members of the University community, (2) if there are effects of the conduct that interfere with or limit any person's ability to participate in or benefit from the University's educational programs, activities or employment, or (3) if the conduct occurs when the Staff Member is serving in the role of a University employee. The University may further take appropriate action, including, but not limited to, the imposition of remedial actions under Section 600.050 of the Collected Rules and Regulations for conduct occurring in other settings, including off-campus, (1) in order to protect the physical safety of students, employees, or visitors or other members of the University community, (2) if there are effects of the conduct that interfere with or limit any person's ability to participate in or benefit from the University's educational

programs, activities or employment, or (3) if the conduct occurs when staff or faculty members are serving in the role of University employees.

If a Complainant alleges or the investigation suggests that a discrimination or harassment policy violation as defined in Section 600.010 of the Collected Rules and Regulations occurred in concert with an alleged violation of the University's Title IX policies, the University shall have the authority to investigate and take appropriate action regarding the alleged violation(s) of the discrimination or harassment policy pursuant to University's Title IX process. If the allegation(s) in the Complaint that fall under the Title IX policy are dismissed, the University may discontinue the process under the Title IX policy and then proceed under this Equity Resolution Process for any remaining reports of alleged violation(s) of Section 600.010 in the Complaint.

Further, if a Complainant simultaneously alleges or the investigation suggests that violations of the University's Anti-Discrimination Policies and disagreements arising from working relationships, working conditions, employment practices, or differences of interpretation of a policy, the University shall have the authority to investigate and take appropriate action regarding each of the Complainant's allegations pursuant to this Equity Resolution Process. In conducting such investigations, the Equity HR Officer or Equity Officer, and/or the Investigator may consult with and/or seek guidance from Human Resources staff or appropriate administrators as necessary.

- C. **At-Will Employment Status.** Nothing contained in this policy is intended and no language contained herein shall be construed as establishing a "just cause" standard for imposing discipline, including but not limited to, termination of employment. Further, nothing contained in this policy is intended and no language contained herein shall be construed to alter in any manner whatsoever the at-will employment status of any at-will University employee.

D. **Definitions:**

1. **Administrative Resolution.** The equity resolution process of a Complaint by making a finding on each of the alleged policy violations and finding on sanctions without a hearing.
2. **Complainant.** "Complainant" refers to the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies chooses not to act as the Complainant in the resolution process or requests that the Complaint not be pursued. If the University decides to pursue a claim of discrimination by a visitor, third party or applicant through the applicable Equity Resolution Process, the University will act as the Complainant. Former University Faculty or Staff members may act as the Complainant in the applicable Equity Resolution Process only when their employment is terminated and they allege that the termination of employment was discriminatory. For any other allegations of discrimination by former University Faculty or Staff members, the University will investigate and appropriately respond to reports of a violation of the University's Anti-Discrimination Policies and if the University decides to pursue a claim of discrimination through the applicable equity resolution process, the University will act as the Complainant.
3. **Complaint.** A document prepared by the Equity Officer when a verbal or written report of alleged discrimination or harassment becomes known to the University, or a document filed and signed by a Complainant alleging discrimination or harassment against a Respondent and requesting that the University investigate the allegation.

4. **Conflict Resolution.** A voluntary resolution process using alternative dispute resolution mechanisms such as mediation, facilitated dialogue, or restorative justice.
5. **Designated Administrator.** Designated Administrators are administrators selected by the System Chief Diversity Officer to assist in the Administrative Resolution process.
6. **Equity Human Resources Officer (“Equity HR Officer”).** The Equity Human Resources Officers (“Equity HR Officer”) are trained human resources and/or equity administrators designated by either the Chancellor (or Designee) for University Staff Members and MU Health Staff Members or the President (or Designee) for System Staff Members to receive and assist with the investigation and resolution of reports or Complaints regarding violation of the University’s Anti-Discrimination Policies.
7. **Equity Officer.** The Equity Officer is a trained administrator designated by the Chancellor (or Designee) to receive and assist with the investigation and resolution of Complaints regarding violation of the University’s Anti-Discrimination Policies. All references to “Equity Officer” throughout this policy refer to the Equity Officer, or the Equity Officer’s designee.
8. **Equity Resolution Appellate Officers.** Equity Resolution Appellate Officers are trained, senior-level administrators who hear all requests for reconsideration of summary determination and appeals stemming from the Equity Resolution Process, and are designated by either the Chancellor (or Designee) for University Staff Members or Health System Staff Members Respondents, or the President (or Designee) for System Staff Members or University Respondents.
9. **Equity Support Person.** The individuals selected by a Party to provide support and guidance throughout the Equity Resolution Process. Each Party is allowed one Equity Support Person.
10. **Investigators.** Investigators are trained individuals appointed by the Equity Officer to conduct investigations of the alleged violations of the University’s Anti-Discrimination Policies.
11. **Parties.** The Complainant and the Respondent are collectively referred to as the Parties.
12. **Record of the Case.** The Record of the Case in the Section 600.050 Process includes, when applicable: Letter(s) of Notice, investigative report and exhibits; the finding on each of the alleged policy violations and sanctions by the decision-maker and the decision on appeal, including the request for appeal, any additional evidence submitted for appeal, and written arguments of the parties, if applicable.
13. **Report.** Any verbal or written communication or notice of an alleged violation of the University’s Anti-Discrimination Policies.
14. **Respondent.** “Respondent” refers to the staff member or members alleged to have violated the University’s Anti-Discrimination Policies, or the University of Missouri, one of the Universities within the University of Missouri System, or one of its or their academic programs, departments, or other institutional entities, depending on the nature of the report. If the University of Missouri is the Respondent, the Equity Officer will designate the Respondent representative, consistent with the below guidelines:
 - a. For institutional complaints involving recruitment and admissions, the Respondent shall normally be represented by the Director of Admissions.

- b. For institutional complaints involving treatment in educational programs, the Respondent shall normally be represented by the appropriate department head.
 - c. For institutional complaints involving nonacademic matters related to campus living and student life, the Respondent shall normally be represented by the appropriate administrative supervisor, department head, and/or director.
 - d. For institutional complaints arising out of employment, the Respondent shall normally be represented by the supervisor, department head, or director of the employing unit.
 - e. For institutional complaints relating to financial aid decisions, the Respondent shall normally be the Director of Student Financial Aid where the application for financial aid was originally filed or the award originally made.
15. **Staff Members.** Staff members include all Administrative, Service and Support Staff, which includes all regular employees, variable hour employees, nonregular employees, per diem employees as defined in Section 320.050.II of the Collected Rules and Regulations, and Subsidiary Employees as defined in Section 320.050.III. When academic administrators are acting in their administrative, at-will role, Complaints against them will be processed pursuant to this Equity Resolution Process.
16. **Summary Resolution.** Resolution of the Complaint upon the determination by the Equity Officer that there is an insufficient basis to proceed with the Complaint that the Respondent violated the University's Anti-Discrimination Policies.
17. **Supervisor.** The individual or individuals who have authority to terminate the Respondent's employment. If a supervisor has a conflict as determined by the Equity Officer, the Equity HR Officer will determine the appropriate manager to act as the Supervisor for purposes of this rule.
18. **University's Anti-Discrimination Policies.** The University's Anti-Discrimination Policies include the Equal Employment/Education Opportunity and nondiscrimination Policy located at Section 600.010 of the Collected Rules and Regulations.
- E. **Making a Report.** Any person (whether or not the person reporting is the person alleged to be the victim of conduct that could constitute discrimination or harassment) may report discrimination or harassment to the Equity Officer. A report may be made in person, or at any time (including during non-business hours) by mail, by telephone, or by electronic mail, using the contact information listed for the Equity Officer, by an online portal set up by the University for this purpose, or by any other means that results in the Equity Officer receiving the person's verbal or written report. Individuals may also contact campus police if the alleged offense may also constitute a crime. In order to foster reporting and participation, the University may provide amnesty to Parties and witnesses accused of minor student conduct violations ancillary to the incident.
- F. **Preliminary Contact and Inquiry.** Upon receiving a report, the Equity Officer shall promptly contact the Complainant to discuss the availability of supportive measures as defined herein, consider the Complainant's wishes with respect to supportive measures, inform the Complainant of availability of supportive measures with or without the filing of a Complaint, and explain to the Complainant the process for filing a Complaint. If the identity of the Complainant is unknown, the Equity Officer may conduct a limited investigation sufficient to identify to Complainant to the extent possible.

In addition to making preliminary contact, the Equity Officer shall conduct a preliminary inquiry to gather enough information to make a threshold decision regarding whether the report describes a possible violation of the University's anti-discrimination policies.

If the report describes a possible violation, the Equity Officer will refer the matter to the appropriate procedural process and provide appropriate supportive measures. If the report does not describe a possible violation, the matter will be referred to the appropriate non-Equity process. Under those circumstances, the Equity Officer may counsel and suggest monitoring or training opportunities to correct for inappropriate behavior that does not rise to the level of a violation.

The preliminary inquiry shall be conducted promptly (typically within 7-10 business days) of receiving the report.

G. Filing a Complaint.

A Complaint is a document prepared by the Equity Officer after a verbal or written report of alleged discrimination or harassment becomes known to the University, or a document filed and signed by a Complainant alleging discrimination or harassment against a Respondent and requesting that the University investigate the allegation. As used herein, the phrase "document filed and signed by a complainant" means a document or electronic submission (such as by electronic mail or through an online portal provided for this purpose by the University) that contains the complainant's physical or digital signature, or otherwise indicates that the Complainant is the person filing the Complaint.

All Complaints alleging discrimination or harassment under this policy will be investigated. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination policies chooses not to act as the Complainant in the resolution process or requests that the Complaint not be pursued. If the University decides to pursue a report of discrimination by a visitor, third party or applicant through the applicable equity resolution process, the University will act as the Complainant. Where the Equity Officer prepares a Complaint, the Equity Officer is not a Complainant or otherwise a party under this policy.

The University may consolidate Complaints as to allegations of discrimination or harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one party against the other Party where the allegations of discrimination or harassment, arise of the same facts or circumstances. Where this process involves more than one Complainant or more than one Respondent, each Complainant and each Respondent shall be entitled and subject to all of the rights and obligations set forth herein.

H. Notice of Allegations:

1. Upon receipt of a Complaint, the Equity Officer, will provide a written notice to the known Parties that includes the following:
 - a. A description of the University's available Equity Resolution processes, including Conflict Resolution;
 - b. Notice of the allegations of discrimination and/or harassment, including sufficient details known at the time. Sufficient details include the identities of the Parties involved in the incident, if known; the conduct allegedly constituting the discrimination and/or harassment; and the date and location of the alleged incident.
 - c. A statement that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the Equity Resolution process.

- d. A statement notifying the Parties of the availability of supportive measures.
 - e. A statement notifying the Parties of their right to have an Equity Support Person of their choice, who may be, but is not required to be, an attorney.
 - f. A statement notifying the Parties that they may have an Equity Support Person selected by a Party accompany the Party to all meetings, interviews, and proceedings to provide support for the Party throughout the Equity Resolution Process.
 - g. A statement notifying the Parties that they will be permitted to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Complaint, including the evidence upon which the University does not intend to rely in reaching a determination regarding responsibility and including inculpatory or exculpatory evidence whether obtained from a Party or other source.
 - h. A statement notifying the Parties that they must be truthful when making any statement or providing any information or evidence to the University throughout the process, and all documentary evidence must be genuine and accurate. False statements and fraudulent evidence by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or for disciplinary action pursuant to CRR 200.010 for students.
 - i. A statement that nothing in the Equity Process is intended to supersede nor expand any rights the individual may have under applicable state or federal statutory laws or the U.S. Constitution.
 - j. A statement informing a Party that all notices hereafter will be sent via their University-issued email account, unless they provide to the Equity Officer an alternate method of notification. If a Party does not have a University-issued email account, all notices hereafter will be via U.S. Mail unless they provide the Equity Officer with a preferred method of notification.
2. The Notice of Allegations will be made in writing to the Parties by email to the Party's University-issued email account, with a read-receipt or reply email requested. If a read-receipt or reply email is not returned within three (3) business days or the Party does not have a University-issued email account, the Notice of Allegations shall be sent via U.S. Mail postage pre-paid to the last known address of the Party. Notice also may be provided in person to either Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual, or 3) when mailed.

I. Supportive Measures and Administrative Leave

1. **Supportive Measures.** Supportive measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a Complaint. These measures are designed to restore or preserve equal access to the University's education programs, activities or employment without unreasonably burdening the other Party, including measures designed to protect the safety of all Parties or the University's education environment, or deter discrimination and harassment. The University will maintain as confidential any supportive measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the supportive measures. The Equity Officer is responsible for the effective

implementation of supportive measures. Supportive measures may include:

- a. Referral and facilitating contact for the Complainant or Respondent for counseling or other support services.
 - b. Mutual restrictions on contact between the Parties.
 - c. Providing campus escort services to the Parties.
 - d. Increased security and monitoring of certain areas of the campus.
 - e. Adjusting the extracurricular activities, work schedules, work assignments, supervisory responsibilities, or work arrangements of the Complainant and/or Respondent, as appropriate.
 - f. If either Party is a student:
 - (1) Referral of that Party to academic support services and any other services that may be beneficial to the Party.
 - (2) Adjusting the courses, assignments, and/or exam schedules of the Party.
 - (3) Altering the on-campus housing assignments, dining arrangements, or other campus services for the Party.
 - g. Providing limited transportation accommodations for the Parties.
 - h. Informing the Parties of the right to notify law enforcement authorities of the alleged incident and offering to help facilitate such a report.
2. **Administrative Leave.** The Equity Officer may implement an administrative leave for an employee in accordance with University Human Resources Policies.

J. Employees and Students Participating in the Equity Resolution Process. All University employees and students must be truthful when making any statement or providing any information or evidence to the University throughout the process, including to the Investigator, the Equity HR Officer (or Designee), the Equity Officer, and/or the Equity Resolution Appellate Officer, and all documentary evidence must be genuine and accurate. False statements, fraudulent evidence or refusal to cooperate with the Investigator, the Equity HR Officer (or Designee), the Equity Officer, and/or the Equity Resolution Appellate Officer by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or if by a student may be the basis for disciplinary action pursuant to CRR 200.010. However, this obligation does not supersede nor expand any rights the individual may have under applicable state or federal statutory law or the U.S. Constitution. For purposes of this policy, "refusal to cooperate" does not include refusal to participate in any proceedings involving sex discrimination. The fact that a determination has been made that a Respondent has or has not violated any policy is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness.

No employee or student, directly or through others, should take any action which may interfere with the investigation. Employees and students are prohibited from attempted or actual intimidation or harassment of any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.

K. Rights of the Parties in the Equity Resolution Process.

1. To be treated with respect by University officials.
2. To be free from retaliation.
3. To have access to University support resources (such as counseling and mental health services and University health services).
4. To request a no contact directive between the Parties.

5. To have an Equity Support Person of the Party's choice accompany the Party to all interviews, meetings, and proceedings throughout the Equity Resolution Process.
6. To refuse to have an allegation resolved through Conflict Resolution Process.
7. To receive prior to Administrative Resolution, an investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and written response.
8. To have an opportunity to present a list of potential witnesses and provide evidence to the Investigator.
9. To have Complaints heard in substantial accordance with these procedures.
10. To receive written notice of any delay of the process or limited extension of time frames.
11. To be informed of the finding, rationale, sanctions and remedial actions.
12. To report the matter to law enforcement (if applicable) and to have assistance in making that report.
13. To have an opportunity to request reconsideration of the summary determination ending the process, and appeal the determination of a decision-maker.
14. When the Complainant is not the reporting Party, the Complainant has full rights to participate in any Equity Resolution Process under this policy.
15. Additional Rights for Students as a Party:

- a. To request reasonable housing, living and other accommodations and remedies consistent with Section 600.050.I.
- b. To receive amnesty for minor student misconduct that is ancillary to the incident, at the discretion of the Equity Officer.

L. **Role of Equity Support Persons.** Each Complainant and Respondent is allowed to have one Equity Support Person of their choice present with them for all Equity Resolution Process interviews, meetings and proceedings. The Parties may select whomever they wish to serve as their Equity Support Person, including an attorney. An Equity Support Person is not required and any Party may elect to proceed without an Equity Support Person. If Complainant is a student, they may request that the Equity Officer assign an Equity Support Person to provide support throughout the Equity Resolution Process. University Equity Support Person(s) are administrators, faculty, or staff at the University trained on the Equity Resolution Process. The Complainant may not require that the assigned Equity Support Person have specific qualifications such as being an attorney. An Equity Support Person cannot be called upon as a witness by a Party in a hearing to testify about matters learned while that individual was acting in their capacity as an Equity Support Person.

M. **Investigation.** Upon the initiation of a formal investigation, the Equity Officer will promptly appoint a trained Investigator or a team of trained Investigators to investigate the Complaint. The burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rests on the University. The University cannot access, consider, disclose, or otherwise use a Party's records that are made or maintained by a physician, psychiatrist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the Party, unless the University obtains that Party's voluntary, written consent to do so for use in the Equity Resolution process.

The Parties are not prohibited from discussing the allegations under investigation or from gathering and presenting relevant evidence. The Parties may present witnesses and other inculpatory and exculpatory evidence; all such evidence must be relevant. A Party whose participation is expected or invited at an interview or meeting shall receive written notice of the date, time, location, participants, and purpose of all meetings or investigative interviews with sufficient time for the Party to prepare to participate.

The Parties may be accompanied to any related meeting or proceeding by an Equity Support Person of their choice, who may be, but is not required to be, an attorney; however, the Equity Support Person may only participate in the proceedings as set forth in this policy.

The Investigator(s) will make reasonable efforts to conduct interviews with the Parties and relevant witnesses, obtain available evidence and identify sources of expert information, if necessary. The Investigator(s) will provide an investigative report to the Equity Officer. This report may contain the Investigator's observations regarding the credibility of the Complainant, the Respondent, and any witnesses interviewed.

The final investigative report will fairly summarize the relevant evidence.

All investigations will be thorough, reliable and impartial. All interviews shall be recorded. In the event that recording is not possible due to technological issues, the investigator shall take thorough notes and such notes shall be provided to the Parties in lieu of recordings. The investigator shall document the reason the recording was not possible and such documentation shall become part of the Record of the Case.

The investigation of reported discrimination or harassment should be completed expeditiously, normally within thirty (30) business days of the filing of the Complaint. Investigation of a Complaint may take longer based on the nature and circumstances of the Complaint.

- N. **Impact of Optional Report to Law Enforcement.** A delay may also occur when criminal charges on the basis of the same behaviors that invoke this process are being investigated, to allow for evidence collection by the law enforcement agency. However, University action will not typically be altered or precluded on the grounds that civil cases or criminal charges involving the same incident have been filed or that such charges have been dismissed or reduced.

The Equity Officer will not wait for the conclusion of a criminal investigation or criminal proceeding to begin the Equity Resolution process. However, an Equity investigation and resolution process may be temporarily delayed for good cause, which can include concurrent law enforcement activity. In such instances, written notice of the delay or extension with reasons for the action will be sent to each Party. If delayed, the Equity Officer will promptly resume the Equity investigation as soon as notified by the law enforcement agency that it has completed the evidence-gathering process. The Equity Officer will implement appropriate supportive measures during the law enforcement agency's investigation period to provide for the safety of all Parties, the University community and the avoidance of retaliation, discrimination, or harassment.

- O. **Summary Resolution.** During or upon completion of investigation, the Equity Officer will review the investigation which may include meeting with the Investigator(s). The investigative report is not provided to the Parties during Summary Resolution, but is provided to the Parties at Administrative Resolution. Based on that review, the Equity Officer will make a summary determination whether, based on the evidence gathered, there is a sufficient basis to proceed with the Complaint that the Respondent is responsible for violating the University's Anti-Discrimination Policies.

If the Equity Officer determines that there is a sufficient basis to proceed with the Complaint, then the Equity Officer will direct the process to continue. The Complaint will then be resolved through either Conflict Resolution or Administrative Resolution. There is no right to request reconsideration or appeal the summary determination to continue the process.

If the Equity Officer determines that there is an insufficient basis to proceed with the Complaint, then the process will end and the Complainant and Respondent will simultaneously be sent written notification of the determination and advised of their right to request reconsideration. The Equity Officer may counsel and suggest monitoring or training opportunities to correct for inappropriate behavior that does not rise to the level of a violation.

The Parties may request that the Equity Resolution Appellate Officer reconsider summary determination ending the process by filing a written request with the Equity Resolution Appellate Officer within five (5) business days of notice of the summary determination. If the Equity Resolution Appellate Officer decides there is a sufficient basis to proceed with the Complaint, the Equity Resolution Appellate Officer will reverse the determination ending the process and direct the process to continue pursuant to this policy. The Equity Resolution Appellate Officer will simultaneously send the Parties notice of their decision. This decision to continue the process lies in the sole discretion of the Equity Resolution Appellate Officer and such decision is final. Further reconsideration of such decision is not permitted.

If the Equity Resolution Appellate Officer agrees with the summary determination ending the process by the Equity Officer that there is not a sufficient basis to proceed with the Complaint, then the process will end and the Complainant and the Respondent will simultaneously be sent written notification of the decision. This decision to end the process lies in the sole discretion of the Equity Resolution Appellate Officer and such decision is final. Further reconsideration of such decision is not permitted.

- P. **Conflict Resolution.** The Parties may choose to engage in Conflict Resolution at any time during the Equity Resolution Process. The decision of the Parties to engage in Conflict Resolution must be voluntary, informed, and in writing. The Parties are not required to engage in Conflict Resolution as a condition of enrollment or continuing enrollment, or employment or continuing employment, or enjoyment of any other right. The Parties are not required to waive their right to an investigation of a Complaint or a right to Administrative Resolution. It is not necessary to pursue Conflict Resolution prior to pursuing the Administrative Resolution Process and either Party can stop the Conflict Resolution Process at any time and request the Administrative Resolution Process. Conflict Resolution is never available to resolve allegations that an employee sexually harassed or engaged in sexual misconduct with a student. Upon receiving a request for Conflict Resolution, the Equity Officer will determine if Conflict Resolution is appropriate based on the willingness of the Parties, the nature of the conduct at issue and the susceptibility of the conduct to Conflict Resolution.

In Conflict Resolution, which includes mediation or facilitated dialogue, a neutral facilitator will foster dialogue with the Parties to an effective resolution, if possible. The Complainant's and the Respondent's Equity Support Person may attend the Conflict Resolution meeting. The Parties will abide by the terms of the agreed upon resolution. Failure to abide by the terms of the agreed upon resolution may be referred to the Equity Officer for review and referral to the appropriate University

Process for discipline or sanctions. The Equity Officer will keep records of any Conflict Resolution that is reached.

In the event the Parties are unable to reach a mutually agreeable resolution, the matter will be referred back to the Administrative Resolution process. The content of the Parties' discussion during the Conflict Resolution Process will be kept confidential in the event the matter proceeds to the Administrative Resolution Process. The Parties' agreement to participate in, refusal to participate in, or termination of participation in Conflict Resolution shall not be factors in any subsequent decisions regarding whether a policy violation occurred.

Q. Administrative Resolution.

1. Procedural Details for Administrative Resolution. The Administrative Resolution process is a process whereby decision-makers will meet with the Parties and their Equity Support Person, if any, and consider the evidence provided by the investigator, including the investigative report, and evidence provided by the Parties, and will make a determination of responsibility that is binding on both Parties. For the Administrative Resolution Process, which is described in more detail below, the following will apply:

- a. The standard of proof will be "preponderance of the evidence," defined as determining whether evidence shows it is more likely than not that a policy violation occurred.
- b. The decision-makers have the discretion to determine the relevance of any witness or documentary evidence and may exclude information that is irrelevant, immaterial, cumulative, or more prejudicial than informative. In addition, the following rules shall apply to the introduction of evidence:

(1) Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.

(2) Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the decision-makers.

(3) Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the decision-makers.

(4) A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.

(5) The decision-makers shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of,

information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.

- c. In the Administrative Resolution Process, the Respondent and the Complainant may provide a list of questions for the decision-makers to ask the other Party. If those questions are deemed appropriate and relevant, they may be asked on behalf of the requesting Party; answers to such questions will be shared with the requesting Party.
- d. The Administrative Resolution Process may proceed regardless of whether the Respondent chooses to participate in the investigation or the finding.
- e. The Administrative Resolution Process will normally be completed within a reasonably prompt time period, not to exceed one hundred twenty (120) days, following the Equity Officer's receipt of a Complaint. Unusual delays will be promptly communicated to both Parties.
- f. For good cause, the Equity Officer (for University Respondents), or Equity HR Officer (for Staff Respondents) may, in their discretion, grant reasonable extensions to the timeframes and limits provided.

2. Process for Administrative Resolution

Administrative Resolution can be pursued for any behavior that falls within the University's Anti-Discrimination Policies.

The Administrative Resolution process consists of:

- a. A prompt, thorough and impartial investigation by the Investigator;
- b. A separate meeting with each Party and their Equity Support Person, if any, and the joint decision-makers, if requested;
- c. A joint finding by designated decision-makers. For Complaints against a Staff member as a Respondent, a joint finding will be issued by the Equity HR Officer and Supervisor on each of the alleged policy violations and sanctions and remedial actions, if any, for findings of responsibility. For Complaints against the University of Missouri as a Respondent, a joint finding will be issued by the Equity Officer and Designated Administrator on each of the alleged policy violations and remedial actions for findings of responsibility.

At least fifteen (15) business days prior to meeting with the decision-makers or if no meeting is requested, at least fifteen (15) business days prior to the decision-makers rendering a finding(s), the Equity Officer (for University Respondents) or Equity HR Officer (for Staff Respondents) will send a letter (Notice of Administrative Resolution) containing the following information to the Parties:

- d. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
- e. Reference to or attachment of the applicable procedures.
- f. A copy of the final Investigative Report.
- g. The option and deadline of ten (10) business days from the date of the notice to request a meeting with the decision-makers.
- h. An indication that the Parties may have the assistance of an Equity Support Person of their choosing at the meeting with the decision-makers, though the Equity Support Person's attendance at the meeting is the responsibility of the respective Parties.

The Notice of Administrative Resolution will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed

delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.

The Investigator(s) will also provide a copy of the final Investigative report to the Equity HR Officer and Supervisor (if Staff Respondent) or to the Equity Officer and Designated Administrator (if University Respondent).

The decision-makers can, but are not required to, meet with and question the Investigator(s) and any identified witnesses. The decision-makers may request that the Investigator(s) conduct additional interviews and/or gather additional information. The decision-makers will attempt to meet separately with the Complainant and the Respondent, and their Equity Support Person, if any, to review the alleged policy violations and the investigative report. The Respondent may choose to admit responsibility for all or part of the alleged policy violations at any point in the process. If the Respondent admits responsibility, in whole or in part, the decision-makers will render a finding that the individual is in violation of University policy for the admitted conduct. For any disputed violations, the decision-makers will render a joint finding utilizing the preponderance of the evidence standard. The decision-makers will also render a finding on appropriate sanctions or remedial actions, if applicable. The joint finding(s) are subject to appeal.

The Equity HR Officer (if Staff Respondent) or the Equity Officer (if University Respondent) will inform the Respondent and the Complainant simultaneously of the joint finding on each of the alleged policy violations and the joint finding on sanctions for findings of responsibility, if applicable, within ten (10) business days of the last meeting with any Party or witness. Notice will be made to the Respondent and the Complainant simultaneously in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.

R. Sanctions and Remedial Actions

1. If the Staff Respondent is found responsible for a violation of the University's Anti-Discrimination Policies, the Equity HR Officer and Supervisor will determine sanctions and remedial actions. If the University is found responsible for a violation of the University's Anti-Discrimination Policies, the Equity Officer and Designated Administrator will determine remedial actions.
2. Factors to be considered when finding sanctions and remedial actions may include:
 - a. The nature, severity of, and circumstances surrounding the violation;
 - b. The disciplinary history of the Respondent;
 - c. The need for sanctions/remedial actions to bring an end to the conduct;
 - d. The need for sanctions/remedial actions to prevent the future recurrence of conduct;
 - e. The need to remedy the effects of the conduct on the Complainant and the University community; and
 - f. Any other information deemed relevant by the decision-maker(s).
3. **Types of Sanctions.** The following sanctions may be imposed upon any Staff Member found to have violated the University's Anti-Discrimination Policies. Multiple sanctions may be imposed for any single violation. Sanctions include

but are not limited to:

- a. Warning – verbal or written;
- b. Performance improvement plan;
- c. Required counseling;
- d. Required training or education;
- e. Loss of annual pay increase;
- f. Loss of supervisory responsibility;
- g. Demotion;
- h. Suspension without pay;
- i. Termination; and
- j. Recommendation of discipline in a training program, including recommendation of termination, suspension or other corrective or remedial actions.

4. **Remedial Actions.** The following remedial actions may also be imposed to address the effects of the violation(s) of the University's Anti-Discrimination Policies on the Complainant for violations by a Staff Member or the University as a Respondent. The Equity Officer or Equity HR Officer is responsible for effective implementation of any remedial actions. Such remedial actions will vary depending on the circumstances of the policy violation(s), but may include:

a. Where the Complainant is a student:

- (1) Permitting the student to retake courses;
- (2) Providing tuition reimbursement;
- (4) Removal of a disciplinary action; and
- (5) Providing educational and/or on-campus housing accommodations.

b. Where the Complainant is an employee:

- (1) Removal of a disciplinary action;
- (2) Modification of a performance review;
- (3) Adjustment in pay;
- (4) Changes to the employee's reporting relationships; and
- (5) Workplace accommodations.

c. In addition, the University may offer or require training and/or monitoring as appropriate to address the effects of the violation(s) of the University's Anti-Discrimination Policies.

5. **When Implemented.** Sanctions and remedial actions are implemented immediately by the Equity Officer, unless the Equity Resolution Appellate Officer stays their implementation pending the outcome of the appeal.

S. **Appeal.** Both the Complainant and the Respondent are allowed to appeal the determination regarding responsibility in the Administrative Resolution Process.

1. **Grounds for Appeal.** Grounds for appeal are limited to the following:

- a. A procedural irregularity that affected the outcome of the dismissal decision or the Administrative Resolution Process (e.g., material deviation from established procedures, etc.);
- b. To consider new evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter;

- c. That the Equity Officer, Equity HR Officer, Investigator(s), or other decision-maker(s) had a conflict of interest or bias for or against Complainants or Respondents generally or the individual Complainant or Respondent that affected the outcome of the matter; or
 - d. The sanctions fall outside the range typically imposed for this offense, or for the cumulative disciplinary record of the Respondent.
2. **Requests for Appeal.** Both the Complainant and the Respondent may appeal to the Equity Resolution Appellate Officer. The Equity Resolution Appellate Officer must not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent; if the Equity Resolution Appellate Officer does not believe that they can make an objective decision about an appeal, they should recuse themselves and the Chancellor (or Designee) for University Staff Respondents, or the President (or Designee) for System Staff and University Respondents, shall appoint an alternate Equity Resolution Appellate Officer to hear the pending appeal. All requests for appeal must be submitted in writing to the Equity Resolution Appellate Officer within five (5) business days of the delivery of the notice of joint findings by the designated decision-makers. When any Party requests an appeal, the other Party will be notified and receive a copy of the request for appeal from the Equity Resolution Appellate Officer.
 3. **Response to Request for Appeal.** Within five (5) business days of the delivery of the notice and copy of the request for appeal, the non-appealing Party may file a written response to the request for appeal. The written response can address that sufficient grounds for appeal have not been met and/or the merits of the appeal.
 4. **Review of the Request to Appeal.** The Equity Resolution Appellate Officer will make an initial review of the appeal request(s) to determine whether:
 - a. The request is timely;
 - b. The appeal is on the basis of any of the articulated grounds listed above; and
 - c. When viewed in the light most favorable to the appealing Party, the appeal states grounds that could result in an adjusted finding or sanction.

The Equity Resolution Appellate Officer will reject the request for appeal if any of the above requirements are not met. The decision to reject the request for appeal is final and further appeals and grievances are not permitted. The Equity Resolution Appellate Officer will render a written decision whether the request for appeal is accepted or rejected within fifteen (15) business days from receipt of the request for appeal. If no written decision is provided to the Parties within fifteen (15) business days from receipt of the request, the appeal will be deemed accepted.

5. **Review of the Appeal.** If all three requirements for appeal listed in Paragraph 4 above are met, the Equity Resolution Appellate Officer will accept the request for appeal and proceed with rendering a decision on the appeal applying the following additional principles:
 - a. Appeals are not intended to be full re-hearings of the Complaint and are therefore deferential to the original findings. In most cases, appeals are confined to a review of the written documentation and Record of the Case, and pertinent documentation regarding the grounds for appeal. Appeals granted based on new evidence should normally be remanded to the original decision-maker for reconsideration.

- b. The Equity Resolution Appellate Officer will provide a written decision on the appeal simultaneously to all Parties within ten (10) business days from accepting the request for appeal. This decision will describe the result of the appeal and the rationale for the result.
 - c. In the event the Equity Resolution Appellate Officer is unable to render a written decision within ten (10) business days from accepting the request for appeal, the Equity Resolution Appellate Officer will promptly notify the Parties in writing of the delay.
 - d. Once an appeal is decided, the outcome is final. Further appeals and grievances are not permitted.
 - 6. **Extensions of Time.** For good cause, the Equity Resolution Appellate Officer may grant reasonable extensions of time (e.g.: 7-10 business days) to the deadlines in the appeal process. The Equity Resolution Appellate Officer will notify the Parties in writing if such extensions are granted.
- T. **Failure to complete Sanctions/Comply with Interim and Long-term Remedial Actions.** All Respondents are expected to comply with all sanctions and remedial actions within the timeframe specified. Failure to follow through on these sanctions and remedial actions by the date specified, whether by refusal, neglect, or any other reason, may result in additional sanctions and remedial actions through the applicable process.
- U. **Records.** In implementing this policy, records of all Complaints and resolutions will be kept by the Equity Officer. For purposes of review or appeal, the Record of the Case will be accessible at reasonable times and places to the Respondent and the Complainant. The Record of the Case will be kept for a minimum of seven (7) years following final resolution.

Each Equity Officer, including the Equity Officer for the academic medical center, shall maintain statistical, de-identified data on the race, gender and age of each Party to a Complaint for that university/ academic medical center, and will report such data on an annual basis to the President of the University of Missouri. Additionally, statistical data relating to each university in the University of Missouri System shall be reported on an annual basis to that university's Chancellor and chief officers for human resources, student affairs, and diversity, equity and inclusion; the academic medical center shall report such statistical data for the academic medical center on an annual basis to the Executive Vice-Chancellor for Health Affairs. Data relating to the University of Missouri System shall be reported on an annual basis to the University of Missouri System's chief officers for human resources, student affairs, and diversity, equity and inclusion.
- V. **Retaliation.** The University strictly prohibits retaliation against any person for making any good faith report of discrimination or harassment, or for filing, testifying, assisting, or participating in any investigation or proceeding involving allegations of discrimination or harassment. For matters involving discrimination or harassment other than sex discrimination under this policy, employees have an obligation to cooperate with University officials including the Investigator, Equity Officer, Equity HR Officer, Supervisor, and/or the Equity Resolution Appellate Officer. For matters involving sex discrimination under this policy, no person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by law, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing. Intimidation, threats, coercion, or discrimination, including charges against an individual for policy violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or Complaint

of sexual harassment, for the purpose of interfering with any right or privilege secured by law, constitutes retaliation.

The University must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a Complaint of sexual harassment, any Complainant, any individual who has been reported to be the perpetrator of sex discrimination, any Respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of applicable law, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder. Complaints alleging retaliation may be filed with the Equity Officer in accordance with CRRs 600.010, 600.040, and 600.050.

Any person who engages in such retaliation shall be subject to disciplinary action, up to and including expulsion or termination, in accordance with applicable procedures.

Any person who believes they have been subjected to retaliation is encouraged to notify the Equity Officer. The University will promptly investigate all complaints of retaliation in accordance with this policy.

The exercise of rights protected under the First Amendment does not constitute retaliation prohibited under this section.

Charging an individual with a policy violation for making a materially false statement in bad faith in the course of any proceedings under this policy does not constitute retaliation provided, however that a determination regarding responsibility, alone, is not sufficient to conclude that any Party made a materially false statement in bad faith.

Collected Rules and Regulations 340.130
Work-Incurred Injury or Illness

Executive Summary

Administration is proposing updates to the collected rule to remove the reference of any specific form numbers to allow for future procedural updates. There are no costs associated with these changes.

The proposed action is to adopt the following changes effective February 4, 2021. The following changes do not impact policy content or change how the benefits have been applied.

- Remove reference to form number UMWC3 10/99

No. 5

Recommended Action - Amendments to Collected Rule and Regulation 340.130, Work-
Incurred Injury or Illness

It was recommended by Vice President and Chief Human Resources Officer Marsha Fischer, endorsed by University of Missouri President Choi, recommended by the Governance, Compensation and Human Resources Committee, moved by Curator _____, and seconded by Curator _____, that:

Section 340.130 of the University's Collected Rules and Regulations be amended as set forth in the attached document.

Roll call vote of the Committee: YES NO

Curator Brncic
Curator Layman
Curator Steelman
Curator Williams

The motion _____.

Roll call vote of the Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

340.130 Work-Incurred Injury or Illness

Bd. Min. 4-19-69, p. 34,549; Bd. Min. 7-15-86; Bd. Min. 7-13-00; Bd. Min. 10-23-09;
Amended 7-28-20

A. Workers' Compensation

1. **Eligible Employees** -- All academic and non-academic employees of the University, both full-time and part-time, (including student employees) are extended coverage.
2. **Conditions of Coverage** -- Workers' Compensation provides for the payment of medical expenses and compensation to any employee, who receives personal injuries arising out of, and in the course of, the employee's employment or who incurs an occupational disease in the course of that employment. A death benefit is payable should the accident or disease result in death.
 - a. Missouri statutes, and not the University or the University's claims administrator, determine if medical expenses and compensation are payable and, if payable, the length and amount of such benefits.
 - b. A waiting period of three days is prescribed by law, whereby no benefit for lost wages is payable unless the disability lasts longer than 14 days, in which case payment for the ~~three-day~~ three-day waiting period shall be allowed.
3. **Administrative Regulations**
 - a. It is the responsibility of the employee's Supervisor to submit a *Report of Injury* (~~UMWC3-10/99~~) within 24 hours of the injury.
 - (1) The department submitting the report shall cooperate fully with the claims administrator in order to expedite the claims process.
 - b. After an employee has returned to work following a work-incurred injury or illness, the department is responsible for notifying the Campus Workers' Compensation Coordinator of any subsequent absences for which the employee does not receive regular pay due to the same injury or illness.
 - c. All matters regarding coverage, or the claim, should be referred to the Campus Workers' Compensation Coordinator.

- B. **Absence Due to Work-Incurred Injury or Illness** -- It is the policy of the University that an injured employee shall be excused from work without loss of pay, vacation, personal leave or sick leave in order to obtain medical attention on the day

the accident occurs and any subsequent treatment related to that injury during days the employee is working.

1. All such absences shall be limited to the time required to obtain the necessary medical attention.
2. An employee may be required to furnish satisfactory proof of such medical attention.
3. In the event an injured employee is unable to return to work, as recommended by the physician, such employee will be granted leave without pay. The employee may elect to use accumulated vacation, personal leave, or sick leave in accordance with the policy. The leave may be extended until such time as the employee is able to return to work, or for a maximum period of one year.

NOTE: The three-day waiting period begins the first regularly scheduled work day following the injury or day of first medical treatment for all full-time employees. The waiting period for employees who work part-time or on an irregular schedule will be the first three calendar days following the injury or date of first medical treatment.

4. During the three-day waiting period, a full-time employee may charge any absence to accumulated vacation, personal leave, or sick leave.
5. Following the ~~three-day~~three-day waiting period, an injured employee may elect to use accumulated vacation, personal leave, or sick leave subject to the following restrictions, in addition to the benefit received from Workers' Compensation:
 - 8 hours or less of vacation per day, OR
 - 8 hours or less of personal leave per day, OR
 - A combination of vacation or personal leave up to 8 hours per day, OR
 - Enough sick leave to make up the difference between what is paid by Workers' Compensation and the employee's regular pay.
6. An injured employee who is unable to return to work and who has been granted a leave of absence shall continue to accumulate seniority and retirement and shall be permitted to accumulate vacation and sick leave for a period not to exceed one year. Such vacation and sick leave accumulations will be credited to the account of the employee only upon return to an employment status.

340.130 Work-Incurred Injury or Illness

Bd. Min. 4-19-69, p. 34,549; Bd. Min. 7-15-86; Bd. Min. 7-13-00; Bd. Min. 10-23-09;
Amended 7-28-20

A. Workers' Compensation

1. **Eligible Employees** -- All academic and non-academic employees of the University, both full-time and part-time, (including student employees) are extended coverage.
2. **Conditions of Coverage** -- Workers' Compensation provides for the payment of medical expenses and compensation to any employee, who receives personal injuries arising out of, and in the course of, the employee's employment or who incurs an occupational disease in the course of that employment. A death benefit is payable should the accident or disease result in death.
 - a. Missouri statutes, and not the University or the University's claims administrator, determine if medical expenses and compensation are payable and, if payable, the length and amount of such benefits.
 - b. A waiting period of three days is prescribed by law, whereby no benefit for lost wages is payable unless the disability lasts longer than 14 days, in which case payment for the three-day waiting period shall be allowed.
3. **Administrative Regulations**
 - a. It is the responsibility of the employee's Supervisor to submit a *Report of Injury* within 24 hours of the injury.
 - (1) The department submitting the report shall cooperate fully with the claims administrator in order to expedite the claims process.
 - b. After an employee has returned to work following a work-incurred injury or illness, the department is responsible for notifying the Campus Workers' Compensation Coordinator of any subsequent absences for which the employee does not receive regular pay due to the same injury or illness.
 - c. All matters regarding coverage, or the claim, should be referred to the Campus Workers' Compensation Coordinator.

- B. **Absence Due to Work-Incurred Injury or Illness** -- It is the policy of the University that an injured employee shall be excused from work without loss of pay, vacation, personal leave or sick leave in order to obtain medical attention on the day

the accident occurs and any subsequent treatment related to that injury during days the employee is working.

1. All such absences shall be limited to the time required to obtain the necessary medical attention.
2. An employee may be required to furnish satisfactory proof of such medical attention.
3. In the event an injured employee is unable to return to work, as recommended by the physician, such employee will be granted leave without pay. The employee may elect to use accumulated vacation, personal leave, or sick leave in accordance with the policy. The leave may be extended until such time as the employee is able to return to work, or for a maximum period of one year.

NOTE: The three-day waiting period begins the first regularly scheduled work day following the injury or day of first medical treatment for all full-time employees. The waiting period for employees who work part-time or on an irregular schedule will be the first three calendar days following the injury or date of first medical treatment.

4. During the three-day waiting period, a full-time employee may charge any absence to accumulated vacation, personal leave, or sick leave.
5. Following the three-day waiting period, an injured employee may elect to use accumulated vacation, personal leave, or sick leave subject to the following restrictions, in addition to the benefit received from Workers' Compensation:
 - 8 hours or less of vacation per day, OR
 - 8 hours or less of personal leave per day, OR
 - A combination of vacation or personal leave up to 8 hours per day, OR
 - Enough sick leave to make up the difference between what is paid by Workers' Compensation and the employee's regular pay.
6. An injured employee who is unable to return to work and who has been granted a leave of absence shall continue to accumulate seniority and retirement and shall be permitted to accumulate vacation and sick leave for a period not to exceed one year. Such vacation and sick leave accumulations will be credited to the account of the employee only upon return to an employment status.

Collected Rules and Regulations 520.010
Benefit Programs

Executive Summary

Administration is proposing updates to the collected rule to update the position title of Chief Human Resource Officer from “Associate Vice President” to “Vice President.” There are no costs associated with these changes.

The proposed action is to adopt the following changes effective February 4, 2021. The following changes do not impact policy content or change how the benefits have been applied.

- Remove reference to “Associate Vice President”
- Replace with “Vice President”

No. 6

Recommended Action - Amendments to Collected Rule and Regulation 520.010, Benefit Programs

It was recommended by Vice President and Chief Human Resources Officer Marsha Fischer, endorsed by University of Missouri President Choi, recommended by the Governance, Compensation and Human Resources Committee, moved by Curator _____, and seconded by Curator _____, that:

Section 520.010 of the University's Collected Rules and Regulations be amended as set forth in the attached document.

Roll call vote of the Committee: YES NO

Curator Brncic
Curator Layman
Curator Steelman
Curator Williams

The motion _____.

Roll call vote of the Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____

520.010 Benefit Programs

Bd. Min. 4-10-15; Revised 6-25-15; Revised 9-26-19; Amended Bd. Min. 7-28-20; Revised 7-28-20

- A. **Introduction** – The University's benefits include the medical, dental, long term disability plans and various other insurance benefits available to faculty and staff, retirees, former employees, and their dependents (hereafter "Participants") as described in the respective benefits plan documents. The following sections of the Collected Rules and Regulations are being replaced by this new policy statement: Sections 500.010, 510.010, 540.010 and 550.010. The voluntary and defined contribution retirement plans previously contained in Sections 530.030, 570.010, 580.010 and 590.010 of the Collected Rules and Regulations are being replaced by this new policy statement. However, the University's Retirement, Disability and Death Benefit Plan contained in Section 530.010 of the Collected Rules and Regulations is not being replaced or otherwise affected by this policy statement. The cost for the covered benefit plans, various other insurance benefits and the covered voluntary and defined contribution retirement plans are funded with contributions by the University and contributions and/or premiums paid by Participants. The University determines the contribution and premium amounts on an annual basis considering the costs required to provide and administer the benefits. The University also provides other benefits programs on a voluntary participation basis including educational assistance, employee assistance program, and leave benefits to support the work-life balance and other needs of eligible Participants. Together, all of these benefits are considered the Total Rewards offered by the University. This benefits policy provides direction for the provision, selection and administration of the covered benefits programs.
- B. **Objectives** – It is the University's intention to provide competitive benefits programs that are valued by current and prospective faculty and staff. The definitions pertaining to benefit eligibility are contained in Section 320.050 of the Collected Rules and Regulations or in the respective benefit plan documents.
- C. **Faculty, Staff and Retiree Involvement** – An advisory committee, appointed by the ~~Associate~~Vice President and Chief Human Resources Officer ("CHRO"), shall serve in an advisory capacity in matters related to benefits programs and in the treatment of pay and benefits as interrelated parts of the University's overall Total Rewards. The advisory committee shall be comprised of at least 12 members. Committee membership shall consist of a faculty and a staff member from each campus, a hospital representative and a retiree representative appointed by the CHRO from nominations by the campuses, retiree associations and self-nominations. The CHRO may appoint additional at large members and the Committee Chair at the CHRO's discretion. In making the committee appointments the CHRO will strive to appoint members to represent the various University constituencies. The Committee may study, consider and make recommendations to the CHRO regarding proposed revisions to, modifications of, additions to, or deletions from benefits programs covered by this policy statement. This advisory role does not include the selection or management of vendors, plan investments or other administrative responsibilities; however, members may provide input on

program design as related to the needs of Participants, provide feedback on communication and education, and advise in other areas.

- D. **University Financial Support of Benefits Programs** – The University will contribute to the cost of the covered benefit programs (medical, dental, disability, and life) as well as covered voluntary and defined contribution retirement plans and leave programs. The University may develop, administer and support other benefits programs that are not contributed to by the University but that provide competitive, affordable and accessible programs valued by faculty and staff.
- E. **Responsibilities and Authorities**
1. The Board of Curators hereby delegates management of these covered benefits including, without limitation, overall financial management, cost and administration, plan design, and selection of vendors to the President of the University. For purposes of the preceding sentence, the term “plan design” shall include calendar year deductibles, coinsurance, Participant contributions or premiums, the University's and/or Participant's contribution percentages, copays, covered charges, covered services, out-of-pocket maximums and exclusions, but shall not include any modification of eligibility requirements, or vesting requirements. The President may further re-delegate all or a portion of these delegated management responsibilities at the President's discretion in the manner, and documented in accordance with, applicable University policies.
 2. The Board of Curators hereby delegates to the President the authority to amend the plan documents for these covered benefits when such amendments are required by law, as determined by the General Counsel.
 3. For all other proposed amendments to the plan documents for these covered benefits other than the foregoing delegated management responsibilities described in Section 520.010.E.1. above and the foregoing delegated authority for amendments required by law described in Section 520.010.E.2. above, the Board of Curators hereby delegates to the President the authority to amend the plan documents for these covered benefits; provided, however that such amendments shall be provided to the Board of Curators so that it has an opportunity to reject any such amendments prior to their effective date.
 4. Under the direction of the Vice President the covered benefits programs will be audited and/or evaluated as appropriate to ensure efficient and effective administration, service and pricing. An annual benefits report will be provided to the Board of Curators and will include:
 - a. Any action taken pursuant to the authority delegated hereby including, but not limited to, changes in the University's cost of and contribution to the covered benefit plans and/or the individual Participant's cost of and contributions to the covered benefits plans;
 - b. Current trends and developments in the strategic direction of Total Rewards both within higher education and in the market as a whole (market review);
 - c. A comparative peer analysis of the University's benefits;
 - d. The University's strategic direction in regard to ensuring a competitive benefits offering; and
 - e. The financial status and projected financial impact of the benefits programs; and other data related to the programs.

520.010 Benefit Programs

Bd. Min. 4-10-15; Revised 6-25-15; Revised 9-26-19; Amended Bd. Min. 7-28-20; Revised 7-28-20

- A. **Introduction** – The University's benefits include the medical, dental, long term disability plans and various other insurance benefits available to faculty and staff, retirees, former employees, and their dependents (hereafter "Participants") as described in the respective benefits plan documents. The following sections of the Collected Rules and Regulations are being replaced by this new policy statement: Sections 500.010, 510.010, 540.010 and 550.010. The voluntary and defined contribution retirement plans previously contained in Sections 530.030, 570.010, 580.010 and 590.010 of the Collected Rules and Regulations are being replaced by this new policy statement. However, the University's Retirement, Disability and Death Benefit Plan contained in Section 530.010 of the Collected Rules and Regulations is not being replaced or otherwise affected by this policy statement. The cost for the covered benefit plans, various other insurance benefits and the covered voluntary and defined contribution retirement plans are funded with contributions by the University and contributions and/or premiums paid by Participants. The University determines the contribution and premium amounts on an annual basis considering the costs required to provide and administer the benefits. The University also provides other benefits programs on a voluntary participation basis including educational assistance, employee assistance program, and leave benefits to support the work-life balance and other needs of eligible Participants. Together, all of these benefits are considered the Total Rewards offered by the University. This benefits policy provides direction for the provision, selection and administration of the covered benefits programs.
- B. **Objectives** – It is the University's intention to provide competitive benefits programs that are valued by current and prospective faculty and staff. The definitions pertaining to benefit eligibility are contained in Section 320.050 of the Collected Rules and Regulations or in the respective benefit plan documents.
- C. **Faculty, Staff and Retiree Involvement** – An advisory committee, appointed by the Vice President and Chief Human Resources Officer ("CHRO"), shall serve in an advisory capacity in matters related to benefits programs and in the treatment of pay and benefits as interrelated parts of the University's overall Total Rewards. The advisory committee shall be comprised of at least 12 members. Committee membership shall consist of a faculty and a staff member from each campus, a hospital representative and a retiree representative appointed by the CHRO from nominations by the campuses, retiree associations and self-nominations. The CHRO may appoint additional at large members and the Committee Chair at the CHRO's discretion. In making the committee appointments the CHRO will strive to appoint members to represent the various University constituencies. The Committee may study, consider and make recommendations to the CHRO regarding proposed revisions to, modifications of, additions to, or deletions from benefits programs covered by this policy statement. This advisory role does not include the selection or management of vendors, plan investments or other administrative responsibilities; however, members may provide input on

program design as related to the needs of Participants, provide feedback on communication and education, and advise in other areas.

D. **University Financial Support of Benefits Programs** – The University will contribute to the cost of the covered benefit programs (medical, dental, disability, and life) as well as covered voluntary and defined contribution retirement plans and leave programs. The University may develop, administer and support other benefits programs that are not contributed to by the University but that provide competitive, affordable and accessible programs valued by faculty and staff.

E. **Responsibilities and Authorities**

1. The Board of Curators hereby delegates management of these covered benefits including, without limitation, overall financial management, cost and administration, plan design, and selection of vendors to the President of the University. For purposes of the preceding sentence, the term “plan design” shall include calendar year deductibles, coinsurance, Participant contributions or premiums, the University's and/or Participant's contribution percentages, copays, covered charges, covered services, out-of-pocket maximums and exclusions, but shall not include any modification of eligibility requirements, or vesting requirements. The President may further re-delegate all or a portion of these delegated management responsibilities at the President's discretion in the manner, and documented in accordance with, applicable University policies.
2. The Board of Curators hereby delegates to the President the authority to amend the plan documents for these covered benefits when such amendments are required by law, as determined by the General Counsel.
3. For all other proposed amendments to the plan documents for these covered benefits other than the foregoing delegated management responsibilities described in Section 520.010.E.1. above and the foregoing delegated authority for amendments required by law described in Section 520.010.E.2. above, the Board of Curators hereby delegates to the President the authority to amend the plan documents for these covered benefits; provided, however that such amendments shall be provided to the Board of Curators so that it has an opportunity to reject any such amendments prior to their effective date.
4. Under the direction of the Vice President the covered benefits programs will be audited and/or evaluated as appropriate to ensure efficient and effective administration, service and pricing. An annual benefits report will be provided to the Board of Curators and will include:
 - a. Any action taken pursuant to the authority delegated hereby including, but not limited to, changes in the University's cost of and contribution to the covered benefit plans and/or the individual Participant's cost of and contributions to the covered benefits plans;
 - b. Current trends and developments in the strategic direction of Total Rewards both within higher education and in the market as a whole (market review);
 - c. A comparative peer analysis of the University's benefits;
 - d. The University's strategic direction in regard to ensuring a competitive benefits offering; and
 - e. The financial status and projected financial impact of the benefits programs; and other data related to the programs.

Collected Rules and Regulations 350.020
Labor Union Recognition

Executive Summary

Administration is proposing updates to the collected rule to update Local 773 to Local 955, which is the newly recognized Laborer's International Union of North America for the University of Missouri. There are no costs associated with these changes.

The proposed action is to adopt the following changes effective February 4, 2021. The following changes do not impact policy content or change how the benefits have been applied.

- Update Local 773 to Local 955

No. 7

Recommended Action - Amendments to Collected Rule and Regulation 350.020, Labor Union Recognition

It was recommended by Vice President and Chief Human Resources Officer Marsha Fischer, endorsed by University of Missouri President Choi, recommended by the Governance, Compensation and Human Resources Committee, moved by Curator _____, and seconded by Curator _____, that:

Section 350.020 of the University's Collected Rules and Regulations be amended as set forth in the attached document.

Roll call vote of the Committee: YES NO

Curator Brncic
Curator Layman
Curator Steelman
Curator Williams

The motion _____.

Roll call vote of the Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____

350.020 Labor Union Recognition

Bd. Exec. Comm Min. 2-19-67, p. 2,163; Amended Bd. Min. 9-7-79; Amended Bd. Min. 7-22-83; Bd. Min. 6-29-79, p. 38,001 and Bd. Min. 3-17-87; Amended Bd. Min. 9-26-97; 1-29-99, Amended Bd. Min. 5-17-02, Amended Bd. Min. 7-27-07; Amended 7-28-20

- A. **Public Service Employees' Local Union** -- The Board of Curators recognizes Laborers' International Union of North America, Local ~~773~~955 AFL-CIO and International Union of Operating Engineers', Local 148, AFL-CIO as the exclusive bargaining agent to represent certain service and support employees within the University for the purpose of discussing general working conditions, employee benefits and services, opportunities for training and grievances with the University Administration.
1. **Membership** -- Service and support employees represented by this exclusive bargaining agent are employed by the University of Missouri and include regular service and support employees, excluding secretarial and clerical employees, technical and professional employees, student employees, non-regular employees, Campus police and security guards, confidential, managerial, supervisory, and administrative staff and faculty members.
- B. **Missouri Nurses' Association** -- The Board of Curators recognizes the Missouri Nurses' Association as a labor organization to exclusively represent certain Registered Nurses within the University for the purpose of discussing general working conditions, employee benefits and services, opportunities for training and grievances with the University Administration.
1. **Membership** -- Nurses as referred to in this manual are Registered Professional Nurses employed by the University of Missouri to perform direct or indirect patient care. Excluded from the Unit are Head Nurses, Assistant Directors, Directors of Nursing Service, and any nurse hired to perform educational faculty duties within the School of Nursing. This definition is meant to comply directly with the determination of the Missouri State Board of Mediation in public case #76-008.
- C. **International Brotherhood of Electrical Workers** -- The Board of Curators recognizes the International Brotherhood of Electrical Workers, Local 257, as a labor organization to exclusively represent Broadcast Engineers I, II and III at KOMU-TV for the purpose of discussing general working conditions, employee benefits and services, opportunities for training and grievances with the University of Administration.
1. **Membership** -- University of Missouri employees represented by the exclusive bargaining agent are regular Broadcast Engineers I, II and III. This definition is meant to comply directly with the determination of the Missouri State Board of Mediation in Public Case #86-113.
- D. **The Board desires to make clear**
1. That the Board will not condone any type of attempted coercion, including striking or picketing, and

2. That the Board does not require any employee to become or remain a member of such union, and
3. That any employee may periodically discuss with or present to the administration, and through the administration to this Board any problem or suggestion concerning the employee's job or working conditions; and
4. That no discrimination of any kind will be made, either in favor of or against, any employee because the employee is or becomes a member of Laborers' International Union of North America, Local ~~773-955~~ AFL-CIO and International Union of Operating Engineers', Local 148, AFL-CIO or does not become or remain a member of such unions.
5. That no discrimination of any kind will be made, either in favor of or against, any employee because the employee is or becomes a member of Missouri Nurses' Association or does not become or remain a member of such association. All employees shall have the same privileges and benefits and shall be expected to assume the same responsibilities and abide by the same rules and regulations whether members of the association or not.

NOTE: The Board will not relinquish any of its legal responsibilities to appoint, remove, and fix the compensation, terms and conditions of employment of its employees.

6. That no discrimination of any kind will be made, either in favor of or against, any employee because the employee is or becomes a member of International Brotherhood of Electrical Workers, Local 257, or does not become or remain a member of such union. All employees shall have the same privileges and benefits and shall be expected to assume the same responsibilities and abide by the same rules and regulations whether members of the union or not.

350.020 Labor Union Recognition

Bd. Exec. Comm Min. 2-19-67, p. 2,163; Amended Bd. Min. 9-7-79; Amended Bd. Min. 7-22-83; Bd. Min. 6-29-79, p. 38,001 and Bd. Min. 3-17-87; Amended Bd. Min. 9-26-97; 1-29-99, Amended Bd. Min. 5-17-02, Amended Bd. Min. 7-27-07; Amended 7-28-20

- A. **Public Service Employees' Local Union** -- The Board of Curators recognizes Laborers' International Union of North America, Local 955 AFL-CIO and International Union of Operating Engineers', Local 148, AFL-CIO as the exclusive bargaining agent to represent certain service and support employees within the University for the purpose of discussing general working conditions, employee benefits and services, opportunities for training and grievances with the University Administration.
1. **Membership** -- Service and support employees represented by this exclusive bargaining agent are employed by the University of Missouri and include regular service and support employees, excluding secretarial and clerical employees, technical and professional employees, student employees, non-regular employees, Campus police and security guards, confidential, managerial, supervisory, and administrative staff and faculty members.
- B. **Missouri Nurses' Association** -- The Board of Curators recognizes the Missouri Nurses' Association as a labor organization to exclusively represent certain Registered Nurses within the University for the purpose of discussing general working conditions, employee benefits and services, opportunities for training and grievances with the University Administration.
1. **Membership** -- Nurses as referred to in this manual are Registered Professional Nurses employed by the University of Missouri to perform direct or indirect patient care. Excluded from the Unit are Head Nurses, Assistant Directors, Directors of Nursing Service, and any nurse hired to perform educational faculty duties within the School of Nursing. This definition is meant to comply directly with the determination of the Missouri State Board of Mediation in public case #76-008.
- C. **International Brotherhood of Electrical Workers** -- The Board of Curators recognizes the International Brotherhood of Electrical Workers, Local 257, as a labor organization to exclusively represent Broadcast Engineers I, II and III at KOMU-TV for the purpose of discussing general working conditions, employee benefits and services, opportunities for training and grievances with the University of Administration.
1. **Membership** -- University of Missouri employees represented by the exclusive bargaining agent are regular Broadcast Engineers I, II and III. This definition is meant to comply directly with the determination of the Missouri State Board of Mediation in Public Case #86-113.
- D. **The Board desires to make clear**
1. That the Board will not condone any type of attempted coercion, including striking or picketing, and

2. That the Board does not require any employee to become or remain a member of such union, and
3. That any employee may periodically discuss with or present to the administration, and through the administration to this Board any problem or suggestion concerning the employee's job or working conditions; and
4. That no discrimination of any kind will be made, either in favor of or against, any employee because the employee is or becomes a member of Laborers' International Union of North America, Local 955 AFL-CIO and International Union of Operating Engineers', Local 148, AFL-CIO or does not become or remain a member of such unions.
5. That no discrimination of any kind will be made, either in favor of or against, any employee because the employee is or becomes a member of Missouri Nurses' Association or does not become or remain a member of such association. All employees shall have the same privileges and benefits and shall be expected to assume the same responsibilities and abide by the same rules and regulations whether members of the association or not.

NOTE: The Board will not relinquish any of its legal responsibilities to appoint, remove, and fix the compensation, terms and conditions of employment of its employees.

6. That no discrimination of any kind will be made, either in favor of or against, any employee because the employee is or becomes a member of International Brotherhood of Electrical Workers, Local 257, or does not become or remain a member of such union. All employees shall have the same privileges and benefits and shall be expected to assume the same responsibilities and abide by the same rules and regulations whether members of the union or not.

Collected Rules and Regulations 350.030
Check-Off of Union Dues

Executive Summary

Administration is proposing updates to the collected rule to update Local 773 to Local 955, which is the newly recognized Laborer's International Union of North America for the University of Missouri, and remove the reference of any specific form numbers to allow for future procedural updates. There are no costs associated with these changes.

The proposed action is to adopt the following changes effective February 4, 2021. The following changes do not impact policy content or change how the benefits have been applied.

- Removal of any reference to form number UMUW 70
- Update Local 773 to Local 955

No. 8

Recommended Action - Amendments to Collected Rule and Regulation 350.030,
Checkoff of Union Dues

It was recommended by Vice President and Chief Human Resources Officer
Marsha Fischer, endorsed by University of Missouri President Choi, recommended by the
Governance, Compensation and Human Resources Committee, moved by Curator
_____, and seconded by Curator _____, that:

Section 350.030 of the University's Collected Rules and Regulations be amended
as set forth in the attached document.

Roll call vote of the Committee: YES NO

Curator Brncic
Curator Layman
Curator Steelman
Curator Williams

The motion _____.

Roll call vote of the Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____

350.030 Check-Off of Union Dues

Bd. Exec. Comm. Min. 2-19-67, p. 2,163; Amended Bd. Min. 9-7-79 and Bd. Min. 3-17-87 and Bd. Min. 3-17-87; Amended Bd. Min. 9-26-97; 1-21-98; 1-29-99, Amended Bd. Min. 5-17-02; Amended Bd. Min. 7-27-07; Amended 7-28-20

A. Missouri Nurses' Association

1. **Non-Academic Personnel** -- The Board of Curators has adopted the following policy relating to check-off of union dues for non-academic personnel of the University of Missouri.
 - a. Commencing with the pay period beginning on _____, authorized non-academic employees of the University of Missouri represented by the Missouri Nurses' Association who desire to have their regular union dues to such organization withheld from their wages may do so under the following procedure.
 - b. Any employee desiring to assign and have dues withheld from the employee's wages shall execute a "Request and Authorization for Deduction of Organization Dues," which shall provide, in addition to necessary information, the following wording:
 - (1) "Beginning _____, I, the undersigned do hereby assign to "Missouri Nurses' Association", and hereby authorize the Curators of the University of Missouri to deduct from any net wages due to me and pay to said union such sum monthly as shall equal the monthly membership dues as may be from time to time established and certified by said union to the Curators of the University of Missouri. This assignment and authorization shall remain in full force and effect until the January 1 or July 1 after delivery by me to the Curators of the University of Missouri of a written revocation."
 - c. The assignment and deduction of union dues as provided for in Section 350.030 A.1.b. will become effective the first day of the month after the request and authorization is delivered to Human Resource Services, providing it is delivered to Human Resource Services not later than the 25th of the month.
 - d. Such employees desiring such deduction shall execute the authorization provided for in Section 350.030 A.1.b to be delivered to Human Resource Services on the appropriate campus.
2. **Authorized Deduction** -- The Office of the Vice President for Finance and Administration of the University of Missouri is hereby authorized, upon the filing of such requests and authorizations, to deduct from any net earnings due and payable to such employee the regular monthly dues as may be certified to the Office of the Vice President for Finance and Administration by the appropriate union. Such deduction shall be made once each month, and the Office of the Vice President for Finance and Administration shall, monthly, forward to the designated official of such union, the following:
 - a. A copy of any "Request and Authorization for Deduction of Organization Dues" filed as provided with the University during the preceding month.

- b. A list of only such employees for whom the Office of Vice President for Finance and Administration had made a deduction showing the amount of dues deducted for each such employee.
 - c. The total amount of such dues withheld, less the monthly cost to the University of such dues deductions.
 - d. A copy of any "Withdrawal of Authorization for Deduction of Organization Dues" notices filed with the Office of the Vice President for Finance and Administration during the preceding month.
3. **Withdrawal of Authorization for Deduction** -- Any employee who has executed and filed with the Curators of the University of Missouri a "Request and Authorization for Deduction of Organization Dues" as herein above provided may terminate such assignment and revoke such authorization by executing, at the Office provided in Section 350.030 A.2.d above, a "Withdrawal of Authorization for Deduction of Organization Dues" (~~UM-UW-Form~~)form, which shall, in addition to the necessary identification, contain the following language:
- "I, the undersigned, do hereby revoke my assignment to, and authorization to deduct dues from my wages for (Missouri Nurses' Association), effective with the first payroll period beginning on or after the first January 1 or July 1 following the date of this revocation."
4. **Rules and Regulations** -- The Office of the Vice President for Finance and Administration is hereby authorized to make such rules and regulations as may be necessary or desirable to carry into effect the terms of this resolution.
- B. Service and Maintenance Bargaining Units**
1. **Policy** -- Any employee within the recognized bargaining unit desiring to assign and have dues withheld from the employee's wages shall execute a "Request and Authorization for Deduction of Organization Dues", which shall provide, in addition to necessary information, the following wording:
- "Beginning _____, I, the undersigned, do hereby assign to (Laborers' International Union of North America, Local ~~773955~~), or (International Union of Operating Engineers', Local 148), and hereby authorize The Curators of the University of Missouri to deduct from any net wages due to me and pay to said union such sum monthly as shall equal the monthly membership dues as may be from time to time established and certified by said union to The Curators of the University of Missouri."
- "This assignment and authorization shall remain in full force and effect until January 1 after delivery by me to The Curators of the University of Missouri of a written revocation."
- a. The assignment and deduction of union dues as provided for above will become effective the first day of the month after the request and authorization is delivered to Human Resource Services, providing it is delivered to Human Resource Services not later than the 25th of the month.
 - b. Such employees desiring such deduction shall execute the authorization to be delivered to Human Resource Services on the appropriate campus:
 - c. Regular employees in classifications within the recognized bargaining unit will be eligible for membership and may choose to authorize check-off of union dues as outlined above. Such membership does not alter any other section, policy or

procedure outlined herein and does not make the provisions of this document, unless otherwise stated, applicable to non-regular employees.

2. **Authorized Deduction** -- The Office of the Vice President for Finance and Administration of the University of Missouri is hereby authorized, upon the filing of such requests and authorizations, to deduct from any net earnings due and payable to such employee the regular monthly dues as may be certified to the Office of the Vice President for Finance and Administration by the appropriate union. Such deduction shall be made once each month, and the Office of the Vice President for Finance and Administration shall, monthly, forward to the designated official of such union, the following:
 - a. A copy of any "Request and Authorization for Deduction of Organization Dues" filed as provided with the University during the preceding month.
 - b. A list of only such employees for whom the Office of the Vice President for Finance and Administration had made a deduction showing the amount of dues deducted for each such employee.
 - c. The total amount of such dues withheld, less the monthly cost to the University of such dues deductions.
 - d. A copy of any "Withdrawal of Authorization for Deduction of Organization Dues" notices filed with the Office of the Vice President for Finance and Administration during the preceding month.
3. **Withdrawal of Authorization for Deduction** -- Any employee who has executed and filed with the Curators of the University of Missouri a "Request and Authorization for Deduction of Organization Dues" as hereinabove provided, may during the period December 1 thru December 31 annually, terminate such assignment and revoke such authorization by executing at the office provided in Section 350.030 B.2.d, a "Withdrawal of Authorization for Deduction of Organization Dues" (~~UM-UW Form 70~~)form, which shall, in addition to the necessary identification, contain the following language:

"I, the undersigned, do hereby revoke my assignment to, and authorization to deduct dues from my wages for (Laborers' International Union of North America, Local ~~773955~~), (International Union of Operating Engineers', Local 148), effective with the first payroll period beginning on or after the first January 1 following the date of this revocation."
4. **Rules and Regulations** -- The Office of the Vice President for Finance and Administration is hereby authorized to make such rules and regulations as may be necessary or desirable to carry into effect the terms of this resolution.

C. International Brotherhood of Electrical Workers

1. **Policy** -- Any employee within the recognized bargaining unit desiring to assign and have dues withheld from the employee's wages shall execute a "Request and Authorization for Deduction of Organization Dues," which shall provide, in addition to necessary information, the following wording:

"Beginning _____, I, the undersigned, do hereby assign to International Brotherhood of Electrical Workers, Local 257, and hereby authorize The Curators of the University of Missouri to deduct from any net wages due to me and pay to said union such sum monthly as shall equal the monthly membership dues as may be from time to time established and certified by said union to The Curators of the University

of Missouri."

"This assignment and authorization shall remain in full force and effect until January 1 after delivery by me to The Curators of the University of Missouri of a written revocation."

- a. The assignment and deduction of union dues as provided for above will become effective the first day of the month after the request and authorization is delivered to Human Resource Services, providing it is delivered to Human Resource Services not later than the 25th of the month.
 - b. Such employees desiring such deduction shall execute the authorization provided for in 1. to be delivered to Human Resource Services located at Columbia, Missouri.
 - c. Regular employees in classifications within the recognized bargaining unit will be eligible for membership and may choose to authorize check-off of union dues as outlined above. Such membership does not alter any other section, policy or procedure outlined herein and does not make the provisions of this document, unless otherwise stated, applicable to non-regular employees.
2. **Authorized Deduction** -- The Office of the Vice President for Finance and Administration of the University of Missouri is hereby authorized, upon the filing of such requests and authorizations, to deduct from any net earnings due and payable to such employee the regular monthly dues as may be certified to the Office of the Vice President for Finance and Administration by International Brotherhood of Electrical Workers, Local 257. Such deduction shall be made once each month, and the Office of the Vice President for Finance and Administration shall, monthly, forward to the designated official of International Brotherhood of Electrical Workers, Local 257, the following:
- a. A copy of any "Request and Authorization for Deduction of Organization Dues" filed as provided with the University during the preceding month.
 - b. A list of only such employees for whom the Office of the Vice President for Finance and Administration had made a deduction showing the amount of dues deducted for each such employee.
 - c. The total amount of such dues withheld, less the monthly cost to the University of such dues deductions.
 - d. A copy of any "Withdrawal of Authorization for Deduction of Organization Dues" notices filed with the Office of the Vice President for Finance and Administration during the preceding month.
3. **Withdrawal of Authorization for Deduction** -- Any employee who has executed and filed with the Curators of the University of Missouri a "Request and Authorization for Deduction of Organization Dues" as hereinabove provided, may during the period December 1 thru December 31 annually, terminate such assignment and revoke such authorization by executing at the office provided in Section 350.030 1.a "Withdrawal of Authorization for Deduction of Organization Dues" (~~UM-UW Form 70~~)form, which shall, in addition to the necessary identification, contain the following language:
- "I, the undersigned, do hereby revoke my assignment to, and authorization to deduct dues from my wages for International Brotherhood of Electrical Workers,

Local 257, effective with the first payroll period beginning on or after the first January 1 following the date of this revocation."

4. **Rules and Regulations** -- The Office of the Vice President for Finance and Administration is hereby authorized to make such rules and regulations as may be necessary or desirable to carry into effect the terms of this resolution.

350.030 Check-Off of Union Dues

Bd. Exec. Comm. Min. 2-19-67, p. 2,163; Amended Bd. Min. 9-7-79 and Bd. Min. 3-17-87 and Bd. Min. 3-17-87; Amended Bd. Min. 9-26-97; 1-21-98; 1-29-99, Amended Bd. Min. 5-17-02; Amended Bd. Min. 7-27-07; Amended 7-28-20

A. Missouri Nurses' Association

1. **Non-Academic Personnel** -- The Board of Curators has adopted the following policy relating to check-off of union dues for non-academic personnel of the University of Missouri.
 - a. Commencing with the pay period beginning on _____, authorized non-academic employees of the University of Missouri represented by the Missouri Nurses' Association who desire to have their regular union dues to such organization withheld from their wages may do so under the following procedure.
 - b. Any employee desiring to assign and have dues withheld from the employee's wages shall execute a "Request and Authorization for Deduction of Organization Dues," which shall provide, in addition to necessary information, the following wording:
 - (1) "Beginning _____, I, the undersigned do hereby assign to "Missouri Nurses' Association", and hereby authorize the Curators of the University of Missouri to deduct from any net wages due to me and pay to said union such sum monthly as shall equal the monthly membership dues as may be from time to time established and certified by said union to the Curators of the University of Missouri. This assignment and authorization shall remain in full force and effect until the January 1 or July 1 after delivery by me to the Curators of the University of Missouri of a written revocation."
 - c. The assignment and deduction of union dues as provided for in Section 350.030 A.1.b. will become effective the first day of the month after the request and authorization is delivered to Human Resource Services, providing it is delivered to Human Resource Services not later than the 25th of the month.
 - d. Such employees desiring such deduction shall execute the authorization provided for in Section 350.030 A.1.b to be delivered to Human Resource Services on the appropriate campus.
2. **Authorized Deduction** -- The Office of the Vice President for Finance and Administration of the University of Missouri is hereby authorized, upon the filing of such requests and authorizations, to deduct from any net earnings due and payable to such employee the regular monthly dues as may be certified to the Office of the Vice President for Finance and Administration by the appropriate union. Such deduction shall be made once each month, and the Office of the Vice President for Finance and Administration shall, monthly, forward to the designated official of such union, the following:
 - a. A copy of any "Request and Authorization for Deduction of Organization Dues" filed as provided with the University during the preceding month.

- b. A list of only such employees for whom the Office of Vice President for Finance and Administration had made a deduction showing the amount of dues deducted for each such employee.
 - c. The total amount of such dues withheld, less the monthly cost to the University of such dues deductions.
 - d. A copy of any "Withdrawal of Authorization for Deduction of Organization Dues" notices filed with the Office of the Vice President for Finance and Administration during the preceding month.
3. **Withdrawal of Authorization for Deduction** -- Any employee who has executed and filed with the Curators of the University of Missouri a "Request and Authorization for Deduction of Organization Dues" as herein above provided may terminate such assignment and revoke such authorization by executing, at the Office provided in Section 350.030 A.2.d above, a "Withdrawal of Authorization for Deduction of Organization Dues" form, which shall, in addition to the necessary identification, contain the following language:
- "I, the undersigned, do hereby revoke my assignment to, and authorization to deduct dues from my wages for (Missouri Nurses' Association), effective with the first payroll period beginning on or after the first January 1 or July 1 following the date of this revocation."
4. **Rules and Regulations** -- The Office of the Vice President for Finance and Administration is hereby authorized to make such rules and regulations as may be necessary or desirable to carry into effect the terms of this resolution.
- B. Service and Maintenance Bargaining Units**
1. **Policy** -- Any employee within the recognized bargaining unit desiring to assign and have dues withheld from the employee's wages shall execute a "Request and Authorization for Deduction of Organization Dues", which shall provide, in addition to necessary information, the following wording:
- "Beginning _____, I, the undersigned, do hereby assign to (Laborers' International Union of North America, Local 955), or (International Union of Operating Engineers', Local 148), and hereby authorize The Curators of the University of Missouri to deduct from any net wages due to me and pay to said union such sum monthly as shall equal the monthly membership dues as may be from time to time established and certified by said union to The Curators of the University of Missouri."
- "This assignment and authorization shall remain in full force and effect until January 1 after delivery by me to The Curators of the University of Missouri of a written revocation."
- a. The assignment and deduction of union dues as provided for above will become effective the first day of the month after the request and authorization is delivered to Human Resource Services, providing it is delivered to Human Resource Services not later than the 25th of the month.
 - b. Such employees desiring such deduction shall execute the authorization to be delivered to Human Resource Services on the appropriate campus:
 - c. Regular employees in classifications within the recognized bargaining unit will be eligible for membership and may choose to authorize check-off of union dues as outlined above. Such membership does not alter any other section, policy or

procedure outlined herein and does not make the provisions of this document, unless otherwise stated, applicable to non-regular employees.

2. **Authorized Deduction** -- The Office of the Vice President for Finance and Administration of the University of Missouri is hereby authorized, upon the filing of such requests and authorizations, to deduct from any net earnings due and payable to such employee the regular monthly dues as may be certified to the Office of the Vice President for Finance and Administration by the appropriate union. Such deduction shall be made once each month, and the Office of the Vice President for Finance and Administration shall, monthly, forward to the designated official of such union, the following:
 - a. A copy of any "Request and Authorization for Deduction of Organization Dues" filed as provided with the University during the preceding month.
 - b. A list of only such employees for whom the Office of the Vice President for Finance and Administration had made a deduction showing the amount of dues deducted for each such employee.
 - c. The total amount of such dues withheld, less the monthly cost to the University of such dues deductions.
 - d. A copy of any "Withdrawal of Authorization for Deduction of Organization Dues" notices filed with the Office of the Vice President for Finance and Administration during the preceding month.
3. **Withdrawal of Authorization for Deduction** -- Any employee who has executed and filed with the Curators of the University of Missouri a "Request and Authorization for Deduction of Organization Dues" as hereinabove provided, may during the period December 1 thru December 31 annually, terminate such assignment and revoke such authorization by executing at the office provided in Section 350.030 B.2.d, a "Withdrawal of Authorization for Deduction of Organization Dues" form, which shall, in addition to the necessary identification, contain the following language:

"I, the undersigned, do hereby revoke my assignment to, and authorization to deduct dues from my wages for (Laborers' International Union of North America, Local 955), (International Union of Operating Engineers', Local 148), effective with the first payroll period beginning on or after the first January 1 following the date of this revocation."
4. **Rules and Regulations** -- The Office of the Vice President for Finance and Administration is hereby authorized to make such rules and regulations as may be necessary or desirable to carry into effect the terms of this resolution.

C. International Brotherhood of Electrical Workers

1. **Policy** -- Any employee within the recognized bargaining unit desiring to assign and have dues withheld from the employee's wages shall execute a "Request and Authorization for Deduction of Organization Dues," which shall provide, in addition to necessary information, the following wording:

"Beginning _____, I, the undersigned, do hereby assign to International Brotherhood of Electrical Workers, Local 257, and hereby authorize The Curators of the University of Missouri to deduct from any net wages due to me and pay to said union such sum monthly as shall equal the monthly membership dues as may be from time to time established and certified by said union to The Curators of the University

of Missouri."

"This assignment and authorization shall remain in full force and effect until January 1 after delivery by me to The Curators of the University of Missouri of a written revocation."

- a. The assignment and deduction of union dues as provided for above will become effective the first day of the month after the request and authorization is delivered to Human Resource Services, providing it is delivered to Human Resource Services not later than the 25th of the month.
 - b. Such employees desiring such deduction shall execute the authorization provided for in 1. to be delivered to Human Resource Services located at Columbia, Missouri.
 - c. Regular employees in classifications within the recognized bargaining unit will be eligible for membership and may choose to authorize check-off of union dues as outlined above. Such membership does not alter any other section, policy or procedure outlined herein and does not make the provisions of this document, unless otherwise stated, applicable to non-regular employees.
2. **Authorized Deduction** -- The Office of the Vice President for Finance and Administration of the University of Missouri is hereby authorized, upon the filing of such requests and authorizations, to deduct from any net earnings due and payable to such employee the regular monthly dues as may be certified to the Office of the Vice President for Finance and Administration by International Brotherhood of Electrical Workers, Local 257. Such deduction shall be made once each month, and the Office of the Vice President for Finance and Administration shall, monthly, forward to the designated official of International Brotherhood of Electrical Workers, Local 257, the following:
- a. A copy of any "Request and Authorization for Deduction of Organization Dues" filed as provided with the University during the preceding month.
 - b. A list of only such employees for whom the Office of the Vice President for Finance and Administration had made a deduction showing the amount of dues deducted for each such employee.
 - c. The total amount of such dues withheld, less the monthly cost to the University of such dues deductions.
 - d. A copy of any "Withdrawal of Authorization for Deduction of Organization Dues" notices filed with the Office of the Vice President for Finance and Administration during the preceding month.
3. **Withdrawal of Authorization for Deduction** -- Any employee who has executed and filed with the Curators of the University of Missouri a "Request and Authorization for Deduction of Organization Dues" as hereinabove provided, may during the period December 1 thru December 31 annually, terminate such assignment and revoke such authorization by executing at the office provided in Section 350.030 1.a "Withdrawal of Authorization for Deduction of Organization Dues" form, which shall, in addition to the necessary identification, contain the following language:
- "I, the undersigned, do hereby revoke my assignment to, and authorization to deduct dues from my wages for International Brotherhood of Electrical Workers, Local 257, effective with the first payroll period beginning on or after the first January 1 following the date of this revocation."

4. **Rules and Regulations** -- The Office of the Vice President for Finance and Administration is hereby authorized to make such rules and regulations as may be necessary or desirable to carry into effect the terms of this resolution.

Sole Source
Hydrogen Steelmaking Pilot Reactor
Missouri S&T

In accordance with the Collected Rules and Regulations 80.010, Missouri University of Science and Technology (Missouri S&T) requests approval for the sole source purchase of a hydrogen steelmaking pilot reactor from Hazen Research Inc. (Hazen), Golden, Colorado, for an estimated total cost of \$1,435,000 for a three-year term.

Under a vendor agreement with Missouri S&T that is part of a three-year Department of Energy (DOE) award, “Grid-Interactive Steelmaking with Hydrogen (GISH)”, Hazen will construct a pilot reactor and operate the reactor at its research facilities in Golden, Colorado under the direction of Missouri S&T and a team of co-principal investigator’s (PI’s), including University of Arizona, National Renewable Energy Laboratory (NREL), Danieli, and the following industrial producers and suppliers: Voestalpine Texas, Steel Dynamics, Gerdau, Nucor Praxair Inc. and Air Liquide. The pilot reactor design will be provided by co-PI Danieli, who produces commercial direct reduced iron (DRI) reactors and has a working relationship with Hazen Research Inc.

The work to be conducted at Hazen is an integral part of the larger \$5.5M DOE GISH program that will examine strategies for combining grid renewable hydrogen and natural gas to produce steel, using a solid-state reactor to produce iron from ore combined with an electric furnace melting to produce steel.

At present, no other company can fulfill the unique combination of design, construction and operating experience provided by Hazen. Their expertise has been gained through prior experience in pilot scale direct reduction reactor construction and operation, their facilities experience in the safe handling of hydrogen and natural gas, and their relationship with our co-PI’s Danieli and NREL.

The total estimated expenditure of \$1,435,000 for the three-year term will be fully funded through the DOE contract award DE-EE0009250, Grid-Interactive Steelmaking with Hydrogen (GISH), with pilot reactor construction in year 1 at a cost of \$935,000 and pilot reactor operation in years 2 and 3 at a cost of \$500,000. At the end of the three-year term, the University will own the pilot reactor and have the option of moving it to Missouri S&T.

February 4, 2021

No. 9

Recommended Action – Sole Source, Hydrogen Steelmaking Pilot Reactor,
Missouri S&T

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

that Missouri S&T be authorized to purchase a Hydrogen Steelmaking Pilot
Reactor from Hazen Research Inc., Golden, Colorado, at a total estimated cost of
\$1,435,000 for a three-year term.

Funding is as follows:

Missouri S&T Grant Fund w/funds for the full expense coming from the
DOE contract award MoCode TBD

Roll call vote Finance Committee YES NO

Curator Hoberock
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

Roll call vote Full Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

February 4, 2021

GOVERNANCE, COMPENSATION AND HUMAN RESOURCES COMMITTEE

Michael A. Williams, Chair

Julia G. Brncic

Jeff L. Layman

David L. Steelman

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

1. 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.

2. 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.

3. 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);
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

1. **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.

2. **Executive Liaison**

The Associate 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.

3. **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:
 1. President
 2. General Counsel
 3. Secretary of the Board of Curators
 4. 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:
 1. Vice Presidents
 2. Chancellors
 3. 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. Additional matters customarily addressed by the compensation and human resources committee of a governing board for an institution of higher education.

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 2021, resulting in the following recommended charters for the Academic, Student Affairs, Research and Economic Development; Audit, Compliance and Ethics; Governance, Compensation and Human Resources; Health Affairs and Finance committees, which will be presented to the full Board for approval at their February 4, 2021 meeting.

Amendments are shown in the redline versions for the Academic, Student Affairs, Research and Economic Development and Governance, Compensation and Human Resources committees. The other charters remain as approved in April 2020.

February 4, 2021

No. 1

Recommended Action - Board Standing Committee Charters

It was recommended by the Governance, Compensation and Human Resources Committee, endorsed by Chair Chatman, 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 Layman
Curator Steelman
Curator Williams

The motion _____.

Roll call vote of the Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

February 4, 2021

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;
- 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;
- FG. 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;
- GH. 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:
April 9, 2020

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;

February 4, 2021

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:
April 9, 2020

February 4, 2021

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;

February 4, 2021

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:
April 9, 2020

**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);
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 ~~Associate~~ 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:

February 4, 2021

- a. Vice Presidents
- b. Chancellors
- 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.
89. 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:
April 9, 2020

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; and
- Coordination of the clinical, teaching, and research missions.

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.

February 4, 2021

- 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:
April 9, 2020

February 4, 2021

FINANCE COMMITTEE

Greg E. Hoberock, Chair

David L. Steelman

Robin R. Wenneker

Michael A. Williams

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

1. 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;
 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.
2. 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.
3. 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: April 9, 2020

Federal Budget Stabilization Fund Maintenance & Repair Plan
Summary
UM

In early December, Governor Parson indicated that he might release \$68 million appropriated, but withheld, to public universities in the FY2021 budget bill. The University of Missouri's portion of the allocation is \$36,939,413. The governor requested that each institution develop a proposed plan to spend their portion of the funding and to submit the plan to the Department of Higher Education and Workforce Development (DHEWD) by December 31, 2020. A template and further guidance were issued by DHEWD on December 7th. The guidance stated the plans should dedicate 100% of these funds to deferred maintenance needs and indicated that part of the reason for releasing these funds was the economic benefit of putting people/contractors to work on these projects. Consequently, the majority of the proposed projects need to be quickly designed and bid enabling construction to start, gaining the desired economic impact for the State.

The University of Missouri has over \$1.9 billion in facilities needs. Facilities needs include \$1.02 billion of deferred maintenance, \$663.4 million in capital renewal needs (major repairs when items reach the end of their useful life), and \$227.1 million in plant adaptation needs (repurpose facilities to evolving institutional needs).

The Chancellor, CFO, and facilities department at each university worked together to select the critical projects to include in the proposed plan. Many of the projects selected address life safety issues, such as replacement of fire alarm systems and laboratory exhaust systems; and building envelope projects such, as roof replacements and tuckpointing. Other projects address mechanical and electrical systems issues, and infrastructure needs. The demolition of two buildings is also included in the proposal plan. Shrinking the campus footprint by demolishing inefficient buildings with high facility needs, reduces the total facilities needs for the University and reduces on-going operating cost. These savings can then be used to address deferred maintenance needs in the remaining buildings.

The State will release the funding in six equal installments starting in January 2021 through June 2021. Status updates on the projects will be provided to the State until the projects are complete.

February 4, 2021

Federal Budget Stabilization Fund (FBSF) M&R Ranked Projects
University of Missouri – Columbia

Rank	Site Location/Facility Name	Project Name	FBSF Budget for Project	Institution Match	Total Project Budget	Scope of Work	Project Expected Completion Date
1	MU - Ellis Library	Ellis Library - Replace Fire Alarm System	\$400,000	\$0	\$400,000	Replace fire alarm system	10/30/2021
2	MU - Physics Building	Physics Building - Replace Fire Alarm System	\$200,000	\$0	\$200,000	Replace fire alarm system	10/30/2021
3	MU - Fine Arts Building	Fine Arts Building - Replace Fire Alarm System	\$200,000	\$0	\$200,000	Replace fire alarm system	10/30/2021
4	MU - Animal Science Research Center (ASRC)	ASRC - Replace Fire Alarm System	\$250,000	\$0	\$250,000	Replace fire alarm system	11/30/2021
5	MU - Bond Life Sciences Center	BLSC - Install Fire Alarm Speaker System	\$100,000	\$0	\$100,000	Install fire alarm speaker system to meet code	8/30/2021
6	MU - Animal Science Research Center (ASRC)	ASRC - Replace Fume Hood Exhaust System & Hoods	\$800,000	\$0	\$800,000	Replace fume hood exhaust system and hoods	1/1/2022
7	MU - Chemistry Building	Chemistry Building - Replace Switchgear	\$350,000	\$0	\$350,000	Replace switchgear	12/30/2021
8	MU - Missouri University Research Reactor (MURR)	MURR - Replace HVAC Coils	\$125,000	\$0	\$125,000	Replace HVAC coils	10/15/2021
9	MU - Veterinary Medicine West	Vet Med West- Replace Fume Hood Exhaust System	\$175,000	\$0	\$175,000	Replace fume hood exhaust system	9/30/2021
10	MU - General Site Utilities	Research Commons - Replace Lead Covered Cable Phase 1	\$375,000	\$0	\$375,000	Replace paper insulated lead covered electrical cables	6/30/2021

February 4, 2021

Federal Budget Stabilization Fund (FBSF) M&R Ranked Projects

University of Missouri – Columbia

Rank	Site Location/Facility Name	Project Name	FBSF Budget for Project	Institution Match	Total Project Budget	Scope of Work	Project Expected Completion Date
11	MU - General Site Utilities	Research Commons - Replace Lead Covered Cable Phase 2	\$675,000	\$0	\$675,000	Replace paper insulated lead covered electrical cables	12/30/2021
12	MU - General Site Utilities	Research Commons - Replace Lead Covered Cable Phase 3	\$518,000	\$0	\$518,000	Replace paper insulated lead covered electrical cables	6/30/2022
13	MU - Schweitzer and Schweitzer Addition	Schweitzer and Schweitzer Addition - Epoxy Flooring	\$150,000	\$0	\$150,000	Replace failing epoxy flooring in labs and corridors	12/30/2021
14	MU - Dalton Cardiovascular Research Center (DCRC)	DCRC - Replace Elevator	\$350,000	\$0	\$350,000	Replace elevator	10/30/2021
15	MU - Ellis Library	Ellis Library - Replace Humidifiers	\$100,000	\$0	\$100,000	Replace humidifiers	6/20/2021
16	MU - Lewis Hall & Clark Hall	Lewis & Clark Halls - Replace Dual Temperature Piping Mains and All Piping Insulation	\$350,000	\$0	\$350,000	Replace portion of dual temperature pipe mains and insulation piping on all piping (failing ACM)	8/30/2021
17	MU - Fine Arts Building	Fine Arts Building - Replace 4 AHUs	\$900,000	\$0	\$900,000	Replace 4 air handling units	12/30/2021
18	MU - Jesse Auditorium & Medical Science Building	Jesse Auditorium & MSB - Rebuild AHUs	\$750,000	\$0	\$750,000	Rebuild air handling units (coils/piping/insulation/dampers)	9/30/2021
19	MU - Chemistry Building	Chemistry Building - Replace Chilled Water Coils	\$100,000	\$0	\$100,000	Replace chilled water coils	8/30/2021

February 4, 2021

Federal Budget Stabilization Fund (FBSF) M&R Ranked Projects
University of Missouri – Columbia

Rank	Site Location/Facility Name	Project Name	FBSF Budget for Project	Institution Match	Total Project Budget	Scope of Work	Project Expected Completion Date
20	MU - Veterinary Medicine West (VMW), DCRC, MURR Botany Green House, ASRC, and Middlebush Hall	Various Locations - Roof Replacements	\$1,300,000	\$0	\$1,300,000	Roof replacement at VMW upper roof, DCRC lower roof, MURR Machine Bldg. roof, Botany Green House roof, recoating ASRC roof, and caulking the Middlebush Hall coping stone	12/30/2021
21	MU - Missouri University Research Reactor (MURR)	MURR - Roof Replacement and Tower Masonry Repairs	\$1,800,000		\$1,800,000	Roof replacement and masonry repairs to tower	12/30/2021
22	MU - Veterinary Medicine West & Strickland Hall	Vet Med West & Strickland Hall - Exterior Tuckpointing and Masonry Repairs	\$950,000		\$950,000	Tuckpointing and brick replacement of building exterior	12/30/2021
23	MU - Ellis Library	Ellis Library - Exterior Repairs	\$7,500,000		\$7,500,000	Exterior masonry repairs, window restoration, and foundation repair to under-pin west addition	6/30/2022
24	MU - Memorial Union Tower	Memorial Union Tower - Exterior Repairs and Roof Replacement	\$721,628		\$721,628	Exterior masonry repairs and replace roof	12/30/2021
25	MU - University Hall	University Hall - Exterior Repairs	\$225,000		\$225,000	Exterior repairs including tuckpointing, replace sealant joints, recoating masonry columns and soffit, cape coping stone on screen wall, and clean masonry	9/30/2021
26	MU - University Hall	University Hall - Replace AHUs	\$783,666		\$783,666	Replace air handling units	12/30/2021
		Total All Projects	\$20,148,294		\$20,148,294		

February 4, 2021

Federal Budget Stabilization Fund (FBSF) M&R Ranked Projects
University of Missouri – Kansas City

Rank	Site Location/Facility Name	Project Name	FBSF Budget for Project	Institution Match	Total Project Budget	Scope of Work	Project Expected Completion Date
1	UMKC - Newcomb Hall	Roof Replacement	\$120,000	\$0	\$120,000	Replace center flat roof	8/31/2021
2	UMKC - Royall Hall	Roof Replacement	\$180,000	\$0	\$180,000	Replace lower section of roof	8/31/2021
3	UMKC - School of Education	Roof Replacement	\$900,000	\$0	\$900,000	Tear off and replace roof	8/31/2021
4	UMKC - 4747 Troost	Roof Replacement or Coating	\$300,000	\$0	\$300,000	Tear off and replace roof or coating	8/31/2021
5	UMKC - Royall Hall	Exterior Concrete Repair/Wtrprf	\$500,000	\$0	\$500,000	Concrete Repair and Waterproofing	8/31/2021
6	UMKC - Spencer Hall/School of Biological Sciences	D.A. Tank & Accessory Replacement	\$800,000	\$0	\$800,000	Replace D.A. Tank & accessory components in central boiler plant	10/1/2021
7	UMKC - Miller Nichols Library	D.A. Tank & Accessory Replacement	\$800,000	\$0	\$800,000	Replace D.A. Tank & accessory components in central boiler plant	10/1/2022
8	UMKC - School of Law	Fire Alarm Replacement	\$750,000	\$0	\$750,000	Replace fire alarm system	9/1/2021
9	UMKC - Grant Hall	Fire Alarm Replacement	\$600,000	\$0	\$600,000	Replace fire alarm system	9/1/2021
10	UMKC - School of Medicine	Fire Alarm Replacement	\$619,000	\$0	\$619,000	Replace fire alarm system	9/1/2021
11	UMKC - School of Medicine	Boiler Valves Replacement	\$100,000	\$0	\$100,000	Replace boiler valves	10/30/2021
12	UMKC - School of Medicine	HVAC Controls Replacement	\$950,054	\$0	\$950,054	Replace HVAC controls system	10/1/2021
13	UMKC - Fine Arts	AHU Replacement	\$300,000	\$0	\$300,000	Replace AHU #4 & upgrade controls	12/31/2021
Total All Projects			\$6,919,054	\$0	\$6,919,054		

February 4, 2021

Federal Budget Stabilization Fund (FBSF) M&R Ranked Projects
Missouri University of Science & Technology

Rank	Site Location/Facility Name	Project Name	FBSF Budget for Project	Institution Match	Total Project Budget	Scope of Work	Project Expected Completion Date
1	Missouri S&T - Power Plant	Power Plant Demolition	\$3,772,600	\$0	\$3,772,600	This project includes the demolition of the existing underutilized 36,000 GSF power plant structure to eliminate \$3.6 million of deferred maintenance and \$43,560 of operational costs per year. The project will also include asbestos abatement and other required environmental remediation for demolition.	5/1/2022
2	Missouri S&T - Site - Campus Electrical Substation	Substation Replacement	\$910,984	\$3,532,016	\$4,443,000	The substation replacement project replaces S&T's existing 1950s electrical substation and will reduce deferred maintenance by \$2.55 M. The substation replacement project is critical for S&T to provide a reliable power infrastructure for S&T's research and academic functions. The project will be phased with the first phase completed within the next 8 months. The remaining funds needed for this project will be from S&T's general operating funds.	7/1/2024
Total All Projects			\$4,683,584	\$3,532,016	\$8,215,600		

February 4, 2021

Federal Budget Stabilization Fund (FBSF) M&R Ranked Projects

University of Missouri – St. Louis

Rank	Site Location/Facility Name	Project Name	FBSF Budget for Project	Institution Match	Total Project Budget	Scope of Work	Project Expected Completion Date
1	UMSL - Mark Twain	Concrete Replacement	\$325,000	\$0	\$325,000	Replace Concrete Mezzanine - failure/end of life	5/1/2021
2	UMSL - MSC Garage N. Control Room	DDC Controls Upgrade	\$225,000	\$0	\$225,000	Replace Obsolete Equipment that Controls Campus HVAC	4/1/2021
3	UMSL - West Pine	Roof Replacement	\$80,000	\$0	\$80,000	Replace Roof - end of life	6/30/2021
4	UMSL - Research Building	Chiller Replacement	\$400,000	\$0	\$400,000	Replace Chiller - end of life	6/30/2021
5	UMSL - Thomas Jefferson Library	Chiller Replacement	\$ 500,000	\$0	\$ 500,000	Replace Chiller - end of life	6/30/2021
6	UMSL - Site - Quad Area	Concrete Steps and Hand Railing	\$775,000	\$0	\$775,000	Replace Concrete Stairs and Hand Railing at Quad Area	5/1/2021
7	UMSL - JC Penny Building	Electrical Switchgear	\$200,000	\$0	\$200,000	Replace South Switchgear - end of life	6/30/2021
8	UMSL - Mark Twain	Exterior Building Wall Sealant	\$120,000	\$0	\$120,000	Seal Joints at Exterior Wall Panels - failure/end of life	5/1/2021
9	UMSL - Research Building	Exterior Building Wall Sealant	\$100,000	\$0	\$100,000	Seal Joints at Exterior Wall Panels - failure/end of life	5/1/2021
10	UMSL - Bellerive Hall	Bellerive Hall Demo	\$500,000	\$0	\$500,000	Demolish Building \$5.68 M of needs are eliminated and \$170K of operating savings can be saved each year	5/1/2021
11	UMSL - Touhill Performing Arts Center	Roof Replacement	\$500,000	\$0	\$500,000	Replace Roof - End of Life	6/30/2021
12	UMSL - Site - University Drive	University Drive Pavement	\$800,000	\$0	\$800,000	Replace Pavement at University Drive - end of life	6/30/2021
13	UMSL -Provincial House	Concrete Steps and Hand Railing	\$100,000	\$0	\$100,000	Replace Concrete Exterior Steps at College of Nursing and Hand Railing	6/30/2021
14	UMSL - Provincial House	Remove Asbestos	\$ 40,000	\$0	\$ 40,000	Remove Asbestos in Lower Level of Provincial House	6/30/2021

February 4, 2021

Federal Budget Stabilization Fund (FBSF) M&R Ranked Projects

University of Missouri – St. Louis

Rank	Site Location/Facility Name	Project Name	FBSF Budget for Project	Institution Match	Total Project Budget	Scope of Work	Project Expected Completion Date
15	UMSL - Provincial House	Roof Replacement	\$150,000	\$0	\$150,000	Replace Roofing and Structural Wood	6/30/2021
16	UMSL - JC Penny Building	Elevator Replacement	\$373,481	\$0	\$373,481	Replace Elevator #3 at JCP - end of life	6/30/2021
Total All Projects			\$5,188,481	\$0	\$5,188,481		

February 4, 2021

Approval of Collected Rules & Regulation 140.013 Investment Pool Policy
For Endowment Pool
UM

Management is presenting for Board approval investment policy changes resulting from an asset allocation study for the Endowment Plan. An asset allocation study for the Retirement Plan was presented to the Board of Curators at its November 2020 meeting.

In light of actions taken by the Federal Reserve in 2020 to push cash rates back down to near zero, this latest Endowment Pool asset allocation study acknowledges investment returns will likely be even lower going forward. With almost all asset classes considered “expensive” based on valuations, our ongoing focus on risk management through more meaningfully diversified portfolios continues to be very relevant. The proposed changes to policy targets represent a refinement to these objectives first implemented in 2015 and later strengthened by the Board in 2017. These recommendations were developed through extensive collaboration with the University’s general investment consultant, Verus, and in consultation with the Investment Advisory Committee on December 18, 2020.

The following investment objective for the Endowment Pool was adopted by the Board of Curators in September 2017 and remains unchanged:

Endowment Pool investments should be managed in a manner that maximizes returns while attempting to minimize losses during adverse economic and market events, with an overall appetite for risk governed by the Plan’s liability structure and the need to make promised benefit payments to members over time. This will be accomplished through a more ‘risk-balanced’ portfolio that seeks meaningful diversification of assets, which necessarily means less equity risk and more long-term bond exposure relative to peers. To offset potentially lower returns from a more risk-balanced portfolio, a key component of this strategy includes a less common, yet prudent, program of return enhancement commonly referred to in the investment industry as portable alpha. These investment objectives seek to prioritize the long-term structural needs of the Endowment Pool over short-term performance comparisons of the investment portfolio relative to peers.

The recommended portfolio changes noted on the following page reflect rather significant changes in market conditions since the last asset allocation study. The expected low returns for sovereign and inflation-linked bonds of 0.7% and 1.3%, respectively, had to be weighed carefully against their diversifying characteristics. A decision was made to recommend an 11% reduction in such bonds (while maintaining a combined 18% allocation), with capital reallocated to diversifying private assets and risk balanced strategies.

February 4, 2021

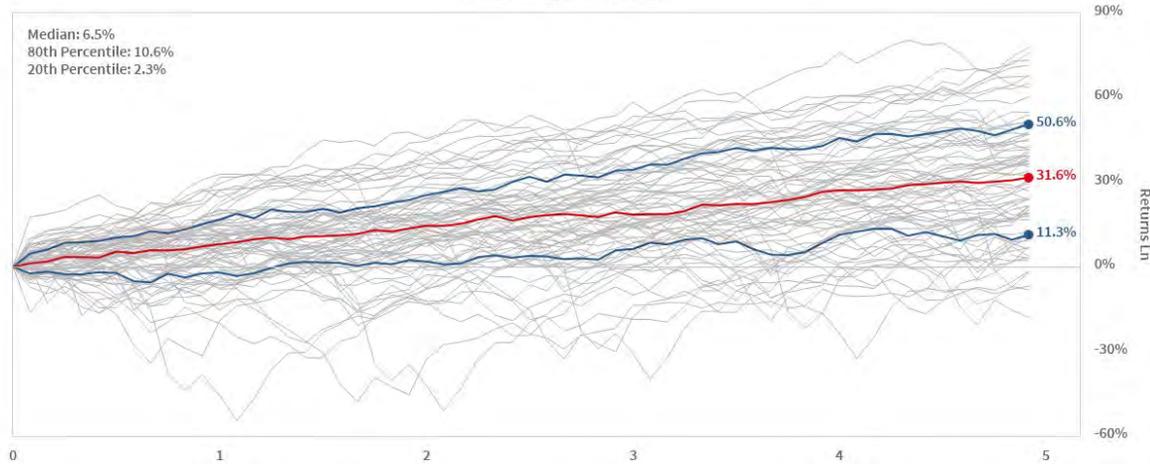
Summary of Proposed Portfolio Changes

	<u>Existing Endowment</u>	<u>Proposed Endowment</u>
Global equity	35%	35%
Private equity	10%	15%
Private debt	3%	7%
Sovereign bonds	14%	8%
Inflation-linked bonds	15%	10%
Real estate	8%	10%
Risk balanced	10%	12%
Commodities	5%	3%
 Subtotal – Before Portable Alpha	 100%	 100%
 Mean Expected Return	 5.58%	 6.66%
Standard Deviation	9.8%	11.8%
Sharpe Ratio	0.55	0.55
 Portable Alpha Program	 20%	 22%
 Mean Expected Return	 6.15%	 7.28%
Standard Deviation	10.4%	12.4%
Sharpe Ratio	0.57	0.57
 <i>Portable Alpha Additional Return</i>	 <i>0.57%</i>	 <i>0.62%</i>

Based on current capital market return expectations, the proposed recommendations offer a 113bp (1.13%) increase in mean expected return over the current portfolio mix with a consistent level of risk-adjusted return as measured by Sharpe Ratio.

The expected returns shown above represent the mean, or average, of a wide range of possible outcomes, both positive and negative. The following graph illustrates the range of outcomes over a five-year period based on how the proposed retirement portfolio would have performed over rolling five-year intervals from 1940 through 2020. Note that these historical portfolio intervals do not include a portable alpha program.

Proposed Portfolio Mix – Range of Rolling Five Year Outcomes (1940-2020)



Expected Returns vs. Spending Distributions

To preserve the purchasing power of endowment distributions over time, the real (net of inflation) rate of the endowment's return should meet or exceed the rate of annual endowment distributions. On an expected basis, the proposed asset allocation meets this objective.

Spending Distribution	4.00%	Expected Return	7.28%
Administrative Distribution	<u>1.25%</u>	Less: Inflation Assumption	<u>1.90%</u>
Total Annual Distribution	5.25%	Expected Real Return	5.38%

Highlights of Significant Proposed Changes

Private Equity

The 5% increase reflects a growing conviction for this asset class as increasing numbers of companies remain private (with numbers of publicly listed companies continuing to decrease year over year).

Private Debt

As capital is redeployed away from nominal and inflation-linked bonds, we see private debt continuing to offer diversifying characteristics. On a relative basis, the 4% increase to private debt allows us to increase portfolio returns overall without a commensurate increase in equity risk.

February 4, 2021

Sovereign Bonds

We propose a 6% reduction to the U.S. Treasuries allocation in light of a 0.7% return expectation as well as increasingly asymmetric risks to holding nominal bonds with duration. Given the low starting yields today, U.S. Treasuries no longer offer the same level of portfolio protection to the downside as rates have little room left to fall.

Inflation-Linked Bonds

We are also proposing a 5% reduction to inflation-linked bonds in light of a 1.3% return expectation as well as market disbelief that inflation will increase going forward, despite the Federal Reserve's continuing signals that somewhat higher inflation is desirable. Inflation risk will be monitored closely going forward.

Real Estate

As capital is redeployed away from nominal and inflation-linked bonds, we see real estate continuing to offer diversifying characteristics. The 2% increase allows us to increase portfolio returns overall without a commensurate increase in equity risk. Further, we believe there will be opportunities for new real estate investment as global markets adjust to a post-COVID world.

Risk Balanced

We are proposing a 2% increase in this allocation as we continue to see risk balanced strategies as effective and efficient ways to obtain market exposure with attractive risk-adjusted returns. As a reminder, Risk Balanced is a self-contained approach to investing, building a risk-balanced portfolio diversified across market risks in a manner that should outperform a traditional portfolio over longer time horizons.

Commodities

We are proposing a 2% decrease to this allocation in favor of a commitment to higher returning private assets. As a reminder, a commodities allocation brings a relatively uncorrelated return stream to the portfolio while adding diversification and tends to perform particularly well in periods of rising inflation.

Portable Alpha

We are recommending a slight increase to our existing portable alpha program from a soft target of 20% of capital (with 25% upper limit) to a soft target of 22% of capital (with a 27% upper limit). Given the strategic repositioning of the alpha portfolio, we feel we can reasonably allocate the additional capital to high conviction alpha managers.

As background, synthetic market exposures across many asset classes may be obtained through derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements. When synthetic market exposures are obtained through derivative instruments, a portion of the resulting cash and cash equivalent balances may be invested by active alpha managers seeking to add returns over the respective asset class benchmarks. These alpha managers possess broadly diverse strategies/styles and, in the aggregate, are expected to produce

February 4, 2021

returns that show little or no relationship to the economic environment being experienced at any given time. Furthermore, this portfolio of managers has been constructed with a goal of low correlations to the synthetic market exposures obtained through the derivative instruments.

Derivative instruments used to gain synthetic market exposures as part of the portable alpha program are currently managed by NISA, a nationally respected investment management firm based in St. Louis, with appropriate expertise, experience and depth of resources.

Risk - Management of liquidity risk is a critical component of the portable alpha program. If not managed appropriately, there is a risk that synthetic market exposures may need to be unwound at undesirable points in time in order to meet margin calls during volatile markets. To help mitigate this risk, prudent balances of cash and cash equivalents shall be maintained as part of the program and monitored daily.

Risk – In times of severe market stress, it is possible that correlations among asset classes and alpha manager strategies could converge causing combined losses to be higher than what would otherwise be expected. This was experienced most recently in March 2020 during the global liquidity crisis sparked by the COVID pandemic as well as a concurrent oil price war between Russia and Saudi Arabia.

Risk Differentiation – Endowment Pool vs. Retirement Plan

In the past, asset allocation studies for the Retirement Plan and Endowment Pool have been presented to the Board for consideration at the same meeting, with very similar asset allocation targets presented for both. With the continued maturation of the Retirement Plan, which will accelerate after having closed the plan to new participants, the risk characteristics between the Retirement Plan and Endowment Pool will increasingly diverge. As such, the asset allocation targets proposed for each should begin to further diverge as well.

There are two closely related factors which must be carefully considered. The first is net cash flow. Setting aside investment income, the Retirement Plan has net negative cash flows each year, which are expected to increase with each year going forward. This means annual benefit payments going out exceed employer and employee contribution payments going in. These net negative cash flows will continue to grow as more active participants move toward retirement and, by definition, contributions slowly fall. In a net negative cash flow situation, investment drawdown risk becomes a larger problem. If markets are negative in any given year, these net negative cash flows will cause a liquidation of assets to meet benefit payments, potentially when markets are at a bottom. The second factor to be considered is liquidity. Particularly because of the net negative cash flows, the Retirement Plan has less capacity for illiquid, private assets. With benefit payments increasing each year over the next several decades, we need to maintain an increasing

February 4, 2021

percentage of the portfolio in asset classes that can easily be liquidated for purposes of benefit payments and ongoing rebalancing.

With respect to the Endowment Pool, these two factors are not as meaningful. Cash flows are closer to neutral with respect to annual endowment gifts vs. spending distributions. Additions to the Endowment Pool through fundraising are expected to continue indefinitely. So, while drawdowns remain unwelcome in any portfolio, they are not as potentially damaging to the Endowment Pool as compared to the Retirement Plan. Further, the Endowment Pool utilizes a fairly conservative spending policy, which is based on a 28-quarter average market value, which helps protect annual spending distributions from short-term market volatility. With respect to liquidity, because the Endowment Pool has fairly neutral cash flows, with every expectation this will remain the case going forward, it can “afford” more liquidity risk.

The Endowment Pool is in a better position structurally to take some level of additional risk relative to the Retirement Plan. The following table illustrates the differences in asset allocation between what has already been approved for the Retirement Plan as compared to what is being proposed for the Endowment Pool.

	<u>Proposed</u> <u>Endowment</u>	<u>Retirement</u> <u>Plan</u>	<u>Difference</u>
Private equity	15%	12%	3%
Private debt	7%	6%	1%
Sovereign Bonds	8%	10%	(2%)
Commodities	3%	5%	(2%)

With this asset allocation proposal for the Endowment Pool, we have recommended a lower allocation to Sovereign Bonds and Commodities (very liquid asset classes, lower returns) in favor of increased allocations to private equity and private debt (less liquid asset classes, higher returns). Additionally, the private debt allocation we propose for the Endowment Pool will be further out the risk spectrum for private debt as compared to what’s planned for the Retirement Plan. These risk-driven incremental asset allocation differences will result in a 50bp (0.50%) higher return expectation in the Endowment Pool vs. the Retirement Plan.

Transition Plan

The transition to new policy targets should be done in a prudent, methodical manner over a reasonable period of time as determined by investment staff. The policy benchmark will be adjusted as transitions to new targets take place, with such changes communicated to the Board on a quarterly basis.

February 4, 2021

Proposed Investment Policy Changes

Investment Policy for Endowment Pool (CRR 140.013) - new asset allocation targets as discussed above. Clean and redline versions of proposed changes to the Collected Rules and Regulations are attached.

No. 1

Recommended Action - Approval of Collected Rules and Regulations 140.013
Investment Pool Policy for Endowment Pool, UM

It was recommended by Vice President Rapp, endorsed by University of Missouri
President Mun Y. Choi, recommended by the Finance Committee, moved by Curator
_____ and seconded by Curator _____, that the:

Existing investment policy of Collected Rules and Regulations, Section 140.013,
be amended, as noted in the attached documents. Further, the asset allocation
changes noted in Section 140.013 should occur in a methodical manner over a
reasonable period of time as determined by investment staff:

Roll call vote of the Committee: YES NO

Curator Hoberock

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

Roll call vote of Board of Curators: YES NO

Curator Brncic

Curator Chatman

Curator Graham

Curator Hoberock

Curator Layman

Curator Snowden

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

February 4, 2021

140.013 Investment Policy for Endowment Pool

Bd. Min 7-22-11. Revised in entirety, Bd. Min. 6-26-12. (Note: Board approval on 6-26-12 replaced previous rules 140.010, 140.011, 140.012 and 140.013 with new language and reissued new rules 140.010 through and including 140.016.) Revised Bd. Min 6-14-13; Revised 9-12-13; Revised 6-25-15; Revised 2-4-16; Revised 4-14-16; Revised 6-23-17; Revised Bd. Min. 9-28-17.

- A. **Introduction** -- The University's Endowment Pool contains gifts, bequests and other funds directed to be used to support a University program in perpetuity. Some donors require such a commitment as a condition of their gift ("true endowments"). Also, funds may be assigned to function as endowments by the Board of Curators or by University administration ("quasi endowments").
- B. **Responsibilities and Authorities** – See CRR 140.010 "*Policy for Management and Oversight of Selected University Investment Pools.*"
- C. **Investment Objectives** -- The Endowment Pool must be managed to provide ongoing support of endowed programs in perpetuity, in conformance with donor stipulations. To accomplish this, investment returns, net of inflation, should be sufficient over time to cover annual spending distributions while maintaining or growing the underlying purchasing power of each endowed gift.
Endowment Pool investments should be managed in a manner that maximizes returns while attempting to minimize losses during adverse economic and market events, with an overall appetite for risk governed by the objectives noted above. This will be accomplished through a more 'risk-balanced' portfolio that seeks meaningful diversification of assets, which necessarily means less equity risk and more long-term bond exposure relative to peers. To offset potentially lower returns from a more risk-balanced portfolio, a key component of this strategy includes a less common, yet prudent, program of return enhancement commonly referred to in the investment industry as portable alpha. These investment objectives seek to prioritize the long-term structural needs of the Endowment Pool over short-term performance comparisons of the investment portfolio relative to peers.
- D. **Authorized Investments** – The Endowment Pool shall be invested in externally managed funds, consistent with the guidelines established in CRR 140.011, "*Policy for Investment Manager Selection, Monitoring and Retention*" and CRR 140.017, "*Allowable Investments,*" in the following asset classes:

Asset Class	Economic Environment	Risk Factor(s)	Sub-Class Target	Asset Class Target	Range
Public Equity	<i>Rising Growth Falling Inflation</i>	<i>Equity Currency</i>		35%	25%-45%
Private Equity	<i>Rising Growth Falling Inflation</i>	<i>Equity Currency Liquidity</i>		15% 10%	10%-20% 5%-15%
Public Debt <i>Sovereign Bonds Inflation-Linked Bonds Opportunistic</i>	<i>Falling Growth Falling Inflation Falling Growth Rising Inflation Rising Growth Falling Inflation</i>	<i>Interest Rates Currency Inflation Interest Rates Currency Interest Rates Credit spreads</i>	8% 14% 10% 15% 0%	18% 20%	8%-28% 19%-39%
Private Debt	<i>Rising Growth Falling Inflation</i>	<i>Credit Spreads Liquidity</i>		7% 3%	2%-12% 0%-7%
Diversifiers <i>Risk Balanced Commodities Real Estate / Infrastructure Opportunistic</i>	<i>Rising Growth Falling Growth Rising Inflation Falling Inflation Rising Growth Rising Inflation Rising Growth Rising Inflation Rising Growth Rising Inflation</i>	<i>Diversified Inflation Equity Credit Spreads Inflation Liquidity Equity Interest Rates</i>	12% 10% 3% 5% 10% 8% 0%	25% 23%	20%-30% 18-28%
Total Portfolio				100%	

E. Portfolio Rebalancing

Asset allocations shall be monitored on an ongoing basis as changes in market behavior may cause variations from the target asset mix. Rebalancing of the portfolio shall be considered at least quarterly, and more often if necessary to maintain allocations within the allowable range. The need to rebalance shall take into account any logistical issues associated with fully funding a particular asset sector, as well as any tactical decisions to overweight or underweight a particular asset sector based on current market conditions. The University may utilize external managers to rebalance portfolio exposures consistent with targets and allowable ranges established by this policy. In those instances, conventional derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements may be utilized.

Actual asset class allocations shall not fall outside of the allowable ranges, with the exception of violations caused solely by periods of extreme market

February 4, 2021

distress, when it may not be possible or advisable to immediately bring such allocations back to within the allowable ranges.

F. Currency Risk Management

In the context of a global investment portfolio, currency risk exists to the extent that investments contain exposures to foreign currencies. The desirability of this currency exposure is not necessarily aligned dollar for dollar with the desired exposure to assets denominated in foreign currencies. As such, external managers in any asset class may implement currency strategies to alter the currency exposure of the portfolio when deemed prudent to do so in the context of the particular investment mandate. In addition, the University may utilize external managers to implement currency strategies to alter exposures in an active or passive manner as part of a portfolio or asset class overlay when deemed prudent to do so.

G. Portable Alpha Program

Synthetic market exposures across asset classes including equities, sovereign bonds, inflation-linked bonds and commodities may be obtained through derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements. These derivative instruments shall be managed by external investment firms with appropriate expertise, experience and depth of resources.

When synthetic market exposures are obtained through derivative instruments, a portion of the resulting cash and cash equivalent balances may be invested by active alpha managers seeking to add returns over the benchmark. These alpha managers will possess broadly diverse strategies/styles and, in the aggregate, are expected to produce returns that show little or no relationship to the economic environment being experienced at any given time. Furthermore, this portfolio of managers will be constructed with a goal of low/no correlation to the synthetic market exposures obtained through the derivative instruments. The risk drivers with the portable alpha portfolio should generally be well-known, empirically-tested, sources of return that can be systematically harvested through dynamic long/short strategies. They can be thought of either as returns that underlie "classic" hedge fund strategies (hedge fund risk premia), such as arbitrage and macro or the returns from "classic" styles (style premia), such as value, momentum, carry, defensive and low volatility.

Legal account structures will be in the form of one or a combination of separate accounts, institutional commingled funds and/or limited partnerships or other similar forms.

The allowable range of the portable alpha portfolio shall be 0-~~27%~~ 25% of the total Endowment Pool.

Management of liquidity risk is a critical component of the portable alpha program. If not managed appropriately, there is a risk that synthetic market exposures may need to be unwound at undesirable points in time in order to meet margin calls during volatile markets. To help mitigate this risk, prudent balances of cash and cash equivalents shall be maintained as part of the program and monitored daily.

The following table outlines the minimum cash requirements with associated replenishing guidelines:

	Cash Margin*	Replenishing Guidelines
Target	30%	n/a
Range 1	29.9% to 20%	Develop action plan to replenish to Target within 12 months
Range 2	19.9% to 10%	Develop action plan to replenish to Range 1 within 60 days, with subsequent plan to replenish to Target within 12 months
Range 3	9.9% or less	Take immediate action to replenish to Range 2 as quickly as possible. Follow with plan to replenish to Range 1 within 60 days, and subsequent plan to replenish to Target within 12 months

* Cash Margin is defined as Portable Alpha Program cash and cash equivalents divided by the total of synthetic market exposures outstanding across all asset classes with the program.

- H. **Spending Policy** – To provide ongoing support to endowed programs in perpetuity, the spending policy must be managed in conjunction with investment objectives and other factors in compliance with applicable law, such that the spending rate plus an inflationary assumption shall not exceed expected investment returns over time. At minimum, the spending policy should be reviewed in conjunction with asset/liability studies performed by the Investment Consultant not less than once every three years.
1. The formula used to determine the Endowment Pool spending distribution for each fiscal year shall apply a rate of 4.0% to a base equal to the 28-quarter trailing average of market values as of December 31st of the prior fiscal year. Endowment spending distributions shall be paid on a monthly basis. The transition of the rate from 4.5% to 4.0% shall be accomplished in a methodical manner over a period not to exceed the seven years ended June 30, 2024. In no case shall the transition from 4.5% to 4.0% cause the actual spending distribution to decrease from one year to the next during the transition phase.
 2. In addition to the spending distribution noted above, the President shall have the discretion to distribute from the Endowment Pool an administrative fee each fiscal year to be used for support of internal endowment administration and development functions. Such administrative fee shall be calculated by applying a rate of up to 1.25% to a base equal to the 28-quarter trailing average of market values as of December 31st of the prior fiscal year. The administrative fee shall be paid on a monthly basis. In addition, internal investment

February 4, 2021

management, accounting and legal expenses may be charged directly to the Endowment Pool.

3. The spending policy, spending distribution formula and administrative fee may be adjusted over time by the Board to respond to general economic conditions and other factors as appropriate and in compliance with applicable law.
4. Implementation of the spending policy is delegated to the Vice President for Finance or her/his designees.

140.013 Investment Policy for Endowment Pool

Bd. Min 7-22-11. Revised in entirety, Bd. Min. 6-26-12. (Note: Board approval on 6-26-12 replaced previous rules 140.010, 140.011, 140.012 and 140.013 with new language and reissued new rules 140.010 through and including 140.016.) Revised Bd. Min 6-14-13; Revised 9-12-13; Revised 6-25-15; Revised 2-4-16; Revised 4-14-16; Revised 6-23-17; Revised Bd. Min. 9-28-17.

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 Endowment Pool investments should be managed in a manner that maximizes returns while attempting to minimize losses during adverse economic and market events, with an overall appetite for risk governed by the objectives noted above. This will be accomplished through a more 'risk-balanced' portfolio that seeks meaningful diversification of assets, which necessarily means less equity risk and more long-term bond exposure relative to peers. To offset potentially lower returns from a more risk-balanced portfolio, a key component of this strategy includes a less common, yet prudent, program of return enhancement commonly referred to in the investment industry as portable alpha. These investment objectives seek to prioritize the long-term structural needs of the Endowment Pool over short-term performance comparisons of the investment portfolio relative to peers.
- D. **Authorized Investments** – The Endowment Pool shall be invested in externally managed funds, consistent with the guidelines established in CRR 140.011, "*Policy for Investment Manager Selection, Monitoring and Retention*" and CRR 140.017, "*Allowable Investments,*" in the following asset classes:

Asset Class	Economic Environment	Risk Factor(s)	Sub-Class Target	Asset Class Target	Range
Public Equity	<i>Rising Growth Falling Inflation</i>	<i>Equity Currency</i>		35%	25%-45%
Private Equity	<i>Rising Growth Falling Inflation</i>	<i>Equity Currency Liquidity</i>		15%	10%-20%
Public Debt <i>Sovereign Bonds Inflation-Linked Bonds Opportunistic</i>	<i>Falling Growth Falling Inflation Falling Growth Rising Inflation Rising Growth Falling Inflation</i>	<i>Interest Rates Currency Inflation Interest Rates Currency Interest Rates Credit spreads</i>	<i>8% 10% 0%</i>	18%	8%-28%
Private Debt	<i>Rising Growth Falling Inflation</i>	<i>Credit Spreads Liquidity</i>		7%	2%-12%
Diversifiers <i>Risk Balanced</i>				25%	20%-30%
<i>Commodities</i>	<i>Rising Growth Falling Growth Rising Inflation Falling Inflation Rising Growth</i>	<i>Diversified Inflation</i>	<i>12% 3%</i>		
<i>Real Estate / Infrastructure</i>	<i>Rising Inflation Rising Growth Rising Inflation</i>	<i>Equity Credit Spreads Inflation</i>	<i>10%</i>		
<i>Opportunistic</i>	<i>Rising Growth Rising Inflation</i>	<i>Liquidity Equity Interest Rates</i>	<i>0%</i>		
Total Portfolio				100%	

E. Portfolio Rebalancing

Asset allocations shall be monitored on an ongoing basis as changes in market behavior may cause variations from the target asset mix. Rebalancing of the portfolio shall be considered at least quarterly, and more often if necessary to maintain allocations within the allowable range. The need to rebalance shall take into account any logistical issues associated with fully funding a particular asset sector, as well as any tactical decisions to overweight or underweight a particular asset sector based on current market conditions. The University may utilize external managers to rebalance portfolio exposures consistent with targets and allowable ranges established by this policy. In those instances, conventional derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements may be utilized.

Actual asset class allocations shall not fall outside of the allowable ranges, with the exception of violations caused solely by periods of extreme market

distress, when it may not be possible or advisable to immediately bring such allocations back to within the allowable ranges.

F. Currency Risk Management

In the context of a global investment portfolio, currency risk exists to the extent that investments contain exposures to foreign currencies. The desirability of this currency exposure is not necessarily aligned dollar for dollar with the desired exposure to assets denominated in foreign currencies. As such, external managers in any asset class may implement currency strategies to alter the currency exposure of the portfolio when deemed prudent to do so in the context of the particular investment mandate. In addition, the University may utilize external managers to implement currency strategies to alter exposures in an active or passive manner as part of a portfolio or asset class overlay when deemed prudent to do so.

G. Portable Alpha Program

Synthetic market exposures across asset classes including equities, sovereign bonds, inflation-linked bonds and commodities may be obtained through derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements. These derivative instruments shall be managed by external investment firms with appropriate expertise, experience and depth of resources.

When synthetic market exposures are obtained through derivative instruments, a portion of the resulting cash and cash equivalent balances may be invested by active alpha managers seeking to add returns over the benchmark. These alpha managers will possess broadly diverse strategies/styles and, in the aggregate, are expected to produce returns that show little or no relationship to the economic environment being experienced at any given time. Furthermore, this portfolio of managers will be constructed with a goal of low/no correlation to the synthetic market exposures obtained through the derivative instruments. The risk drivers with the portable alpha portfolio should generally be well-known, empirically-tested, sources of return that can be systematically harvested through dynamic long/short strategies. They can be thought of either as returns that underlie "classic" hedge fund strategies (hedge fund risk premia), such as arbitrage and macro or the returns from "classic" styles (style premia), such as value, momentum, carry, defensive and low volatility.

Legal account structures will be in the form of one or a combination of separate accounts, institutional commingled funds and/or limited partnerships or other similar forms.

The allowable range of the portable alpha portfolio shall be 0-27% of the total Endowment Pool.

Management of liquidity risk is a critical component of the portable alpha program. If not managed appropriately, there is a risk that synthetic market exposures may need to be unwound at undesirable points in time in order to meet margin calls during volatile markets. To help mitigate this risk, prudent balances of cash and cash equivalents shall be maintained as part of the program and monitored daily.

The following table outlines the minimum cash requirements with associated replenishing guidelines:

	Cash Margin*	Replenishing Guidelines
Target	30%	n/a
Range 1	29.9% to 20%	Develop action plan to replenish to Target within 12 months
Range 2	19.9% to 10%	Develop action plan to replenish to Range 1 within 60 days, with subsequent plan to replenish to Target within 12 months
Range 3	9.9% or less	Take immediate action to replenish to Range 2 as quickly as possible. Follow with plan to replenish to Range 1 within 60 days, and subsequent plan to replenish to Target within 12 months

* Cash Margin is defined as Portable Alpha Program cash and cash equivalents divided by the total of synthetic market exposures outstanding across all asset classes with the program.

H. **Spending Policy** – To provide ongoing support to endowed programs in perpetuity, the spending policy must be managed in conjunction with investment objectives and other factors in compliance with applicable law, such that the spending rate plus an inflationary assumption shall not exceed expected investment returns over time. At minimum, the spending policy should be reviewed in conjunction with asset/liability studies performed by the Investment Consultant not less than once every three years.

1. The formula used to determine the Endowment Pool spending distribution for each fiscal year shall apply a rate of 4.0% to a base equal to the 28-quarter trailing average of market values as of December 31st of the prior fiscal year. Endowment spending distributions shall be paid on a monthly basis. The transition of the rate from 4.5% to 4.0% shall be accomplished in a methodical manner over a period not to exceed the seven years ended June 30, 2024. In no case shall the transition from 4.5% to 4.0% cause the actual spending distribution to decrease from one year to the next during the transition phase.
2. In addition to the spending distribution noted above, the President shall have the discretion to distribute from the Endowment Pool an administrative fee each fiscal year to be used for support of internal endowment administration and development functions. Such administrative fee shall be calculated by applying a rate of up to 1.25% to a base equal to the 28-quarter trailing average of market values as of December 31st of the prior fiscal year. The administrative fee shall be paid on a monthly basis. In addition, internal investment

February 4, 2021

- management, accounting and legal expenses may be charged directly to the Endowment Pool.
3. The spending policy, spending distribution formula and administrative fee may be adjusted over time by the Board to respond to general economic conditions and other factors as appropriate and in compliance with applicable law.
 4. Implementation of the spending policy is delegated to the Vice President for Finance or her/his designees.



**PERSPECTIVES
THAT DRIVE
ENTERPRISE
SUCCESS**



DECEMBER 2020

University of Missouri Endowment Pool

2020 Asset Allocation Study

Table of contents



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Introduction & historical risk premium	TAB I	Appendix: liquidity analysis	TAB V
Capital market assumptions	TAB II	Appendix: 2020 capital market assumptions	TAB VI
Endowment asset mix introduction	TAB III		
Endowment asset allocation analysis	TAB IV		

***Past performance is no guarantee of future results.** This document is provided for informational purposes only and is directed to institutional clients and eligible institutional counterparties only and is not intended for retail investors. Nothing herein constitutes investment, legal, accounting or tax advice, or a recommendation to buy, sell or hold a security or pursue a particular investment vehicle or any trading strategy. This document may include or imply estimates, outlooks, projections and other “forward-looking statements.” No assurance can be given that future results described or implied by any forward looking information will be achieved. Investing entails risks, including possible loss of principal. Additional information about Verus Advisory, Inc. is available on the SEC’s website at www.adviserinfo.sec.gov. Verus – also known as Verus Advisory™.*

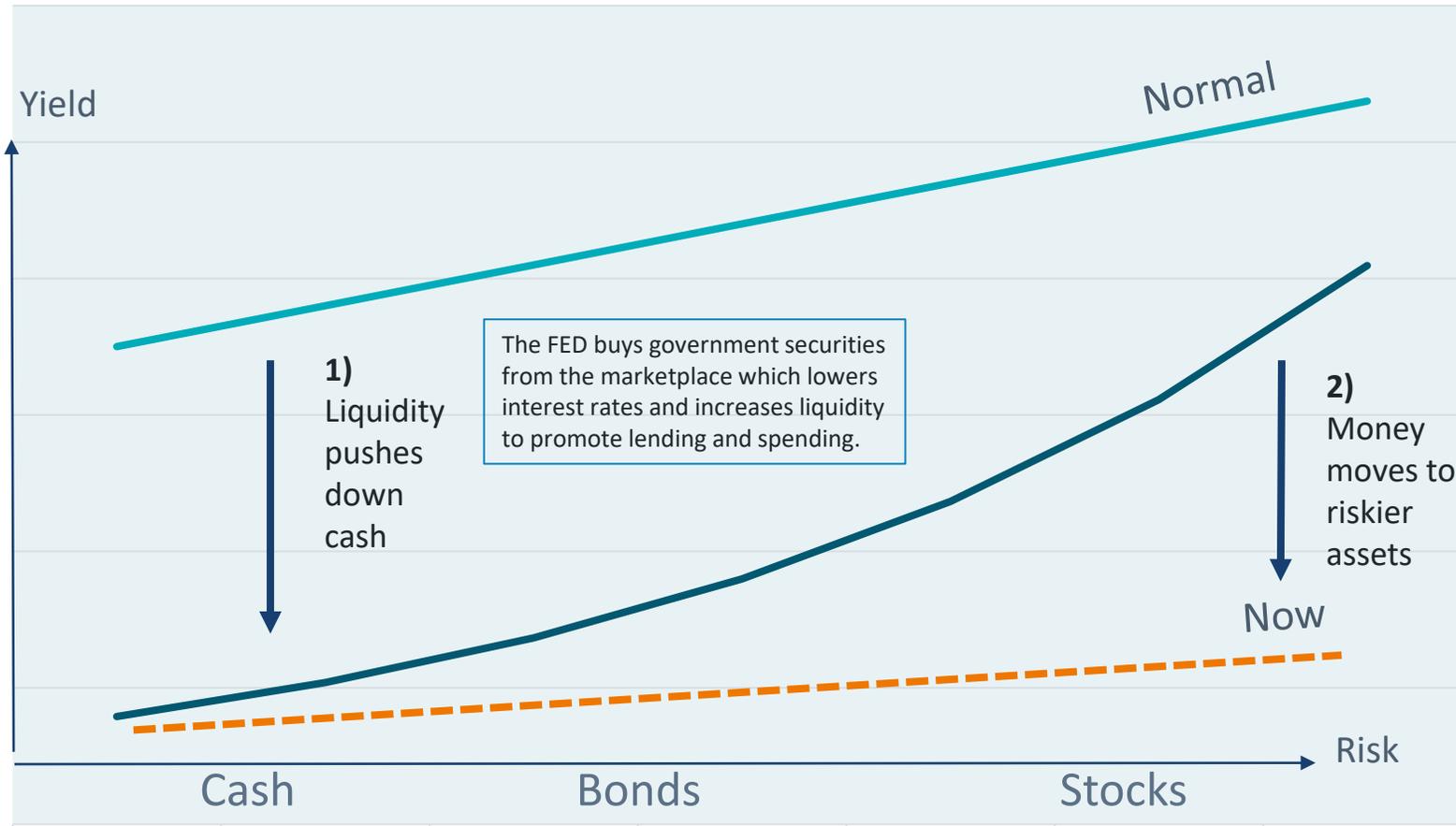
I. Introduction & historical risk premium

Introduction

- Verus and University investment staff have collaborated on several asset allocations options for the Endowment Fund. They all are designed to improve the overall expected return of the Endowment fund over a 10-year investment horizon.
- University investment staff and the Investment Advisory Committee recommend the Board of Curators adopt Endowment 7.25 option.
- The 7.25 option has an expected return of 7.28% and a corresponding volatility of 12.4%. The mix achieves a higher return profile primarily through an increase in private assets.
 - The private equity allocation policy would increase from 10% to 15% and the private debt allocation policy would increase from 3% to 7%.
 - The Portable Alpha and the Risk Balanced policy allocations also modestly increase from 20% to 22% and 10% to 12% respectively.
 - These allocations are funded through reductions in Sovereign Bonds, Inflation-Linked Bonds, and Commodities.

Liquidity and low interest rates

THE CAPITAL MARKETS LINE IS ARTIFICIALLY LOW

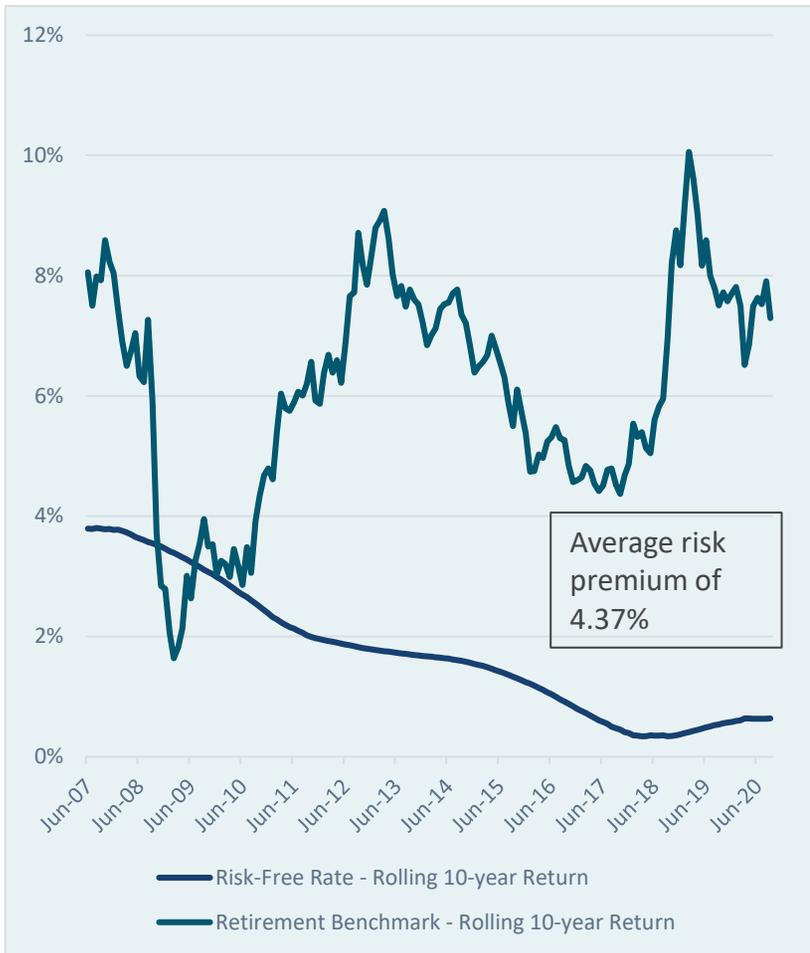


Liquidity has forced investors into risky investments, lowering go-forward expected returns.

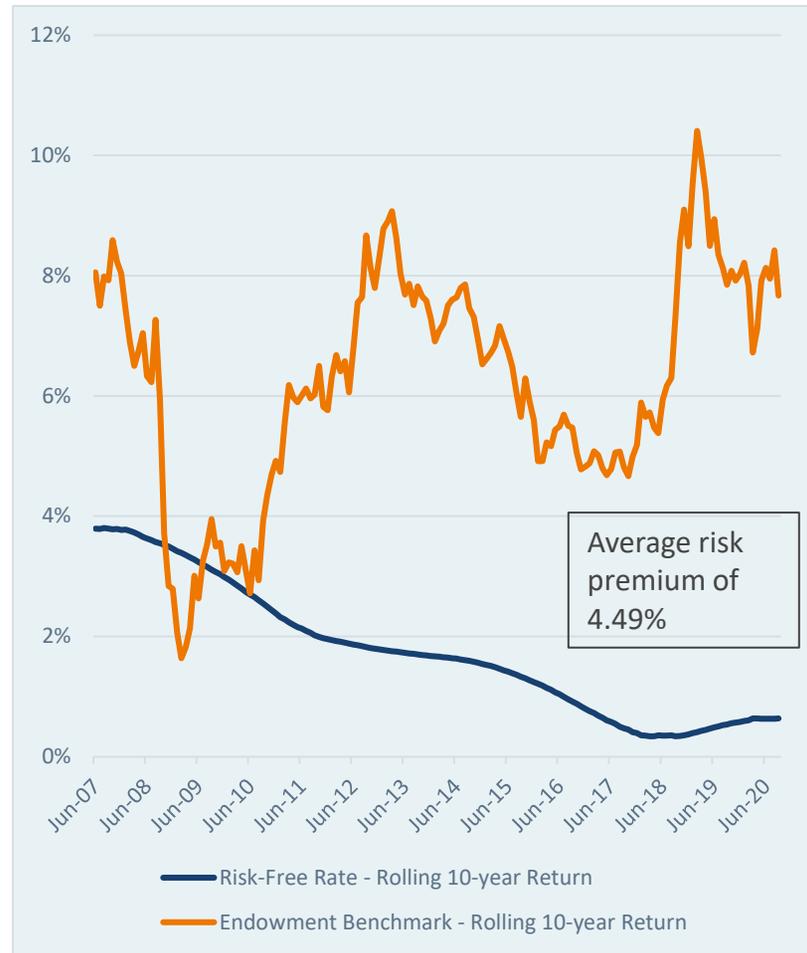
Source: Verus, Bridgewater

Historical policy return & risk-free rate

RETIREMENT



ENDOWMENT

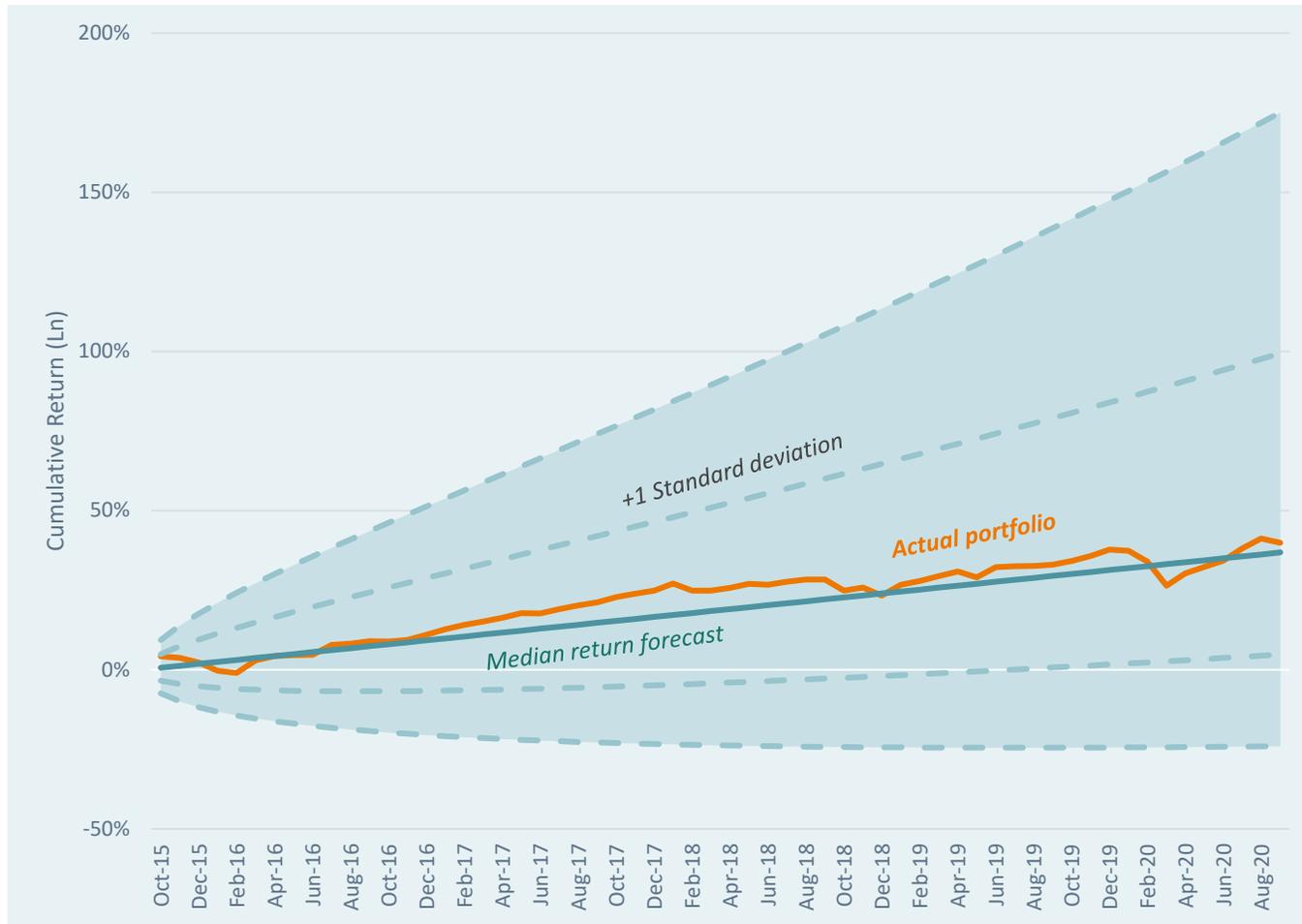


Both funds exhibit an increasing long-term risk premium during a period of falling interest rates

Risk-free rate represented by ICE BofA US 3-Month Treasury Bill Index

Endowment realized performance since 2015

REALIZED PERFORMANCE VS. 2015 AL STUDY PROJECTIONS



2015 AL Study Projection:

7.64% return
14.39% standard deviation
0.43 Sharpe Ratio

Actual since 9/30/2015:

8.29% return
6.87% standard deviation
1.11 Sharpe Ratio

II. Capital market assumptions

Methodology to capital market assumptions

- Ten-year return forecasts are created with a systematic “building-block” method, which is detailed in an Appendix (Tab VI).
- Due to the extraordinary events of 2020, a mid-year update was used using the same methodology except for the estimated return on cash.
- Given extraordinary central bank intervention, the historical connection between cash and real yields became difficult to justify.
- The revised methodology provides a better estimate for the relationship between cash and the 10-year Treasury.
- The result is a lower projected estimate for cash and risk parity.

Capital Market Assumptions

Methodology

CORE INPUTS

- We use a fundamental building block approach based on several inputs, including historical data and academic research to create asset class return forecasts.
- For most asset classes, we use the long-term historical volatility after adjusting for autocorrelation.
- Correlations between asset classes are calculated based on the last 10 years. For illiquid assets, such as private equity and private real estate, we use BarraOne correlation estimates.

Asset	Return Methodology	Volatility Methodology*
Inflation	25% weight to the University of Michigan Survey 5-10 year ahead inflation expectation and the Survey of Professional Forecasters (Fed Survey), and the remaining 50% to the market's expectation for inflation as observed through the 10-year TIPS breakeven rate	-
Cash	Real yield estimate + inflation forecast 75% weight to the effective Fed Funds Rate, 25% weight to the 10-year Treasury yield	Long-term volatility
Bonds	Nominal bonds: current yield; Real bonds: real yield + inflation forecast	Long-term volatility
International Bonds	Current yield	Long-term volatility
Credit	Current option-adjusted spread + U.S. 10-year Treasury – effective default rate	Long-term volatility
International Credit	Current option-adjusted spread + foreign 10-year Treasury – effective default rate	Long-term volatility
Enhanced Private Credit	Bank loan forecast + 1.75% private credit premium** + 300bps for implementation	Long-term volatility
Equity	Current yield + real earnings growth (historical average) + inflation on earnings (inflation forecast) + expected P/E change	Long-term volatility
Intl Developed Equity	Current yield + real earnings growth (historical average) + inflation on earnings (intl. inflation forecast) + expected P/E change	Long-term volatility
Private Equity	US large cap domestic equity forecast * 1.85 beta adjustment	1.2 * Long-term volatility of U.S. small cap
Commodities	Collateral return (cash) + spot return (inflation forecast) + roll return (assumed to be zero)	Long-term volatility
Hedge Funds	Return coming from traditional betas + 15-year historical idiosyncratic return	Long-term volatility
Core Real Estate	Cap rate + real income growth – capex + inflation forecast	65% of REIT volatility
REITs	Core real estate	Long-term volatility
Value-Add Real Estate	Core real estate + 2%	Volatility to produce Sharpe Ratio (g) equal to core real estate
Opportunistic Real Estate	Core real estate + 4%	Volatility to produce Sharpe Ratio (g) equal to core real estate
Infrastructure	Current yield + real income growth + inflation on earnings (inflation forecast)	Long-term volatility
Risk Parity	Expected Sharpe Ratio * target volatility + cash rate	Target volatility

*Long-term historical volatility data is adjusted for autocorrelation (see Appendix)

**The private credit premium is generated by illiquidity, issuer size, and lack of credit rating

Updated 10-year return & risk assumptions

Asset Class	Index Proxy	Ten Year Return Forecast (g)	Standard Deviation Forecast	Sharpe Ratio Forecast (g)	10-Year Historical Sharpe Ratio (g)
Equities					
U.S. Large	S&P 500	5.9%	15.4%	0.37	1.01
U.S. Small	Russell 2000	5.6%	21.1%	0.26	0.62
International Developed	MSCI EAFE	6.3%	17.5%	0.35	0.30
International Small	MSCI EAFE Small Cap	5.7%	21.8%	0.25	0.46
Emerging Markets	MSCI EM	6.8%	25.6%	0.26	0.17
Global Equity	MSCI ACWI	6.3%	16.8%	0.36	0.59
Private Equity*	Cambridge Private Equity	9.5%	25.3%	0.36	-
Fixed Income					
Cash	30 Day T-Bills	0.2%	1.2%	-	-
U.S. TIPS	BBgBarc U.S. TIPS 5-10	1.3%	5.4%	0.20	0.65
U.S. Treasury	BBgBarc Treasury 7-10 Year	0.7%	6.7%	0.07	0.68
Global Sovereign ex U.S.	BBgBarc Global Treasury ex U.S.	0.2%	9.7%	0.00	0.10
Global Aggregate	BBgBarc Global Aggregate	0.9%	6.2%	0.20	0.39
Core Fixed Income	BBgBarc U.S. Aggregate Bond	1.6%	6.3%	0.22	1.08
Core Plus Fixed Income	BBgBarc U.S. Corporate IG	2.5%	8.3%	0.28	1.21
Short-Term Gov't/Credit	BBgBarc U.S. Gov't/Credit 1-3 Year	0.8%	3.6%	0.17	1.16
Short-Term Credit	BBgBarc Credit 1-3 Year	1.9%	3.6%	0.47	1.76
Long-Term Credit	BBgBarc Long U.S. Corporate	2.4%	9.4%	0.23	0.93
High Yield Corp. Credit	BBgBarc U.S. Corporate High Yield	5.1%	11.3%	0.43	1.25
Bank Loans	S&P/LSTA Leveraged Loan	3.5%	10.0%	0.33	1.47
Global Credit	BBgBarc Global Credit	1.4%	7.4%	0.15	0.77
Emerging Markets Debt (Hard)	JPM EMBI Global Diversified	5.9%	12.4%	0.46	1.03
Emerging Markets Debt (Local)	JPM GBI-EM Global Diversified	4.5%	12.0%	0.35	0.17
Private Credit	Bank Loans + 175bps	5.3%	10.0%	0.50	-
Enhanced Private Credit	Private Credit + 250bps	7.8%	15.0%	0.50	-
Other					
Commodities	Bloomberg Commodity	3.4%	15.4%	0.21	-0.36
Hedge Funds	HFRI Fund Weighted Composite	4.4%	7.7%	0.53	0.55
Real Estate Debt	BBgBarc CMBS IG	4.0%	7.6%	0.48	1.55
Core Real Estate	NCREIF Property	6.3%	12.4%	0.49	1.84
Value-Add Real Estate	NCREIF Property + 200bps	8.3%	17.7%	0.46	-
Opportunistic Real Estate	NCREIF Property + 400bps	10.3%	23.0%	0.45	-
REITs	Wilshire REIT	6.3%	19.1%	0.32	0.80
Global Infrastructure	S&P Global Infrastructure	7.2%	17.8%	0.39	0.52
Risk Parity	Risk Parity	6.1%	12.0%	0.49	-
Currency Beta	MSCI Currency Factor Index	1.8%	3.6%	0.43	0.19
Inflation		1.9%	-	-	-

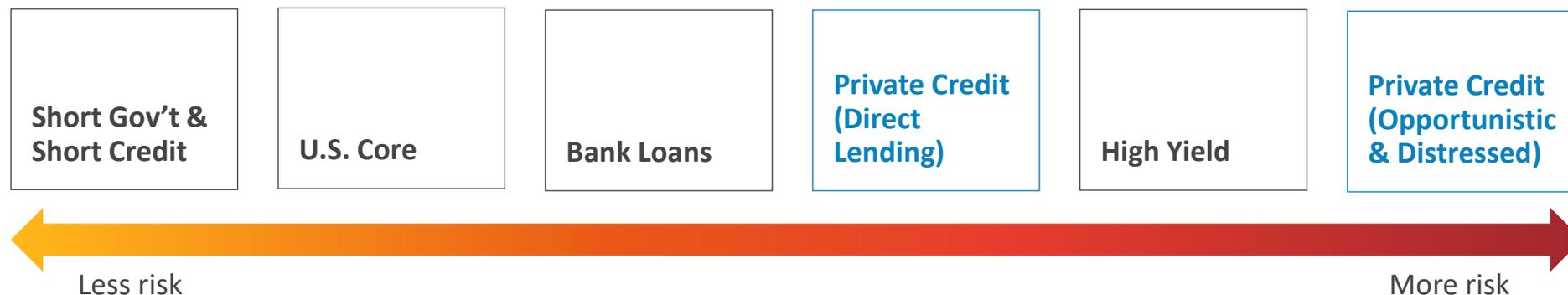
Investors wishing to produce expected geometric return forecasts for their portfolios should use the arithmetic return forecasts provided here as inputs into that calculation, rather than the single-asset-class geometric return forecasts. This is the industry standard approach but requires a complex explanation only a heavy quant could love, so we have chosen not to provide further details in this document – we will happily provide those details to any readers of this who are interested.

*Return expectations differ depending on method of implementation

(g) geometric mean return, i.e. compound future return

Private credit vs. other fixed income

Private credit's higher forecasted return and higher Sharpe Ratio indicate its use as a source of risk-adjusted returns in fixed income portfolios.



VERUS' 10-YEAR RETURN & RISK ASSUMPTIONS

Asset Class	Index Proxy	10-Year Return Forecast	Sharpe Ratio Forecast
Short-Term Credit	Barclays Credit 1-3 Yr	1.9%	0.47
Core Fixed Income	Barclays US Agg Bond	1.6%	0.22
Bank Loans	S&P/LSTA	3.5%	0.33
High Yield Corp. Credit	Barclays High Yield	5.1%	0.43
Private Credit (Direct Lending)	Bank Loans +200 bps	5.3%	0.50
Enhanced Private Credit (Part Opportunistic)	Private Credit +250 bps	7.8%	0.50

PRIVATE CREDIT TARGET IRR ESTIMATES

Strategy	Target IRR (Gross)	Target IRR (Net)	Premium to Direct Lending
Direct Lending (Unlevered)	6.25%	5%	0%
Direct Lending (Levered)	10.5%	9%	4%
Specialty Lending	12-14%	9.5-11.5%	4.5-6.5%
Opportunistic	12-15%	10.5-12.5%	5.5-7.5%
Distressed	15-20%	13-16%	8-11%

Source: Verus 2020 Capital Market Assumptions (mid-year update); Return & Sharpe Ratio Forecasts use geometric averages.

Correlation assumptions

	Cash	US Large	US Small	Intl Large	Intl Small	EM	Global Equity	PE	US TIPS	US Treasury	Global Sovereign	US Core	Core Plus	Short-Term Gov't/Credit	Short-Term Credit	Long-Term Credit	US HY	Bank Loans	Global Credit	EMD USD	EMD Local	Commodities	Hedge Funds	Real Estate	REITs	Infrastructure	Risk Parity	Currency Beta			
Cash	1.0																														
US Large	0.0	1.0																													
US Small	-0.1	0.9	1.0																												
Intl Large	0.0	0.9	0.7	1.0																											
Intl Small	-0.1	0.8	0.7	1.0	1.0																										
EM	0.0	0.7	0.6	0.8	0.8	1.0																									
Global Equity	0.0	1.0	0.8	1.0	0.9	0.9	1.0																								
PE	-0.2	0.6	0.6	0.6	0.6	0.5	0.6	1.0																							
US TIPS	0.0	0.0	-0.1	0.1	0.1	0.2	0.1	0.0	1.0																						
US Treasury	0.1	-0.4	-0.5	-0.3	-0.3	-0.2	-0.4	-0.2	0.7	1.0																					
Global Sovereign	0.1	0.2	0.0	0.3	0.3	0.4	0.3	0.0	0.5	0.4	1.0																				
US Core	0.1	-0.2	-0.3	-0.1	-0.1	0.0	-0.1	-0.1	0.8	0.9	0.5	1.0																			
Core Plus	0.1	0.1	0.0	0.2	0.2	0.3	0.2	0.0	0.8	0.7	0.6	0.9	1.0																		
Short-Term Gov't/Credit	0.3	-0.1	-0.2	0.0	0.0	0.1	0.0	-0.1	0.7	0.7	0.6	0.8	0.7	1.0																	
Short-Term Credit	0.2	0.2	0.1	0.4	0.3	0.4	0.3	0.0	0.6	0.4	0.6	0.6	0.8	0.8	1.0																
Long-Term Credit	0.1	0.0	-0.1	0.1	0.1	0.2	0.1	-0.1	0.7	0.7	0.5	0.8	1.0	0.6	0.6	1.0															
US HY	0.0	0.7	0.7	0.8	0.8	0.8	0.8	0.4	0.3	-0.2	0.3	0.1	0.5	0.2	0.6	0.4	1.0														
Bank Loans	-0.1	0.6	0.6	0.6	0.6	0.6	0.6	0.4	0.1	-0.3	0.0	-0.1	0.2	-0.1	0.3	0.1	0.8	1.0													
Global Credit	0.1	0.5	0.3	0.7	0.7	0.7	0.6	0.2	0.5	0.2	0.8	0.5	0.7	0.5	0.8	0.6	0.7	0.4	1.0												
EMD USD	0.0	0.4	0.3	0.6	0.5	0.7	0.6	0.2	0.5	0.3	0.6	0.5	0.7	0.4	0.6	0.6	0.7	0.3	0.8	1.0											
EMD Local	0.1	0.5	0.4	0.7	0.6	0.8	0.6	0.2	0.4	0.1	0.6	0.2	0.5	0.3	0.5	0.4	0.6	0.4	0.8	0.8	1.0										
Commodities	0.0	0.5	0.5	0.6	0.6	0.6	0.6	0.3	0.1	-0.3	0.4	-0.1	0.1	0.1	0.3	0.0	0.6	0.4	0.5	0.4	0.6	1.0									
Hedge Funds	0.0	0.8	0.7	0.8	0.8	0.7	0.9	0.6	0.1	-0.3	0.1	-0.1	0.2	0.0	0.3	0.1	0.7	0.6	0.5	0.4	0.4	0.5	1.0								
Real Estate	-0.1	0.6	0.5	0.5	0.5	0.4	0.6	0.4	0.2	0.0	0.1	0.1	0.1	0.0	0.1	0.1	0.4	0.3	0.2	0.3	0.3	0.2	0.5	1.0							
REITs	0.0	0.6	0.6	0.6	0.5	0.5	0.6	0.4	0.3	0.1	0.3	0.3	0.4	0.2	0.4	0.4	0.6	0.5	0.5	0.5	0.5	0.3	0.5	0.7	1.0						
Infrastructure	0.0	0.7	0.6	0.9	0.8	0.8	0.8	0.7	0.3	-0.1	0.5	0.1	0.4	0.2	0.5	0.3	0.8	0.5	0.7	0.7	0.7	0.5	0.7	0.3	0.7	1.0					
Risk Parity	0.0	0.5	0.4	0.6	0.5	0.6	0.6	0.4	0.6	0.3	0.5	0.5	0.7	0.5	0.6	0.6	0.7	0.4	0.7	0.7	0.6	0.6	0.6	0.3	0.5	0.6	1.0				
Currency Beta	0.0	0.2	0.2	0.1	0.0	0.1	0.1	0.2	-0.1	-0.2	-0.1	-0.1	-0.1	-0.1	0.0	-0.1	0.2	0.1	0.0	0.0	0.0	0.1	0.1	0.0	0.2	0.1	0.0	0.0	1.0		

Note: Correlation assumptions are based on the last ten years. Private Equity and Real Estate correlations are especially difficult to model – we have therefore used BarraOne correlation data to strengthen these correlation estimates.

III. Endowment asset mix introduction

Comparison of mixes – Endowment

	Endowment				Modified Interim CMAs		
	Policy	6.75	7.00	7.25	Return (g)	Standard Deviation	Sharpe Ratio
Developed Markets Equity	31	25	25	27	6.1	15.6	0.38
Emerging Markets Equity	4	7	8	8	6.8	25.6	0.26
Private Equity	10	12	13	15	9.5	25.3	0.36
Real Estate ¹	8	10	10	10	8.3	17.7	0.45
Private Debt	3				5.3	10.0	0.50
Enhanced Private Debt ²		6	6	7	7.8	15.0	0.50
Sovereign Bonds	14.5	11	9	8	0.7	0.9	0.51
Inflation-Linked Bonds	14.5	13	12	10	1.3	5.4	0.20
Core Plus Bonds					2.5	8.3	0.28
Risk Balanced ³	10	11	12	12	6.1	12.0	0.49
Commodities	5	5	5	3	3.4	15.4	0.21
Hedge Funds					4.4	7.7	0.54
Portfolio Subtotal	100	100	100	100			
Return (g)	5.58	6.16	6.37	6.66			
Standard Deviation	9.8	10.7	11.2	11.8			
Sharpe Ratio	0.55	0.56	0.55	0.55			
Portable Alpha							
Hedge Funds (Low Vol)	20	21	22	22	3.2	5.6	0.54
Implicit Financing (Cash)	-20	-21	-22	-22	0.2	1.2	
Portfolio Total	100	100	100	100			
Return (g)	6.15	6.76	6.99	7.28			
Standard Deviation	10.4	11.3	11.8	12.4			
Sharpe Ratio	0.57	0.58	0.57	0.57			
Portable Alpha Return Added	0.57	0.60	0.62	0.62			

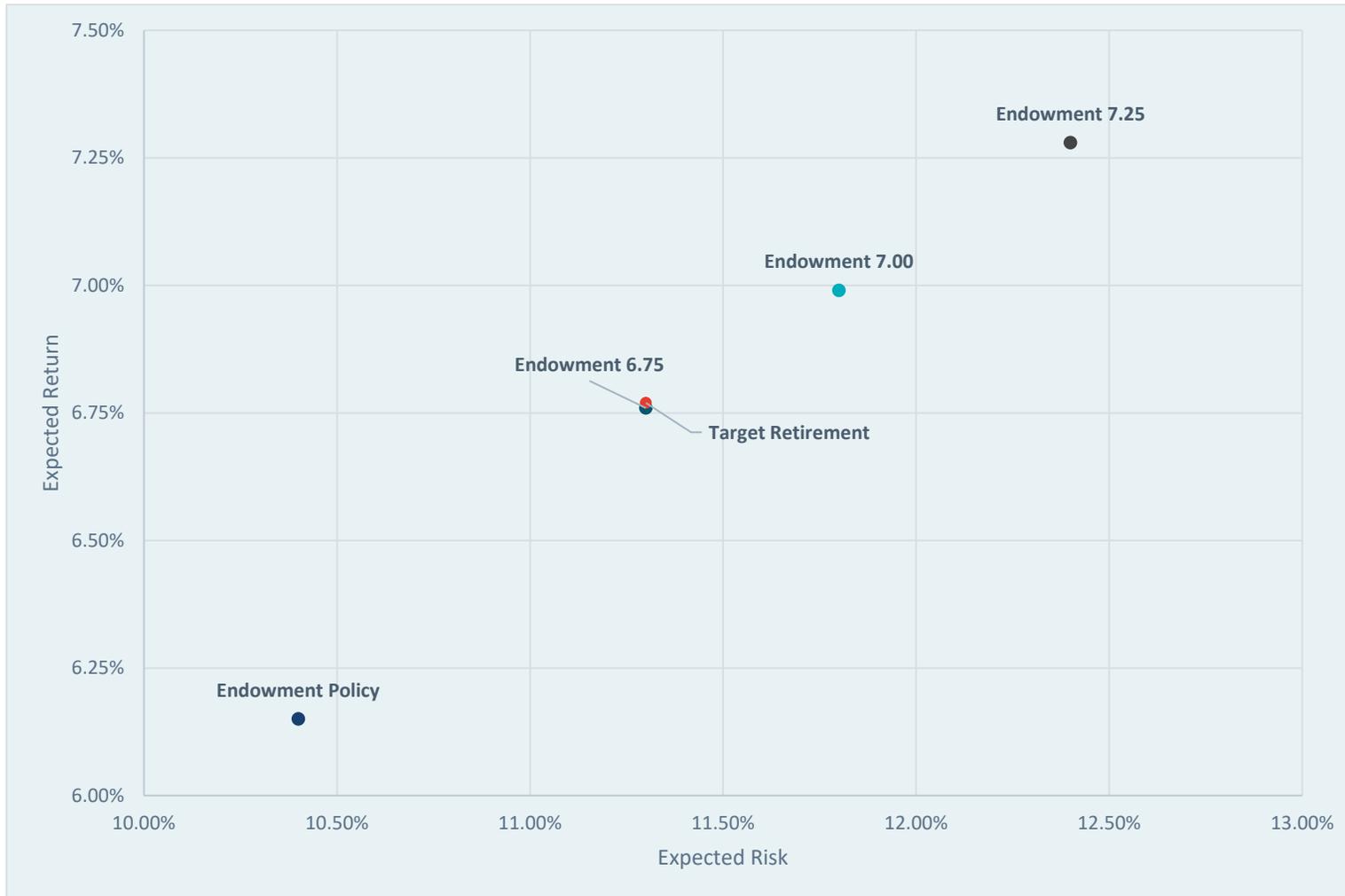
¹ Modeled as 100% Value-Add

² Modeled as 1/3 Direct Lending, 2/3 Opportunistic

³ Modeled as 12% target vol

IV. Endowment asset allocation analysis

Risk & Return



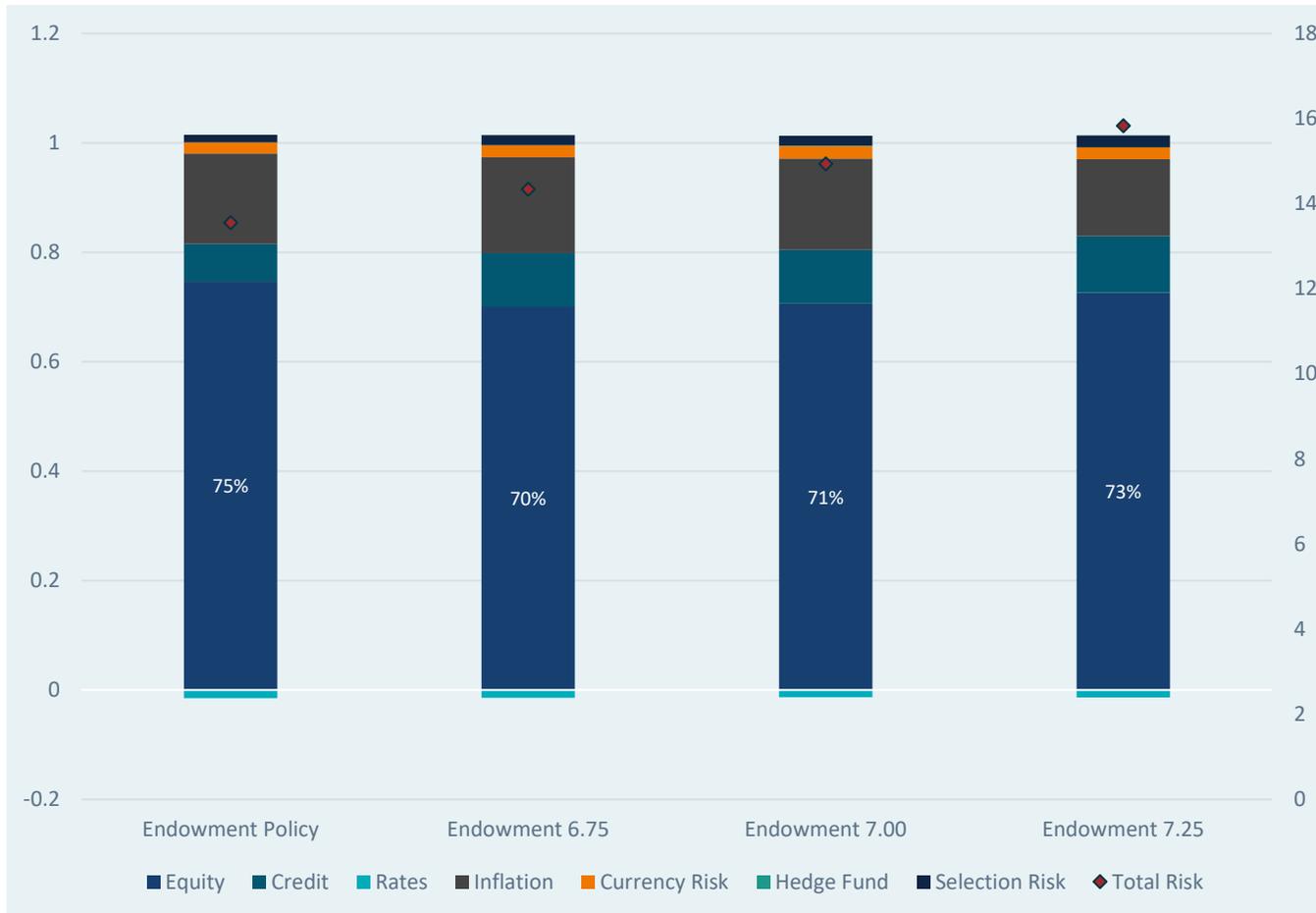
The mean-variance model indicates that all four mixes share the same high degree of risk-efficiency (they lie on the same “Capital Market Line”).

The expected risk of the current Endowment Policy is now less than that of the new Retirement target.

Source: Verus' 2020 Capital Market Assumptions

Risk decomposition – Endowment

RISK DECOMPOSITION



Equity risk is higher than the retirement policies given the higher risk tolerance of the endowment.

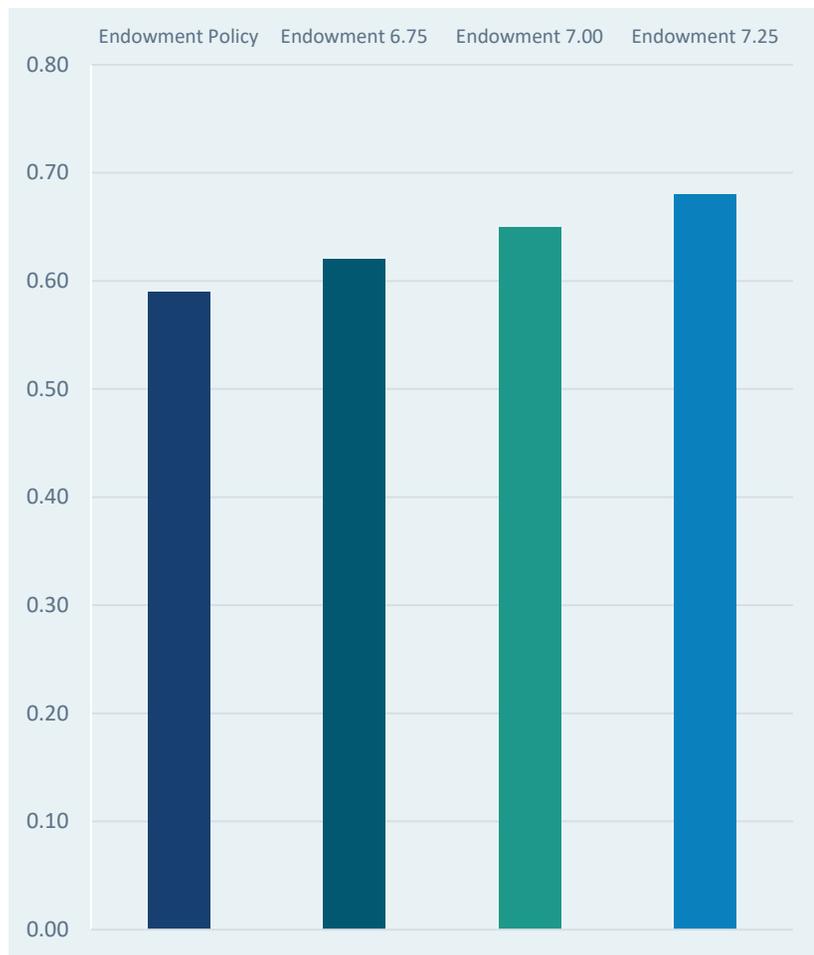
Source: MSCI BARRA

Note: Selection Risk is the risk attributable to unassigned factors

Sources of risk

Larger allocation & volatility target for risk parity increases beta

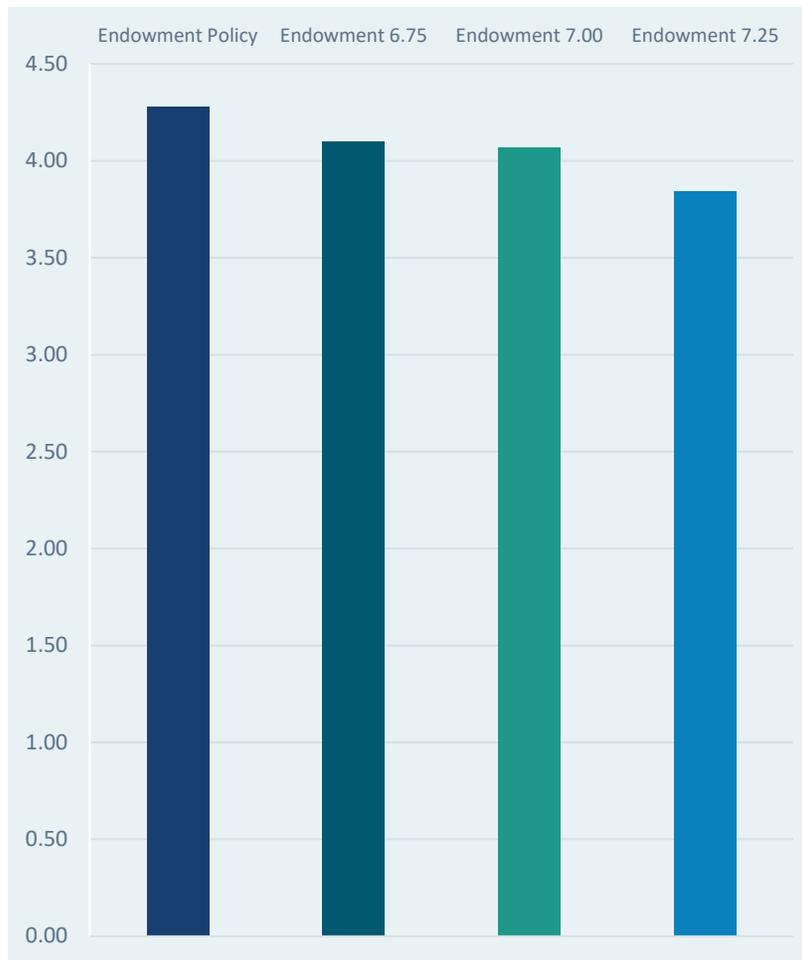
EQUITY BETA



Source: MSCI BARRA

Larger allocations to risk parity, nominal, and IL bonds all increase duration exposure

PORTFOLIO EFFECTIVE DURATION

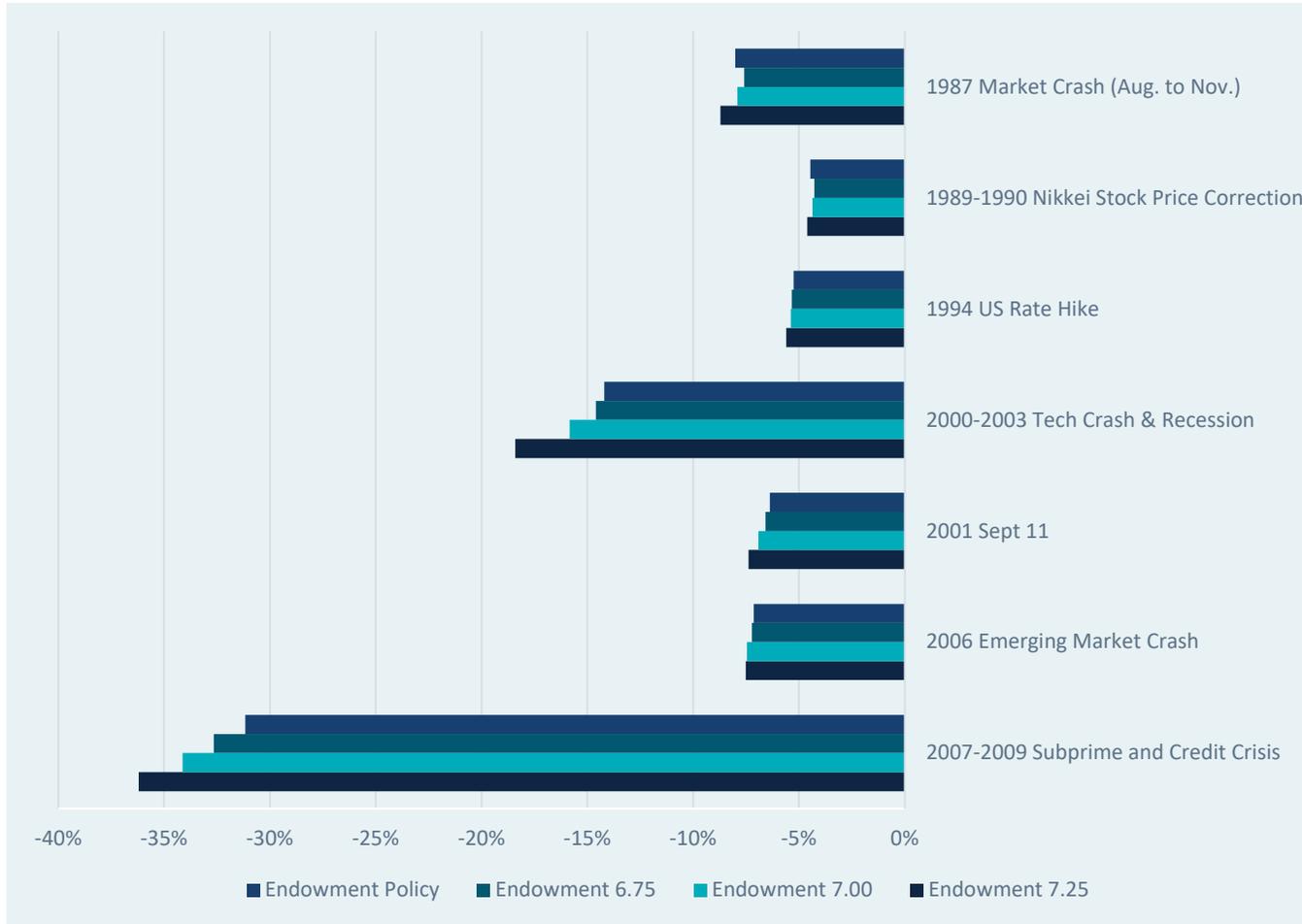


Equity beta measures the sensitivity of the portfolio to the equity market.

Duration measures the sensitivity of the portfolio to a change in interest rates

Scenario analysis – Endowment

SCENARIO ANALYSIS

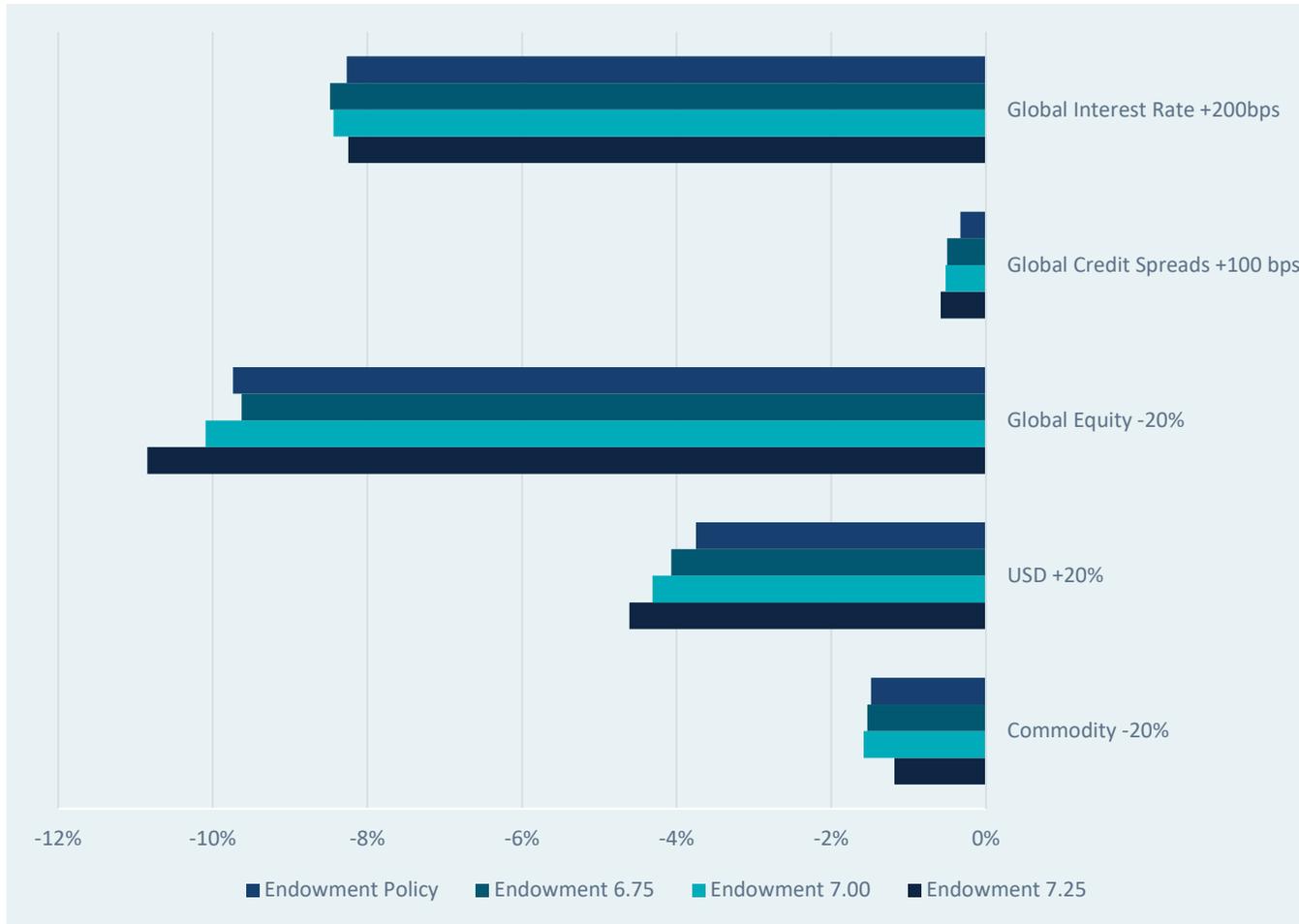


The factor model shows that the increased downside risk of higher return mixes is more noticeable during prolonged events such as the Global Financial Crisis.

Source: MSCI BARRA

Stress tests – Endowment

STRESS ANALYSIS



Higher expected returns come with some increased sensitivity to downside shocks to the equity and foreign currency factors.

Source: MSCI BARRA

V. Appendix: liquidity analysis

Consider total fund liquidity

- Determining the appropriate allocation to illiquids is not an easy question to answer. In addition to the asset allocation study, an investor should consider cash flow needs and availability in difficult market conditions
- Verus distills sources and uses of cash into a single metric: Liquidity Coverage Ratio, or LCR
- LCR can be used:
 1. On a standalone basis, to monitor a fund's liquidity over time
 2. For comparison to other Verus clients, who may have a larger or smaller allocation to illiquids
- LCR for both the Retirement Fund and Endowment Pool are calculated on the following slides, and evaluated at the very end of the presentation

Calculating liquid assets

The largest factor in the LCR formula is total liquid assets, which are determined in two steps:

1. Estimate time required (in days) to convert each manager account or group to cash under two market conditions
 - Normal market conditions: defined as periods when liquidity is consistent with historical functioning markets and managers are not imposing gates.
 - Stressed market conditions: defined as periods when liquidity is withdrawn from the market and managers are imposing gates.
2. Sort accounts/groups into liquidity buckets and add-up the current account weights

Stressed liquidity – Endowment Policy

DAYS TO LIQUIDATE - STRESSED MARKETS



	1-7	8-30	31-90	91-180	180+
■ Currency Risk Mgmt	0.2%				
■ Intl Equities	2.9%	2.3%			
■ US Equities	3.7%				
■ Risk Balanced	3.6%	4.9%	1.5%		
■ Real Estate					8.4%
■ Public Debt	6.1%	0.0%			
■ Private Equity					10.0%
■ Private Debt					3.0%
■ Portable Alpha	14.2%	3.6%	7.1%	4.1%	5.1%
■ Opportunistic					
■ Global Equities	5.1%	8.2%			0.4%
■ Emerging Markets	2.5%	0.3%	1.2%	0.2%	
■ Commodities	1.7%				
■ Cash					
Cumulative Pct	39.9%	59.0%	68.9%	73.2%	100.0%

Stressed liquidity – Endowment 7.25%

DAYS TO LIQUIDATE - STRESSED MARKETS



■ Currency Risk Mgmt	0.1%				
■ Intl Equities	1.6%	1.3%			
■ US Equities	2.1%				
■ Risk Balanced	4.3%	5.9%	1.8%		
■ Real Estate					10.0%
■ Public Debt					
■ Private Equity					15.0%
■ Private Debt					7.0%
■ Portable Alpha	15.7%	4.0%	7.8%	4.6%	5.7%
■ Opportunistic					
■ Global Equities	2.9%	4.6%			0.2%
■ Emerging Markets	1.4%	0.1%	0.7%	0.1%	
■ Commodities	3.0%				
■ Cash					
Cumulative Pct	31.1%	47.0%	57.4%	62.1%	100.0%

LCR calculation – Endowment 7.25%

		Ending Total (Millions)	
Liquidity Available	Liquid Financial Assets	\$	1,328
	Distributions from LT Illiquids	\$	78
	Gifts + GP Transfer	\$	560
	Investment Income	\$	107
			<hr/>
		\$	2,074
Liquidity Needs	Spending + Expenses	\$	433
	Capital Calls	\$	192
			<hr/>
		\$	625
Current LCR			3.3

Assumptions

- Investment income of 1.3% annually, based on seven-year historical average
- Annual gifts of 3.9% of assets annually, based on seven-year historical average
- Inflow from General Pool of \$5M monthly for 36 months
- Spending 4.0% of seven-year average fund value, plus 1.25% for expenses
- Capital calls are baseline estimates (Verus roadmaps)
- Illiquid distributions are very conservative estimates (25% of Verus roadmaps)

LCR sensitivities – Endowment 7.25%

Drawdown and Assumed Return Sensitivity Analysis

		Assumed Return (Subsequent 5-years)					
		2.0%	3.0%	4.0%	5.0%	6.0%	7.0%
Drawdown Scenario (Immediate)	-50%	2.0	2.1	2.1	2.1	2.2	2.2
	-40%	2.2	2.2	2.3	2.3	2.4	2.5
	-30%	2.4	2.4	2.5	2.5	2.6	2.7
	-20%	2.5	2.6	2.7	2.7	2.8	2.9
	-10%	2.7	2.8	2.8	2.9	3.0	3.1
	0%	2.8	2.9	3.0	3.1	3.2	3.3

Illiquid Asset Sensitivity Analysis

Ending Illiquid Asset Position Increase	0%	3.3
	2%	3.2
	4%	3.2
	6%	3.1
	8%	3.0
	10%	2.9
	12%	2.9

Capital Call / Distribution Sensitivity Analysis

		Capital Call Reduction					
		0%	10%	20%	30%	40%	50%
Distribution Reduction	50%	3.3	3.4	3.5	3.6	3.7	3.8
	40%	3.3	3.4	3.5	3.6	3.7	3.9
	30%	3.3	3.4	3.5	3.6	3.7	3.9
	20%	3.3	3.4	3.5	3.6	3.8	3.9
	10%	3.3	3.4	3.5	3.6	3.8	3.9
	0%	3.3	3.4	3.5	3.7	3.8	3.9

Gift Sensitivity Analysis

Gift Reduction	0%	3.3
	10%	3.3
	20%	3.2
	30%	3.1
	40%	3.1
	50%	3.0
	60%	3.0

VI. Appendix: 2020 capital market assumptions

Methodology

CORE INPUTS

- We use a fundamental building block approach based on several inputs, including historical data and academic research to create asset class return forecasts.
- For most asset classes, we use the long-term historical volatility after adjusting for autocorrelation.
- Correlations between asset classes are calculated based on the last 10 years. For illiquid assets, such as private equity and private real estate, we use BarraOne correlation estimates.

Asset	Return Methodology	Volatility Methodology*
Inflation	25% weight to the University of Michigan Survey 5-10 year ahead inflation expectation and the Survey of Professional Forecasters (Fed Survey), and the remaining 50% to the market's expectation for inflation as observed through the 10-year TIPS breakeven rate	-
Cash	Real yield estimate + inflation forecast	Long-term volatility
Bonds	Nominal bonds: current yield; Real bonds: real yield + inflation forecast	Long-term volatility
International Bonds	Current yield	Long-term volatility
Credit	Current option-adjusted spread + U.S. 10-year Treasury – effective default rate	Long-term volatility
International Credit	Current option-adjusted spread + foreign 10-year Treasury – effective default rate	Long-term volatility
Private Credit	Bank loan forecast + 1.75% private credit premium**	Long-term volatility
Equity	Current yield + real earnings growth (historical average) + inflation on earnings (inflation forecast) + expected P/E change	Long-term volatility
Intl Developed Equity	Current yield + real earnings growth (historical average) + inflation on earnings (intl. inflation forecast) + expected P/E change	Long-term volatility
Private Equity	US large cap domestic equity forecast * 1.85 beta adjustment	1.2 * Long-term volatility of U.S. small cap
Commodities	Collateral return (cash) + spot return (inflation forecast) + roll return (assumed to be zero)	Long-term volatility
Hedge Funds	Return coming from traditional betas + 15-year historical idiosyncratic return	Long-term volatility
Core Real Estate	Cap rate + real income growth – capex + inflation forecast	65% of REIT volatility
REITs	Core real estate	Long-term volatility
Value-Add Real Estate	Core real estate + 2%	Volatility to produce Sharpe Ratio (g) equal to core real estate
Opportunistic Real Estate	Core real estate + 4%	Volatility to produce Sharpe Ratio (g) equal to core real estate
Infrastructure	Current yield + real income growth + inflation on earnings (inflation forecast)	Long-term volatility
Risk Parity	Expected Sharpe Ratio * target volatility + cash rate	Target volatility

*Long-term historical volatility data is adjusted for autocorrelation (see Appendix)

**The private credit premium is generated by illiquidity, issuer size, and lack of credit rating

10-year return & risk assumptions

Asset Class	Index Proxy	Ten Year Return Forecast		Standard Deviation Forecast	Sharpe Ratio Forecast (g)	Sharpe Ratio Forecast (a)	10-Year Historical Sharpe Ratio (g)	10-Year Historical Sharpe Ratio (a)
		Geometric	Arithmetic					
Equities								
U.S. Large	S&P 500	5.5%	6.6%	15.4%	0.23	0.31	1.01	1.02
U.S. Small	Russell 2000	5.7%	7.7%	21.1%	0.18	0.28	0.62	0.67
International Developed	MSCI EAFE	7.0%	8.4%	17.5%	0.29	0.37	0.30	0.37
International Small	MSCI EAFE Small Cap	7.2%	9.3%	21.8%	0.24	0.34	0.46	0.52
Emerging Markets	MSCI EM	7.6%	10.4%	25.6%	0.22	0.33	0.17	0.25
Global Equity	MSCI ACWI	6.4%	7.7%	16.8%	0.27	0.34	0.59	0.63
Private Equity*	Cambridge Private Equity	8.5%	11.3%	25.3%	0.26	0.37	-	-
Fixed Income								
Cash	30 Day T-Bills	1.9%	1.9%	1.2%	-	-	-	-
U.S. TIPS	BBgBarc U.S. TIPS 5-10	2.1%	2.2%	5.4%	0.04	0.06	0.65	0.66
U.S. Treasury	BBgBarc Treasury 7-10 Year	1.7%	1.9%	6.7%	-0.03	0.00	0.68	0.69
Global Sovereign ex U.S.	BBgBarc Global Treasury ex U.S.	0.1%	0.6%	9.7%	-0.19	-0.13	0.10	0.14
Global Aggregate	BBgBarc Global Aggregate	1.2%	1.4%	6.2%	-0.11	-0.08	0.39	0.37
Core Fixed Income	BBgBarc U.S. Aggregate Bond	2.2%	2.4%	6.3%	0.05	0.08	1.08	1.09
Core Plus Fixed Income	BBgBarc U.S. Corporate IG	2.7%	3.0%	8.3%	0.10	0.14	1.21	1.22
Short-Term Gov't/Credit	BBgBarc U.S. Gov't/Credit 1-3 Year	1.7%	1.8%	3.6%	-0.06	-0.03	1.16	1.17
Short-Term Credit	BBgBarc Credit 1-3 Year	1.9%	2.0%	3.6%	0.01	0.03	1.76	1.78
Long-Term Credit	BBgBarc Long U.S. Corporate	3.0%	3.4%	9.4%	0.12	0.16	0.93	0.94
High Yield Corp. Credit	BBgBarc U.S. Corporate High Yield	3.3%	4.0%	11.3%	0.12	0.18	1.25	1.26
Bank Loans	S&P/LSTA Leveraged Loan	5.3%	5.8%	10.0%	0.34	0.39	1.47	1.50
Global Credit	BBgBarc Global Credit	1.4%	1.6%	7.4%	-0.07	-0.03	0.77	0.78
Emerging Markets Debt (Hard)	JPM EMBI Global Diversified	5.0%	5.7%	12.4%	0.25	0.31	1.03	1.03
Emerging Markets Debt (Local)	JPM GBI-EM Global Diversified	5.7%	6.4%	12.0%	0.32	0.37	0.17	0.22
Private Credit	Bank Loans + 175bps	7.0%	7.5%	10.0%	0.51	0.56	-	-
Other								
Commodities	Bloomberg Commodity	3.8%	4.9%	15.4%	0.12	0.20	-0.36	-0.29
Hedge Funds*	HFRI Fund Weighted Composite	4.0%	4.3%	7.7%	0.27	0.31	0.55	0.56
Real Estate Debt	BBgBarc CMBS IG	4.0%	4.3%	7.6%	0.27	0.31	1.55	1.58
Core Real Estate	NCREIF Property	6.6%	7.3%	12.4%	0.38	0.44	1.84	1.89
Value-Add Real Estate	NCREIF Property + 200bps	8.6%	10.0%	17.7%	0.38	0.46	-	-
Opportunistic Real Estate	NCREIF Property + 400bps	10.6%	12.9%	23.0%	0.38	0.48	-	-
REITs	Wilshire REIT	6.6%	8.2%	19.1%	0.25	0.33	0.80	0.83
Global Infrastructure	S&P Global Infrastructure	7.2%	8.6%	17.8%	0.30	0.38	0.52	0.56
Risk Parity	Risk Parity	6.9%	7.4%	10.0%	0.50	0.55	-	-
Currency Beta	MSCI Currency Factor Index	1.8%	1.8%	3.6%	-0.04	-0.02	0.19	0.21
Inflation		1.9%	-	-	-	-	-	-

Investors wishing to produce expected geometric return forecasts for their portfolios should use the arithmetic return forecasts provided here as inputs into that calculation, rather than the single-asset-class geometric return forecasts. This is the industry standard approach, but requires a complex explanation only a heavy quant could love, so we have chosen not to provide further details in this document – we will happily provide those details to any readers of this who are interested.

*Return expectations differ depending on method of implementation

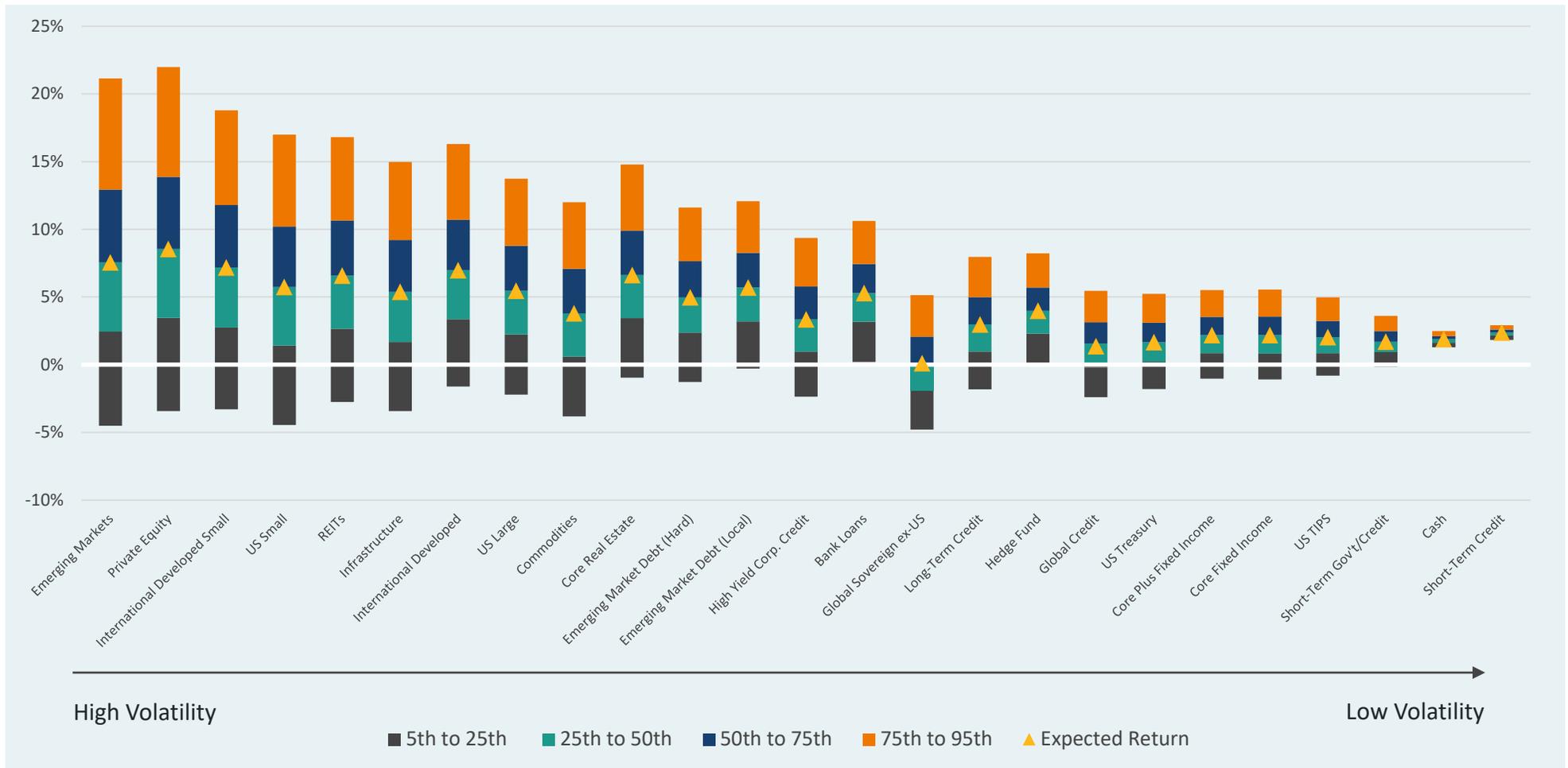
Correlation assumptions

	Cash	US Large	US Small	Intl Large	Intl Small	EM	Global Equity	PE	US TIPS	US Treasury	Global Sovereign	US Core	Core Plus	Short-Term Gov't/Credit	Short-Term Credit	Long-Term Credit	US HY	Bank Loans	Global Credit	EMD USD	EMD Local	Commodities	Hedge Funds	Real Estate	REITs	Infrastructure	Risk Parity	Currency Beta			
Cash	1.0																														
US Large	0.0	1.0																													
US Small	-0.1	0.9	1.0																												
Intl Large	0.0	0.9	0.7	1.0																											
Intl Small	-0.1	0.8	0.7	1.0	1.0																										
EM	0.0	0.7	0.6	0.8	0.8	1.0																									
Global Equity	0.0	1.0	0.8	1.0	0.9	0.9	1.0																								
PE	-0.2	0.6	0.6	0.6	0.6	0.5	0.6	1.0																							
US TIPS	0.0	0.0	-0.1	0.1	0.1	0.2	0.1	0.0	1.0																						
US Treasury	0.1	-0.4	-0.5	-0.3	-0.3	-0.2	-0.4	-0.2	0.7	1.0																					
Global Sovereign	0.1	0.2	0.0	0.3	0.3	0.4	0.3	0.0	0.5	0.4	1.0																				
US Core	0.1	-0.2	-0.3	-0.1	-0.1	0.0	-0.1	-0.1	0.8	0.9	0.5	1.0																			
Core Plus	0.1	0.1	0.0	0.2	0.2	0.3	0.2	0.0	0.8	0.7	0.6	0.9	1.0																		
Short-Term Gov't/Credit	0.3	-0.1	-0.2	0.0	0.0	0.1	0.0	-0.1	0.7	0.7	0.6	0.8	0.7	1.0																	
Short-Term Credit	0.2	0.2	0.1	0.4	0.3	0.4	0.3	0.0	0.6	0.4	0.6	0.6	0.8	0.8	1.0																
Long-Term Credit	0.1	0.0	-0.1	0.1	0.1	0.2	0.1	-0.1	0.7	0.7	0.5	0.8	1.0	0.6	0.6	1.0															
US HY	0.0	0.7	0.7	0.8	0.8	0.8	0.8	0.4	0.3	-0.2	0.3	0.1	0.5	0.2	0.6	0.4	1.0														
Bank Loans	-0.1	0.6	0.6	0.6	0.6	0.6	0.6	0.4	0.1	-0.3	0.0	-0.1	0.2	-0.1	0.3	0.1	0.8	1.0													
Global Credit	0.1	0.5	0.3	0.7	0.7	0.7	0.6	0.2	0.5	0.2	0.8	0.5	0.7	0.5	0.8	0.6	0.7	0.4	1.0												
EMD USD	0.0	0.4	0.3	0.6	0.5	0.7	0.6	0.2	0.5	0.3	0.6	0.5	0.7	0.4	0.6	0.6	0.7	0.3	0.8	1.0											
EMD Local	0.1	0.5	0.4	0.7	0.6	0.8	0.6	0.2	0.4	0.1	0.6	0.2	0.5	0.3	0.5	0.4	0.6	0.4	0.8	0.8	1.0										
Commodities	0.0	0.5	0.5	0.6	0.6	0.6	0.6	0.3	0.1	-0.3	0.4	-0.1	0.1	0.1	0.3	0.0	0.6	0.4	0.5	0.4	0.6	1.0									
Hedge Funds	0.0	0.8	0.7	0.8	0.8	0.7	0.9	0.6	0.1	-0.3	0.1	-0.1	0.2	0.0	0.3	0.1	0.7	0.6	0.5	0.4	0.4	0.5	1.0								
Real Estate	-0.1	0.6	0.5	0.5	0.5	0.4	0.6	0.4	0.2	0.0	0.1	0.1	0.1	0.0	0.1	0.1	0.4	0.3	0.2	0.3	0.3	0.2	0.5	1.0							
REITs	0.0	0.6	0.6	0.6	0.5	0.5	0.6	0.4	0.3	0.1	0.3	0.3	0.4	0.2	0.4	0.4	0.6	0.5	0.5	0.5	0.5	0.3	0.5	0.7	1.0						
Infrastructure	0.0	0.7	0.6	0.9	0.8	0.8	0.8	0.7	0.3	-0.1	0.5	0.1	0.4	0.2	0.5	0.3	0.8	0.5	0.7	0.7	0.7	0.5	0.7	0.3	0.7	1.0					
Risk Parity	0.0	0.5	0.4	0.6	0.5	0.6	0.6	0.4	0.6	0.3	0.5	0.5	0.7	0.5	0.6	0.6	0.7	0.4	0.7	0.7	0.6	0.6	0.6	0.3	0.5	0.6	1.0				
Currency Beta	0.0	0.2	0.2	0.1	0.0	0.1	0.1	0.2	-0.1	-0.2	-0.1	-0.1	-0.1	-0.1	0.0	-0.1	0.2	0.1	0.0	0.0	0.0	0.1	0.1	0.0	0.2	0.1	0.0	0.0	1.0		

Note: Correlation assumptions are based on the last ten years. Private Equity and Real Estate correlations are especially difficult to model – we have therefore used BarraOne correlation data to strengthen these correlation estimates.

Range of likely 10-year outcomes

10-YEAR RETURN 90% CONFIDENCE INTERVAL



Source: Verus, MPI

2020 vs. 2019 return forecast



Note: year-over-year change of the select group of asset classes above is based on the 2020 CMA methodology

Relevant forecast changes

- Return expectations fell broadly across most asset classes as bond yields moved lower, equities recovered from their 2018 end-of-year drawdown, and valuations became richer. This effect resulted in a decrease of between 0.7%-1.0% to non-U.S. equity expectations.
- Market pricing indicates lower inflation over the next decade. The 10yr U.S. TIPS breakeven inflation rate fell from 1.7% to 1.5% year-to-date, while the University of Michigan Inflation Expectations Survey fell from 2.5% to 2.4%. Inflation is an important component to the performance of asset classes such as equities, real estate, and commodities. Return expectations for these asset classes has come down by 0.1% to 0.2% to reflect this inflation trend. It is important to note that lower inflation expectations decrease *nominal* returns, but do not impact *real* returns.
- Credit spreads dropped throughout the year as the asset class delivered strong performance, which resulted in lower return forecasts for credit assets. Core fixed income spreads fell from 72 bps to 62 bps, and high yield spreads fell from 529 bps to 396 bps.
- The short end of the yield curve fell as the Federal Reserve reversed course, and U.S. markets moved towards a decreasing interest rate environment. The U.S. effective fed funds rate dropped from 2.3% at the beginning of the year to 1.9% in September. The three-month U.S. dollar LIBOR reference rate fell from 2.8% to 2.1%.
- Emerging market hard and local currency debt forecasts have both declined, following strong performance year-to-date. Hard currency-denominated debt spreads to U.S. Treasury yields fell from 421 bps to 351 bps, while yields of local-denominated debt fell from 7.2% to 6.0%.

All data cited above is as of 9/30/19

Inflation

We use a weighted average of market expectations (50%), consumer expectations (25%), and professional forecasts (25%) to create a 10-year inflation forecast. The market's expectations for 10-year inflation can be inferred by taking the difference between the U.S. 10-year Treasury yield and the 10-year Treasury Inflation-Protected (TIPS) yield (referred to as the breakeven inflation rate).

Inflation drifted upward in 2019, reaching the levels not seen in the past decade. However, investors generally expect the low inflation environment to continue well into the future. Breakeven rates rose in the first quarter but then trended downward in Q2 and Q3, likely affected by

pessimism around the U.S. economy. Overall, inflation levels remain mild, relative to past economic cycles.

Consumer inflation expectations increased very slightly from 2.7% to 2.8% in September, based on the University of Michigan Consumer Inflation Expectations Survey. Inflation expectations from the Survey of Professional Forecasters fell from 2.4% to 2.3% - this measure has historically been fairly stable, especially in environments characterized by suppressed inflation volatility.

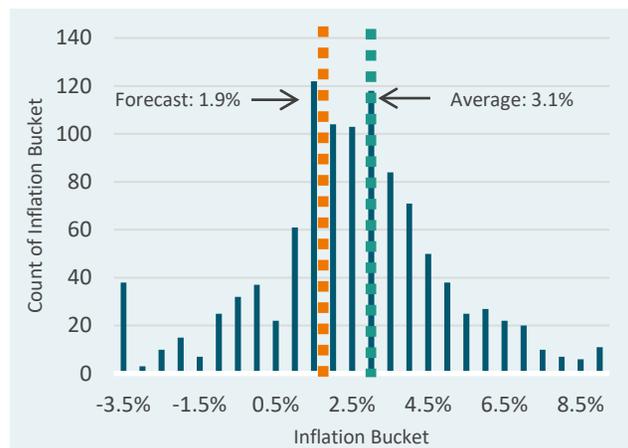
Our inflation forecast decreased slightly from 2.0% to 1.9%.

INFLATION EXPECTATIONS



Source: U. of Michigan, Philly Fed, as of 9/30/19

U.S. 10-YR ROLLING AVERAGE INFLATION SINCE 1923



Source: Bloomberg, as of 9/30/19

FORECAST

	10-Year Forecast
University of Michigan Survey (25% weight)	+2.4%
Survey of Professional Forecasters (25% weight)	+2.2%
US 10-Year TIPS Breakeven Rate (50% weight)	+1.5%
Inflation Forecast	1.9%

Source: Verus, as of 9/30/19

Cash

The U.S. Treasury yield curve further flattened in the latter half of the year, inverting temporarily between the 10- and 2-year yields. By other measures, such as the spread between 10-year and 3-month yields, the curve remains inverted. From the time of inversion, the U.S. economy has historically entered recession within 1-3 years. However, unprecedented monetary policy and central bank involvement in the markets may be having an outsized impact on fixed income pricing, which could be muddying this signal.

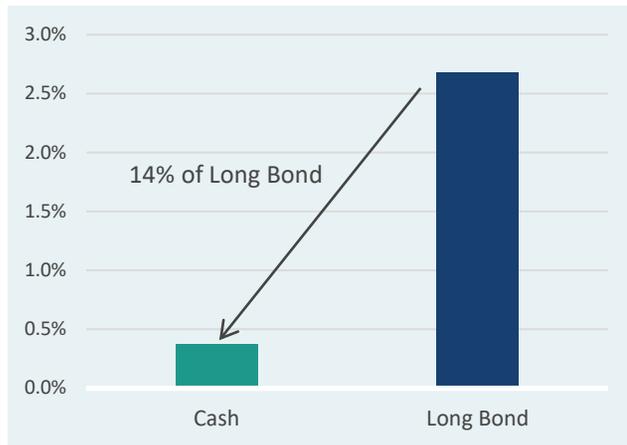
cash has been 14% of the real return to long-term bonds.

By applying this historical real return relationship, we arrive at a -3 bps expected real return to cash (14% of our -25 bps 10-year U.S. Treasury real return forecast) as real yields are now negative.

Adding our inflation forecast of 1.9% results in a nominal return to cash of 1.9%.

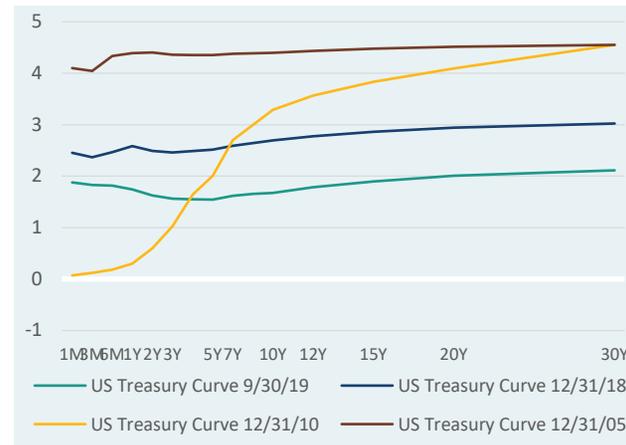
Over rolling ten-year time periods, the average historical real return to

AVERAGE REAL RETURN



Source: Bloomberg

U.S. TREASURY YIELD CURVE



Source: Bloomberg, as of 9/30/19

FORECAST

	10-Year Forecast
Cash	+1.88%
Inflation Forecast	-1.91%
Real Return	-0.03%

Source: Verus, as of 9/30/19

Rates

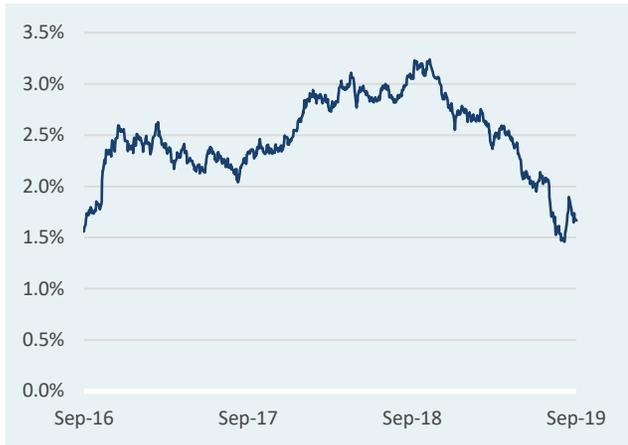
We forecast the return from rates based upon the current 10-year Treasury yield, with all cash flows reinvested at the current yield. The 10-year yield fell from 2.7% to 1.7% through September.

U.S. Treasury yields remain high relative to other developed nations, specifically Japan and Germany. U.S. yields marched upward in 2017 and 2018, but reversed sharply in 2019 as expectations for U.S. economic growth soured and the Federal Reserve shifted to an easing stance. The U.S. yield curve remains surprisingly flat.

Developed world central banks have shifted their narrative from tightening to easing. Discussions have taken place over fiscal stimulus or perhaps renewed quantitative easing. It is unclear how potent a return to monetary easing would be, now that interest rates have been low (or negative) for some time.

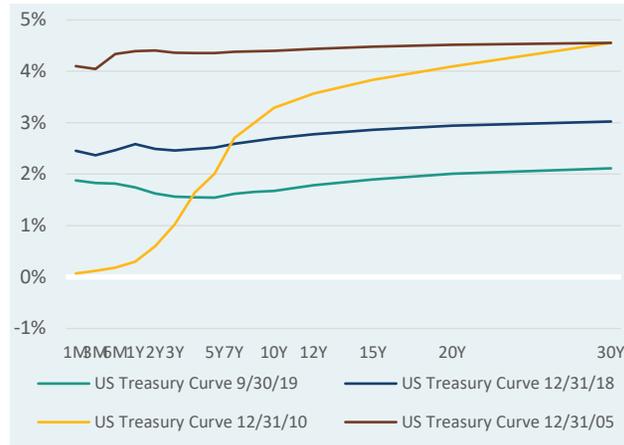
In the U.S., further rate cuts are expected, with rate stabilization possibly occurring in late 2020. It is possible that the next recession may bring negative interest rates to the U.S., in line with secularly low interest rates elsewhere.

U.S. 10-YR TREASURY YIELD



Source: Bloomberg, as of 9/30/19

U.S. TREASURY YIELD CURVE



Source: Bloomberg, as of 9/30/19

FORECAST

	10-Year Forecast
U.S. 10-Year Treasury	+1.7%
Inflation Forecast	-1.9%
Real Return	-0.2%

Source: Verus, as of 9/30/19

Real rates

TIPS provide high sensitivity to duration (interest rate risk) over short periods and track inflation (CPI) fairly well over longer periods. Changing inflation expectations, demand for inflation protection, and rate movements contribute to the price volatility of TIPS. Currently, future inflation is expected to be mild, there is low demand for inflation protection, and interest rates are expected to fall. This environment may be muting the price of TIPS.

Breakeven rates rose in the first quarter but trended downward in Q2 and Q3, likely impacted by pessimism around the domestic economy.

To arrive at a nominal 10-year forecast, we add the current real TIPS yield to our 10-year inflation forecast. Our real rates forecast fell markedly from 1.0% to 0.1% as nominal interest rate dropped much further than inflation expectations.

The U.S. 10-year real yield fell steadily through Q3, along with U.S. TIPS Breakeven rates. Inflation rose slightly, depressing real yields.

NOMINAL YIELD VS. REAL



Source: Bloomberg, as of 9/30/19

INFLATION EXPECTATIONS



Source: Bloomberg, as of 9/30/19

FORECAST

	10-Year Forecast
U.S. 10-Year TIPS Real Yield	+0.14%
Inflation Forecast	+1.91%
Nominal Return	2.05%

Source: Verus, as of 9/30/19

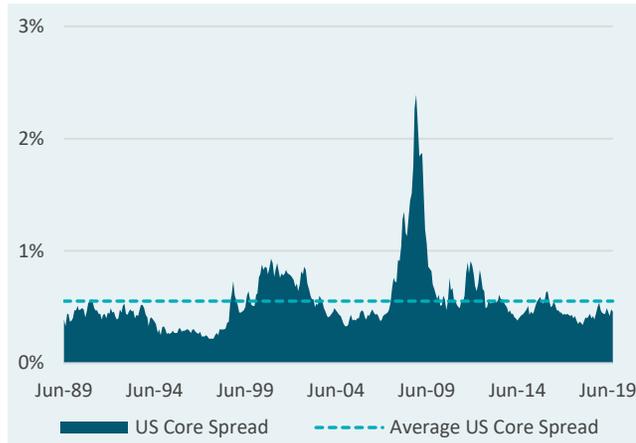
Core fixed

Credit fixed income return is composed of a bond term premium (duration) and credit spread. The bond term premium is represented by the 10-year U.S. Treasury yield.

We use default rates and credit spreads for each respective fixed income category to provide our 10-year return forecast. Our default rate assumption is derived from a variety of sources, including historical data and academic research. The effective default that is subtracted from the return forecast is based on our assumed default and recovery rates.

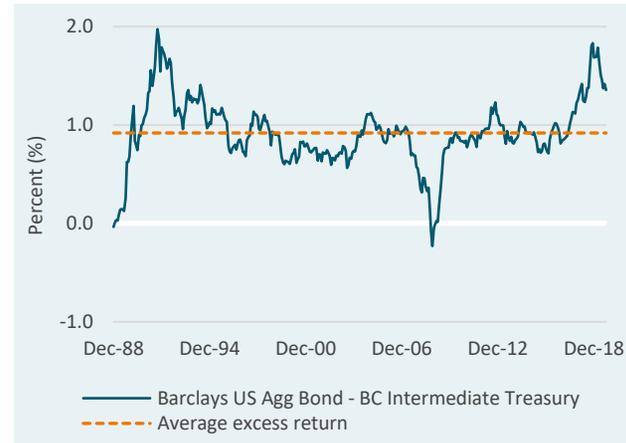
Spreads tightened throughout the year, which resulted in lower return forecasts for credit assets. Core fixed income spreads remain below their 30-year average of 1.25%. Widening credit spreads are typical of late-cycle behavior, as investors demand greater compensation for higher perceived credit risk. Recent activity suggests investors are not yet concerned about late-cycle credit market issues.

U.S. CORE CREDIT SPREAD



Source: Barclays, as of 9/30/19

ROLLING EXCESS RETURN (10-YR)



Source: Barclays, as of 9/30/19

FORECAST

	10-Year Forecast
Barclays U.S. Option-Adjusted Spread	+0.6%
Effective Default	-0.1%
U.S. 10-Year Treasury	+1.7%
Nominal Return	2.2%
Inflation Forecast	-1.9%
Real Return	0.3%

Source: Verus, as of 9/30/19

Credit summary

	Core	Long-Term Credit	Global Credit	High Yield	Bank Loans	EM Debt (USD)	EM Debt (Local)	Private Credit	Real Estate Debt
Index	BBgBarc U.S. Aggregate	BBgBarc Long U.S. Corporate	BBgBarc Global Credit	BBgBarc U.S. High Yield	S&P LSTA	JPM EMBI	JPM GBI-EM	S&P LTSA + 1.75%	BBgBarc CMBS IG
Method	OAS + U.S. 10-Year	OAS + U.S. 10-Year	OAS + Global 10-Year Treasuries	OAS + U.S. 10-Year	LIBOR + Spread	OAS + U.S. 10-Year	Current Yield	Bank Loans+ 1.75% private premium	LIBOR + Spread
Spread to	Intermediate U.S. Treasury	Long-Term U.S. Treasury	Global Long-Term Treasuries	Intermediate U.S. Treasury	LIBOR	Intermediate U.S. Treasury	-	-	LIBOR
Default Assumption	-0.5%	-4.5%	-3.0%	-3.8%	-3.5%	-0.5%	-0.5%	-	-3.7%
Recovery Assumption	80%	95%	40%	40%	90%	60%	40%	-	47%
Spread	0.6%	1.5%	2.0%	4.0%	3.6%	3.5%	-	-	4.0%
Yield	-	-	-	-	-	-	6.0%	-	-
Risk Free Yield	1.7%	1.7%	1.1%	1.7%	2.1%	1.7%	-	-	2.0%
Effective Default	-0.1%	-0.2%	-1.8%	-2.3%	-0.4%	-0.2%	-0.3%	-	-2.0%
Nominal Return	2.2%	3.0%	1.4%	3.4%	5.3%	5.0%	5.7%	7.1%	4.0%
Inflation Forecast	1.9%	1.9%	1.9%	1.9%	1.9%	1.9%	1.9%	1.9%	1.9%
Real Return	0.3%	1.1%	-0.6%	1.4%	3.4%	3.1%	3.8%	5.2%	2.1%

Source: Verus

Equities

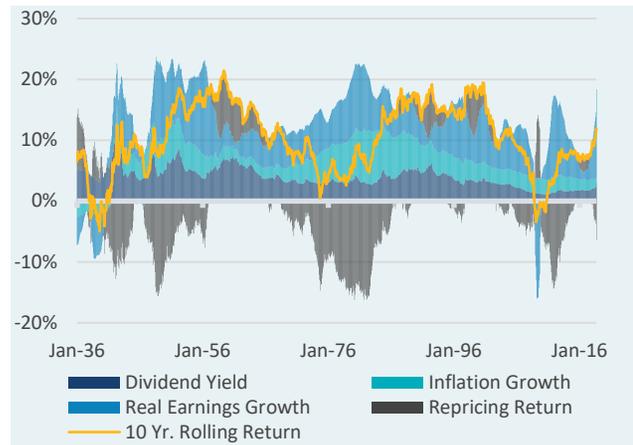
Investment returns in the equity space can be broken down into earnings growth, dividend yield, inflation, and repricing. Over the very long-term, repricing represents a small portion of return to equity investors, but over shorter time frames, the impacts on return can vary considerably.

If investors are willing to pay more for earnings, it could signal that investors are more confident in positive earnings growth going forward, while the opposite is true if investors pay less for earnings. It is somewhat surprising that investor confidence varies so much given that the long-term earnings growth is relatively stable.

Investor confidence in earnings growth can be measured using both the Shiller P/E ratio and the trailing 12-month P/E ratio. We take an average of these two valuations metrics when determining our repricing assumption. In short, if the P/E ratio is too high (low) relative to history, we expect future returns to be lower (higher) than the long-term average. Implicit in this analysis is the assumption that P/E's will exhibit mild mean reversion over 10 years.

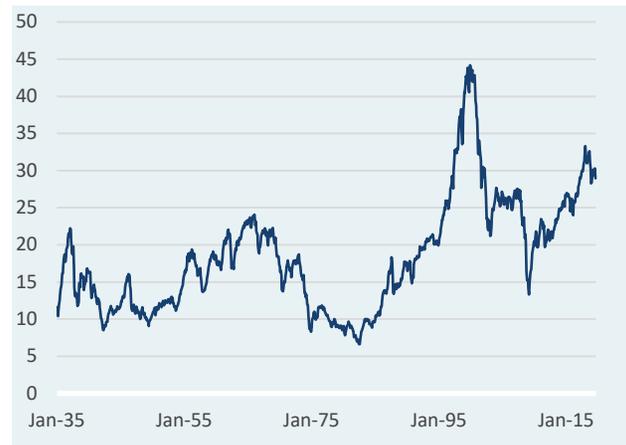
We make a conservative repricing estimate given how widely repricing can vary over time. We then skew the repricing adjustment because the percentage change in index price is larger with each incremental rise in valuations when P/E's are low, compared to when they are high.

TRAILING 10-YR S&P 500 RETURN COMPOSITION



Source: Shiller, Standard & Poor's, as of 9/30/19

U.S. LARGE SHILLER P/E



Source: Shiller, S&P 500, as of 9/30/19

P/E REPRICING ASSUMPTION

Average P/E Percentile Bucket	Lower P/E	Upper P/E	Repricing Assumption
Lower 10%	-	10	2.00%
10% - 20%	10	13	1.50%
20% - 30%	13	15	0.75%
30% - 45%	15	18	0.50%
45% - 55%	18	19	0.0%
55% - 70%	19	21	-0.25%
70% - 80%	21	22	-0.50%
80% - 90%	22	24	-0.75%
Top 10%	24	-	-1.00%

Source: Verus

Global equity

Global Equity is a combination of U.S. large, international developed, and emerging market equities. We can therefore combine our existing return forecasts for each of these asset classes to arrive at our global equity return forecast.

We use the MSCI ACWI Index as our benchmark for global equity and apply the country weights of this index to determine the weightings for our global equity return calculation. As with other equity asset classes, we use the historical standard deviation of the benchmark (MSCI ACWI Index) for our volatility forecast.

The valuation of global equities are driven by the richness/cheapness of the underlying markets, as indicated by the current price-to-earnings ratio.

Our return building blocks produce a local return forecast for international equities. For investors who wish to incorporate market implied currency movements into the return forecast, please see the adjustments and explanation in the Appendix.

GLOBAL EQUITY P/E RATIO HISTORY



Source: MSCI, as of 9/30/19

MARKET PERFORMANCE (3-YR ROLLING)



Source: MSCI, Standard & Poor's, as of 9/30/19

FORECAST

Market	Weight	CMA return
U.S. Large	54.2%	5.5%
Developed Large	32.4%	7.0%
Emerging Markets	10.3%	7.6%
Canada	3.1%	8.9%
Global Equity Forecast		6.4%

Source: Verus, as of 9/30/19

Equity summary

	U.S. Large	U.S. Small	EAFE	EAFE Small	EM
Index	S&P 500	Russell 2000	MSCI EAFE Large	MSCI EAFE Small	MSCI EM
Method	Building Block Approach: current dividend yield + historical average real earnings growth + inflation on earnings + repricing				
Current Shiller P/E Ratio	29.0	45.1	17.5	-	10.5
Regular P/E Ratio	19.5	41.0	16.7	18.7*	13.3
2019 Shiller P/E Change	+1.8%	+5.6%	+9.4%	-	+4.0%
2019 Regular P/E Change	+14.0%	-8.3%	+24.6%	-21.4%	+14.9%
Current Shiller P/E Percentile Rank	81%	93%	34%	-	18%
Current Regular P/E Percentile Rank	74%	90%	46%	18%*	34%
Average of P/E Methods' Percentile Rank	77%	92%	40%	18%*	26%
2019 YTD Return	20.5%	14.2%	12.8%	12.1%	5.9%
Shiller PE History	1982	1988	1982	Not Enough History	2005
Long-Term Average Shiller P/E	22.9	31.1	22.6	-	15.1
Current Dividend Yield	2.0%	1.8%	3.5%	2.7%	3.0%
Long-Term Average Real Earnings Growth	2.1%	3.1%	1.9%	1.9%	1.9%
Inflation on Earnings	1.9%	1.9%	1.1%	1.1%	1.9%
Repricing Effect (Estimate)	-0.5%	-1.0%	0.5%	1.5%	0.8%
Nominal Return	5.5%	5.7%	7.0%	7.2%	7.6%
Inflation Forecast	1.9%	1.9%	1.9%	1.1%	1.9%
Real Return	3.6%	3.8%	5.1%	6.1%	5.7%

Data as of 9/30/19

*Average trailing P/E from previous 12 months is used

NOTE: For all equities, we exclude data prior to 1972, which allows for a more appropriate comparison between data sets

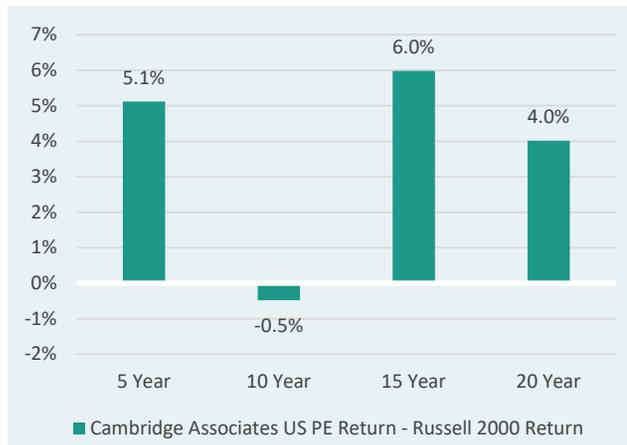
Private equity

Private equity and public equity returns have been correlated historically because the underlying economic forces driving these asset class returns are quite similar. The return relationship between the two can vary in the short-term, but over the long-term investors have received a premium, driven by leverage, concentrated factor exposure (smaller and undervalued companies), skill, and possibly illiquidity.

Historically, the beta of private equity relative to public equities has been high. We use a beta assumption of 1.85 to U.S. large cap equities in our capital market forecast.

Private equity performance typically differs based on the implementation approach. We provide a 10-year forecast for the entire private equity universe of 8.5%. Direct private equity programs have historically outperformed the broader universe by approximately 1.0%, and we forecast direct private equity accordingly with a forecast of 9.5%. Private equity fund-of-fund programs have historically lagged the universe by 1.0%, and we forecast private equity FoF at 7.5% to reflect this drag.

PRIVATE EQUITY EXCESS RETURN (PE – U.S. SMALL CAP EQUITY)



Source: Cambridge, Russell, as of 3/31/19

PRIVATE EQUITY IMPLEMENTATION FORECASTS

	10-Year Forecast
Private Equity Universe Forecast	+8.5%
Private Equity FoF Forecast	+7.5%
Private Equity Direct Forecast	+9.5%

Source: Verus, as of 9/30/19

PRIVATE EQUITY UNIVERSE FORECAST

	10-Year Forecast
U.S. Large Cap Forecast	+5.5%
1.85 Beta Multiplier	+3.0%
Nominal Return	+8.5%
Inflation Forecast	-1.9%
Real Return	+6.6%

Source: Verus, as of 9/30/19

Hedge funds

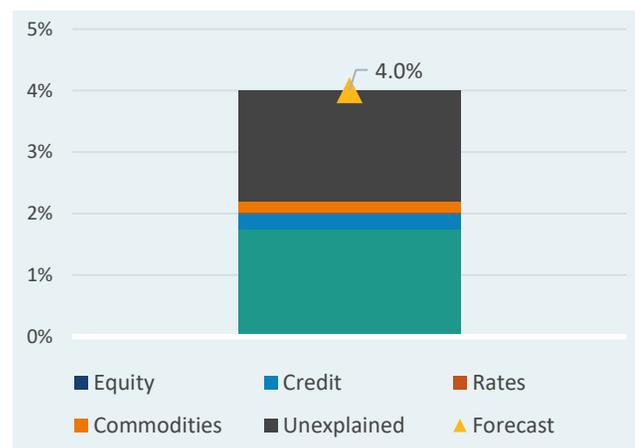
Hedge fund performance variation through time can be partly explained by public market betas (ex: equity, rates, credit, commodities) and partly explained by non-public sources of return (ex: alternative betas, skill, luck). Certain hedge fund strategies can be mostly explained by public market betas, while other types of hedge fund strategies are driven mostly by non-public sources of return.

To forecast hedge fund returns, we identified the portion of historical hedge fund performance that can be attributed to public market betas, and the portion of hedge fund returns that cannot be attributed to public market beta. This means our forecast has two components:

the public market return (explained return) and the non-public market return (unexplained return).

To forecast the public market beta portion of hedge funds, we take the historical sensitivity of hedge funds to equity, rates, credit, and commodities and pair these with our current 10-year public market forecasts for each asset class. To forecast the non-public market return portion of hedge funds (unexplained return) we simply assume the historical performance contribution of these sources will continue over the next 10 years.

HEDGE FUND FORECAST



Source: Verus, as of 9/30/19

HEDGE FUND PUBLIC MARKET SOURCES OF RETURN (EXPLAINED RETURN)

Equity
Rates
Credit
Commodities

HEDGE FUND NON-PUBLIC SOURCES OF RETURN (UNEXPLAINED RETURN)

Alternative betas
Skill
Luck

Source: Verus

FORECAST

	10-Year Forecast
Public Market % of Return	+2.2%
Non-Public Market % of Return	+1.8%
Nominal Return	+4.0%
Inflation Forecast	-1.9%
Real Return	+2.1%

Source: Verus, as of 9/30/19

Private core real estate/REITS

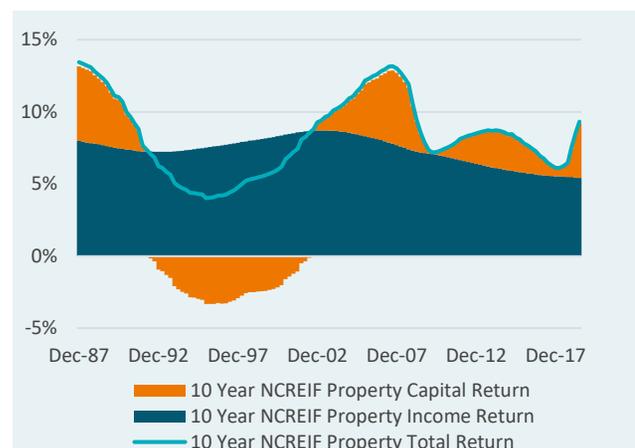
Performance of the NCREIF property index can be decomposed into an income return (cap rate) and capital return. The return coming from income has historically been more stable than the return derived from capital changes.

The cap rate is the ratio of earnings less expenses to price, and does not include extraordinary expenses. A more accurate measure of the yield investors receive should include non-recurring capital expenditures; we assume a 2.0% capex expenditure. We also assume income growth will track inflation as higher prices are passed through to rents.

Private real estate and REITs have provided very similar returns over the long-term. Investors should be careful when comparing risk-adjusted returns of publicly traded assets to returns of appraisal priced assets, due to smoothing effects. While private real estate appears to be less volatile than REITs, the true risks to investors are very similar.

We assume the effects of leverage and liquidity offset each other. Therefore, our return forecast is the same for private real estate and REITs.

TRAILING 10-YR NCREIF RETURN COMPOSITION



Source: NCREIF, as of 6/30/19

PRIVATE REAL ESTATE

	Private Real Estate 10-Year Forecast
Current Cap Rate	+4.4%
Real Income Growth	+2.3%
Capex Assumption	-2.0%
Inflation	+1.9%
Nominal Return	6.6%
Inflation Forecast	-1.9%
Real Return	4.7%

Source: Verus, as of 9/30/19

REITS

	10-Year Forecast
Nominal Return Forecast	6.6%
Inflation Forecast	-1.9%
Real Return	4.7%

Source: Verus, as of 9/30/19

Value-add & opportunistic real estate

Value-add real estate includes properties which are in need of renovation, repositioning, and/or lease-up. Properties may also be classified as value-add due to their lower quality and/or location. Opportunistic real estate can also include development and distressed or very complex transactions. Greater amounts of leverage are usually employed within these strategies. Leverage increases beta (risk) by expanding the purchasing power of property managers via a greater debt load, which magnifies gains or losses. Increased debt also results in greater interest rate sensitivity. An increase/decrease in interest rates may result in a write-up/write-down of fixed rate debt, since debt holdings are typically marked-to-market.

Performance of value-add real estate is composed of the underlying private

real estate market returns, plus a premium for additional associated risk, which is modeled here as 200 bps above our core real estate return forecast. Performance of opportunistic real estate strategies rest further out on the risk spectrum, is modeled as 400 bps above the core real estate return forecast.

Additional expected returns above core real estate are justified by the higher inherent risk of properties which need improvement (operational or physical), price discounts built into properties located in non-core markets, illiquidity, and the ability of real estate managers to potentially source attractive deals in this less-than-efficient marketplace.

CAP RATE SPREADS



Source: NCREIF, Bloomberg, as of 6/30/19

FORECAST

	Value-Add 10-Year Forecast	Opportunistic 10-Year Forecast
Premium above core	+2.0%	+4.0%
Current Cap Rate	+4.4%	+4.4%
Real Income Growth	+2.3%	+2.3%
Capex Assumption	-2.0%	-2.0%
Inflation	+1.9%	+1.9%
Nominal Return	8.6%	10.6%
Inflation Forecast	-1.9%	-1.9%
Real Return	6.7%	8.7%

Source: Verus, as of 9/30/19

Infrastructure

Infrastructure includes a variety of investment types across a subset of industries. There is not one definition for what can be included within infrastructure. The asset class has grown dramatically in the last decade as investors sought assets that might provide more attractive yield relative to fixed income along with the potential for inflation protection.

Similar to real estate investment, income plays a significant role in the returns investors receive. Income yields are currently lower than average due to higher prices and competition in the space, which

might reasonably be expected to translate into lower expected future returns.

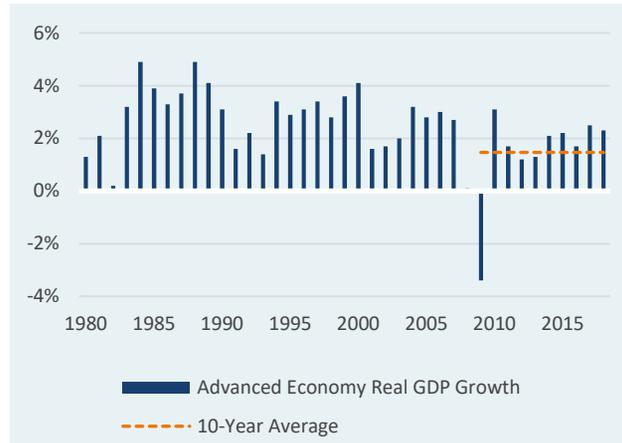
Due to the discount rate effect, infrastructure asset valuations would generally be negatively affected by material increases in interest rates. Because leverage is used in this space, higher interest rates would also impact investors in the form of higher borrowing costs.

5-YR ROLLING RETURN COMPOSITION



Source: S&P Global Infrastructure Index, as of 9/30/19

ADVANCED ECONOMY REAL GDP GROWTH



Source: IMF, as of 9/30/19

FORECAST

	10-Year Forecast
Inflation	1.7%
Yield	4.1%
Income Growth	1.5%
Nominal Return	7.2%
Global Inflation Forecast	-1.7%
Real Return	5.5%

Source: Verus, as of 9/30/19, may not sum due to rounding

Commodities

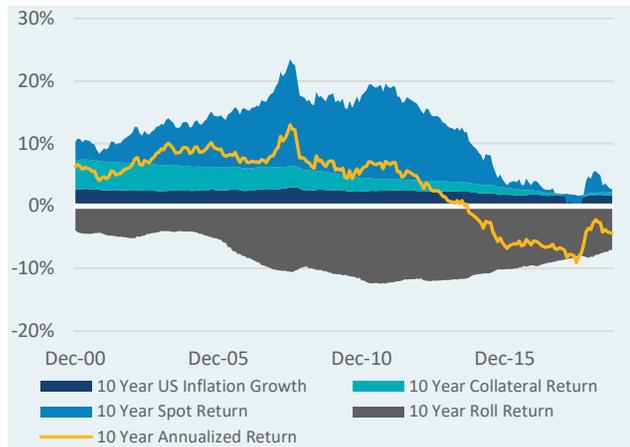
Commodity returns can be decomposed into three sources: collateral return (cash), spot changes (inflation), and roll yield.

Roll return is generated by either backwardation or contango present in futures markets. Backwardation occurs when the futures price is below the spot price, which results in positive yield. Contango occurs when the futures price is above the spot price, and this results in a loss to commodity investors. Historically, futures markets have fluctuated between backwardation and contango but with a net-zero effect over the very long-term (since 1877). Therefore, roll return is assumed to

be zero in our forecast. Over the most recent 10-year period, roll return has been negative, though this is likely the result of multiple commodity crises and a difficult market environment.

Our 10-year commodity forecast combines collateral (cash) return with spot return (inflation) to arrive at the nominal return, and subtracts out inflation to arrive at the real return.

TRAILING 10YR BLOOMBERG COMMODITY RETURN COMPOSITION (%)



Source: MPI, Bloomberg, as of 9/30/19

BLOOMBERG COMMODITY RETURN COMPOSITION (%)



Source: MPI, Bloomberg, as of 9/30/19

FORECAST

	10-Year Forecast
Collateral Return (Cash)	+1.9%
Roll Return	+0.0%
Spot Return (Inflation)	+1.9%
Nominal Return	3.8%
Inflation Forecast	-1.9%
Real Return	1.9%

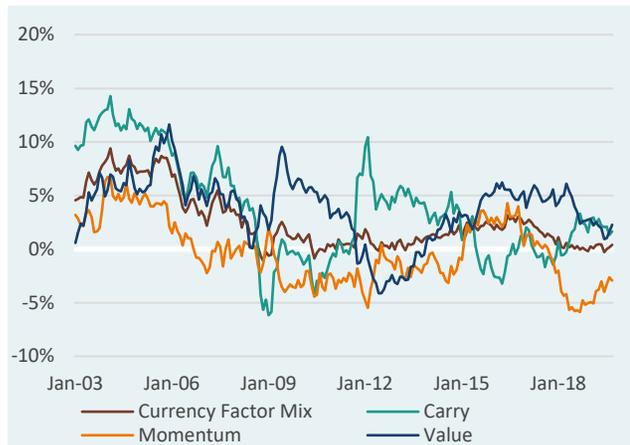
Source: Verus, as of 9/30/19

Currency beta

Currency beta is a long-short portfolio of G10 currencies constructed by investing in three equally weighted factors: carry, momentum, and value. A significant amount of academic research has concluded that these factors demand a risk premium in the currency market. Studies have also shown that currency beta explains a high portion of active currency managers' returns, indicating it may be a good neutral starting point or benchmark for currency investing. Currency beta portfolios gain exposure to the carry, momentum, and value factors in a systematic and transparent manner. For more detailed information on currency beta, please contact your consultant.

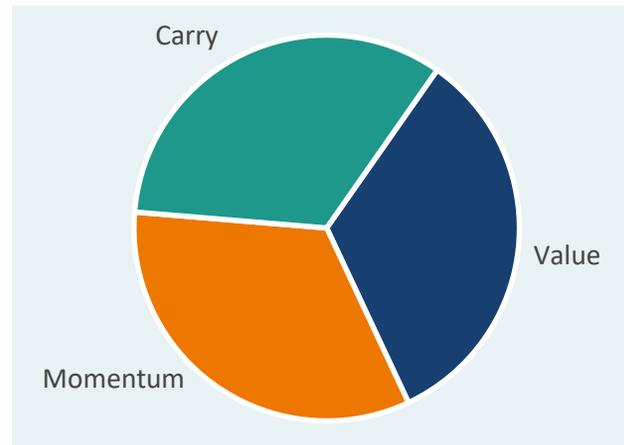
We model each factor in the currency beta portfolio separately, and then take a weighted average to get an overall return forecast. For the carry portfolio, the main driver of returns is the yield an investor receives from holding currencies with relatively higher interest rates. We therefore use a 12-month average of the portfolio's yield as the expected return. For value, our return forecast assumes a certain level of mean reversion to PPP fair value based on historical data. Lastly, for momentum, we simply assume the average historical return due to lack of long-term fundamental return drivers. Short-term volatility levels typically drive returns in the momentum portfolio, which is difficult to model in a 10-year return forecast.

3-YEAR ROLLING PERFORMANCE



Source: MSCI, as of 9/30/19

CURRENCY BETA CONSTRUCTION



Source: Verus

RETURN FORECAST

Factor	Weight	Return Forecast	Weighted return
Carry	33.3%	2.7%	0.9%
Momentum	33.3%	-0.2%	-0.1%
Value	33.3%	2.8%	0.9%
Currency Beta			1.8%

Source: Verus, as of 9/30/19

Risk parity

Risk parity is built upon the philosophy of allocating to risk premia rather than to asset classes. Because risk parity by definition aims to diversify risk, the actual asset allocation can appear very different from traditional asset class allocation.

We model risk parity using an assumed Sharpe Ratio of 0.5, which considers the historical performance of risk parity. This assumed Sharpe Ratio is higher than other asset class forecasts, but is consistent with these forecasts because *portfolios* of assets tend to deliver materially higher Sharpe Ratios than individual assets.

The expected return of Risk Parity is determined by this Sharpe Ratio forecast, along with a 10% volatility assumption.

We used a 10-year historical return stream from a market-leading product to represent risk parity correlations relative to the behaviors of each asset class. Risk parity funds are suggested to be better able to withstand various difficult economic environments - reducing volatility without sacrificing return, over longer periods.

It is difficult to arrive at a single model for risk parity, since strategies can differ significantly across firms/strategies. Risk parity almost always requires explicit leverage. The amount of leverage will depend on the specific strategy implementation style, as well as expected correlations and volatility.

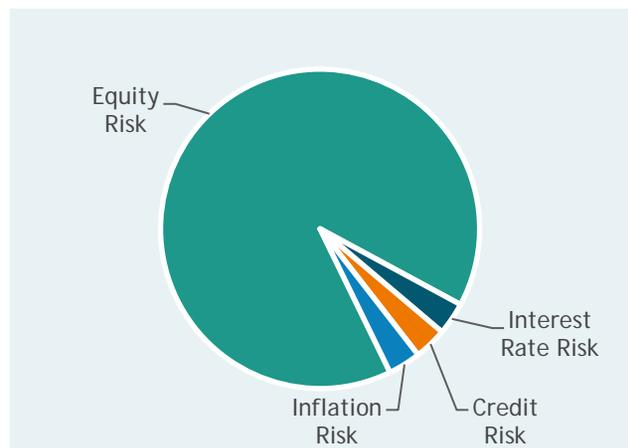
VS. TRADITIONAL ASSET CLASSES



Source: Morningstar, AQR, as of 9/30/19

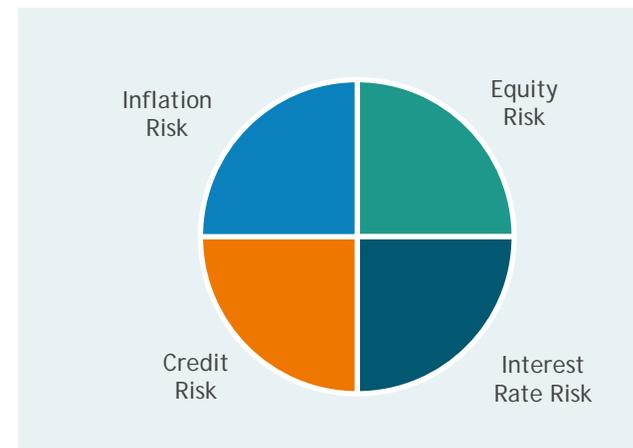
Note: Risk parity is modeled here using the AQR GRP-EL 10% Volatility fund. Performance is back tested prior to February 2015

TRADITIONAL ASSET ALLOCATION



Source: Verus

RISK PARITY



Source: Verus

30-year return & risk assumptions

- Occasionally investors may have a specific need for longer-term capital market forecasts. We have developed a set of 30-year assumptions to meet those needs.
- The return forecasts below have been constructed using our existing building block approach, but with longer-term inputs. Risks and correlations are estimated using the same approach as our 10-year forecasts, using full-history autocorrelation-adjusted realized risk and past 10 year realized correlations.
- These return figures must be thought of separately from our 10-year forecasts, and are not meant to imply performance for the 20 years *beyond* our 10 year forecasts.
- Please reach out to your Verus consultant with questions regarding whether 30-year Capital Market Assumptions might be appropriate for your needs.

Asset Class	Index Proxy	Thirty Year Return Forecast		Standard Deviation Forecast	Sharpe Ratio Forecast (g)		
		Geometric	Arithmetic		Sharpe Ratio Forecast (g)	Sharpe Ratio Forecast (a)	
Equities							
U.S. Large	S&P 500	5.5%	6.6%	15.4%	0.25	0.32	
U.S. Small	Russell 2000	6.1%	8.1%	21.1%	0.21	0.30	
International Developed	MSCI EAFE	6.7%	8.0%	17.5%	0.29	0.36	
International Small	MSCI EAFE Small Cap	6.2%	8.3%	21.8%	0.21	0.31	
Emerging Markets	MSCI EM	6.8%	9.6%	25.6%	0.20	0.31	
Global Equity	MSCI ACWI	6.0%	7.3%	16.8%	0.26	0.34	
Private Equity*	Cambridge Private Equity	8.7%	11.5%	25.3%	0.28	0.39	
Fixed Income							
Cash	30 Day T-Bills	1.7%	1.7%	1.2%	-	-	
U.S. TIPS	BBgBarc U.S. TIPS 5 - 10	2.1%	2.3%	5.4%	0.08	0.11	
U.S. Treasury	BBgBarc Treasury 7-10 Year	2.1%	2.3%	6.7%	0.07	0.10	
U.S. 30-year Treasuries	BBgBarc U.S. Treasury 20+ Year	2.1%	2.9%	12.5%	0.04	0.10	
Global Sovereign ex U.S.	BBgBarc Global Treasury ex U.S.	0.7%	1.1%	9.7%	-0.10	-0.06	
Global Aggregate	BBgBarc Global Aggregate	1.1%	1.3%	6.2%	-0.09	-0.06	
Core Fixed Income	BBgBarc U.S. Aggregate Bond	3.0%	3.2%	6.3%	0.21	0.24	
Core Plus Fixed Income	BBgBarc U.S. Corporate IG	3.6%	4.0%	8.3%	0.24	0.28	
Short-Term Gov't/Credit	BBgBarc U.S. Gov't/Credit 1 - 3 year	2.3%	2.3%	3.6%	0.17	0.18	
Short-Term Credit	BBgBarc Credit 1-3 Year	2.9%	2.9%	3.6%	0.33	0.35	
Long-Term Credit	BBgBarc Long U.S. Corporate	3.5%	3.9%	9.4%	0.20	0.24	
High Yield Corp. Credit	BBgBarc U.S. Corporate High Yield	5.3%	5.9%	11.3%	0.32	0.37	
Bank Loans	S&P/LSTA Leveraged Loan	4.7%	5.2%	10.0%	0.30	0.35	
Global Credit	BBgBarc Global Credit	0.8%	1.1%	7.4%	-0.12	-0.08	
Emerging Markets Debt (Hard)	JPM EMBI Global Diversified	6.1%	6.8%	12.4%	0.35	0.41	
Emerging Markets Debt (Local)	JPM GBI EM Global Diversified	5.7%	6.4%	12.0%	0.34	0.39	
Private Credit	Bank Loans + 175bps	6.4%	6.9%	10.0%	0.48	0.52	
Other							
Commodities	Bloomberg Commodity	3.2%	4.4%	15.4%	0.10	0.18	
Hedge Funds*	HFRI Fund Weighted Composite	4.5%	4.8%	7.7%	0.37	0.40	
Real Estate Debt	BBgBarc IG CMBS	4.1%	4.4%	7.6%	0.32	0.35	
Core Real Estate	NCREIF Property	6.8%	7.5%	12.4%	0.41	0.47	
Value-Add Real Estate	NCREIF Property + 200bps	8.8%	10.2%	17.7%	0.40	0.48	
Opportunistic Real Estate	NCREIF Property + 400bps	10.8%	13.0%	23.0%	0.40	0.49	
REITs	Wilshire REIT	6.8%	8.4%	19.1%	0.27	0.35	
Global Infrastructure	S&P Global Infrastructure	7.0%	8.4%	17.8%	0.30	0.38	
Risk Parity	Risk Parity	7.1%	7.6%	10.0%	0.54	0.59	
Currency Beta	MSCI Currency Factor Index	2.2%	2.2%	3.6%	0.14	0.15	
Inflation		1.6%	-	-	-	-	

Investors wishing to produce expected geometric return forecasts for their portfolios should use the arithmetic return forecasts provided here as inputs into that calculation, rather than the single-asset-class geometric return forecasts. This is the industry standard approach, but requires a complex explanation only a heavy quant could love, so we have chosen not to provide further details in this document – we will happily provide those details to any readers of this who are interested.

*Private Equity and Hedge Fund return expectations differ if implemented through a direct program versus a fund of funds vehicle

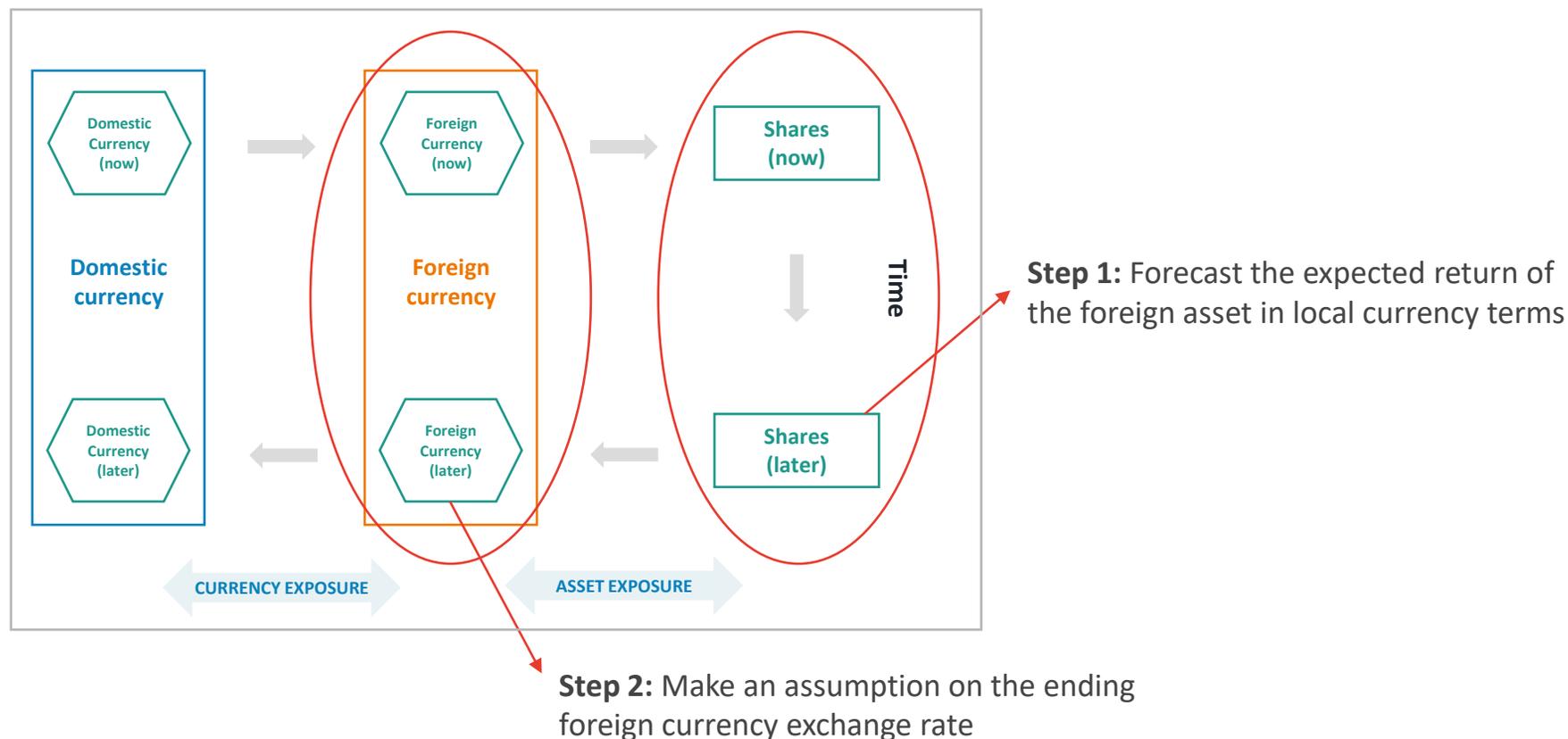
10-year return forecasts with currency adjustment

Asset Class	Index Proxy	Ten Year Return Forecast (Geometric)			Standard Deviation Forecast
		CMA Forecast	Currency Adjustment	Total	
Equities					
International Developed Equity Unhedged	MSCI EAFE	7.0%	1.8%	8.8%	17.5%
International Developed Equity Hedged	MSCI EAFE Hedged	7.0%	1.8%	8.8%	15.7%
International Small Equity Unhedged	MSCI EAFE Small Cap	7.2%	1.8%	9.0%	21.8%
International Small Equity Hedged	MSCI EAFE Small Cap Hedged	7.2%	1.8%	9.0%	19.2%
Fixed Income					
Global Sovereign ex U.S. Unhedged	BBgBarc Global Treasury ex U.S.	0.1%	1.7%	1.8%	9.7%
Global Sovereign ex U.S. Hedged	BBgBarc Global Treasury ex U.S. Hedged	0.1%	1.7%	1.8%	3.8%
Global Credit Unhedged	BBgBarc Global Credit	1.4%	0.5%	1.9%	7.4%
Global Credit Hedged	BBgBarc Global Credit Hedged	1.4%	0.5%	1.9%	5.0%

The currency adjustment is the market implied price change for major currency pairs based on forward contract pricing. Since the market implied spot price change and the cost/gain from hedging are both derived from pricing in the forward market, they are one and the same. Therefore, the currency adjustment is the same for both unhedged and hedged forecasts. See the following slides for the more detail on the currency adjustment methodology.

Explanation of the currency adjustment

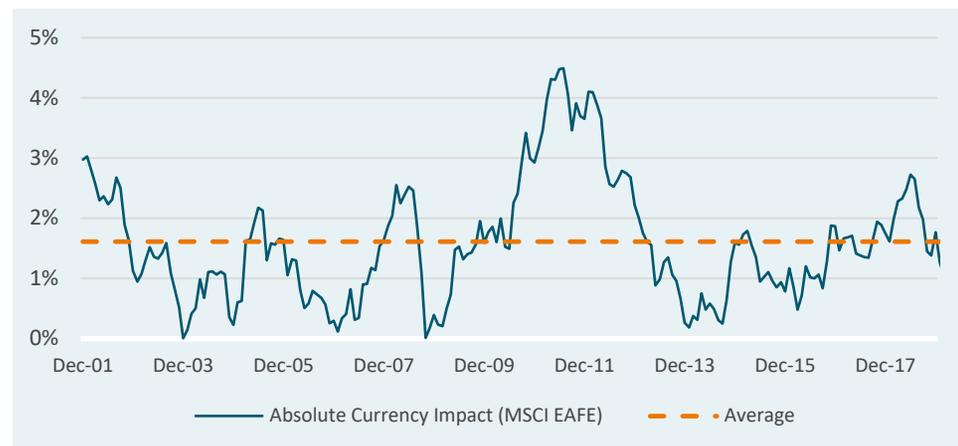
Our fundamental building block approach produces a return forecast in local currency. In order to create useable forecasts for non-U.S. dollar-denominated assets, we must make an assumption about future foreign exchange rates.



Explanation of the currency adjustment

- There are two options to adjust a local currency return forecast to a U.S. dollar forecast: make a specific exchange rate forecast or take market pricing based on the forward curve
 - It is important to note that ignoring currency is making a specific assumption that the current exchange rate will be unchanged over the next 10 years, which has rarely been the case throughout history
- Markets price future exchange rates in the forward market, which represents the SPOT currency price for FORWARD delivery
- Forward currency contracts are priced based on the interest rate differential between two currencies – interest rate differentials reflect a significant amount of information, including growth, inflation, and monetary policy expectations
- A currency with a higher interest rate is priced to depreciate relative to a currency with a lower interest rate
- We adjust our local currency return forecasts based on forward market pricing because we believe this is the neutral, “no opinion” position, rather than making a specific forecast
- Historically, this currency adjustment has had a positive relationship with 10-year forward exchange rate movements

10-YEAR ROLLING ABSOLUTE CURRENCY IMPACT



Source: Verus, MSCI, as of 9/30/19

CURRENCY ADJUSTMENT VS. FORWARD USD MOVEMENT



Source: Verus, Bloomberg, using data since 1989, based on the MSCI EAFE Index

Autocorrelation adjustment

- We adjust all volatility forecasts that use the long-term historical volatility for autocorrelation.
- Autocorrelation occurs when the future returns of a time series are described (positively correlated) by past returns.
- Time series with positive autocorrelation exhibit artificially low volatility, while time series with negative autocorrelation exhibit artificially high volatility.
- Many asset classes that we tested showed positive autocorrelation, meaning the volatility forecasts that we use in the forecasting process are too low for those asset classes.
- The result of this process was that several asset classes have higher volatility forecasts than if we had made no adjustment for autocorrelation.

Russell 2000 autocorrelation, among many asset classes, is statistically significant

Notices & disclosures

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University of Missouri System
Board of Curators
Finance Committee

February 4, 2021

Asset Allocation – Retirement UM



Summary

- Maintain investment objectives focused on balance and diversification
- Low expected returns for US TIPs and US Treasuries forced compromise - balance vs. return
- Capital redeployed to private markets and risk balanced strategies
- Further differentiation of asset allocation in Endowment Pool as compared to Retirement Plan based on relative risk

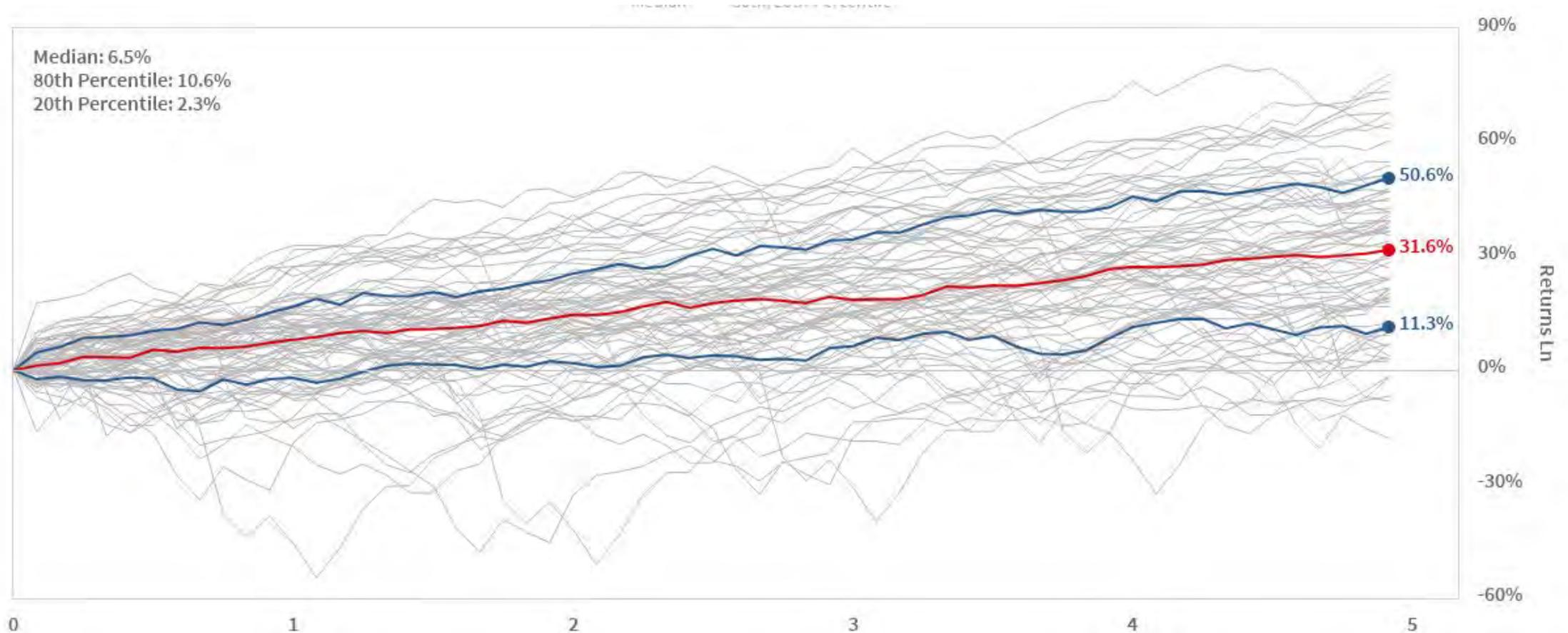
Proposed Changes

Asset Class	Existing	Proposed	Return Expectation
Global Equity	35%	35%	6.3%
Private Equity	10%	15%	9.5%
Private Debt	3%	7%	7.8%
Sovereign Bonds	14%	8%	0.7%
Inflation-Linked Bonds	15%	10%	1.3%
Real Estate	8%	10%	8.3%
Risk Balanced	10%	12%	6.1%
Commodities	5%	3%	3.4%
Total	100%	100%	

Proposed Changes

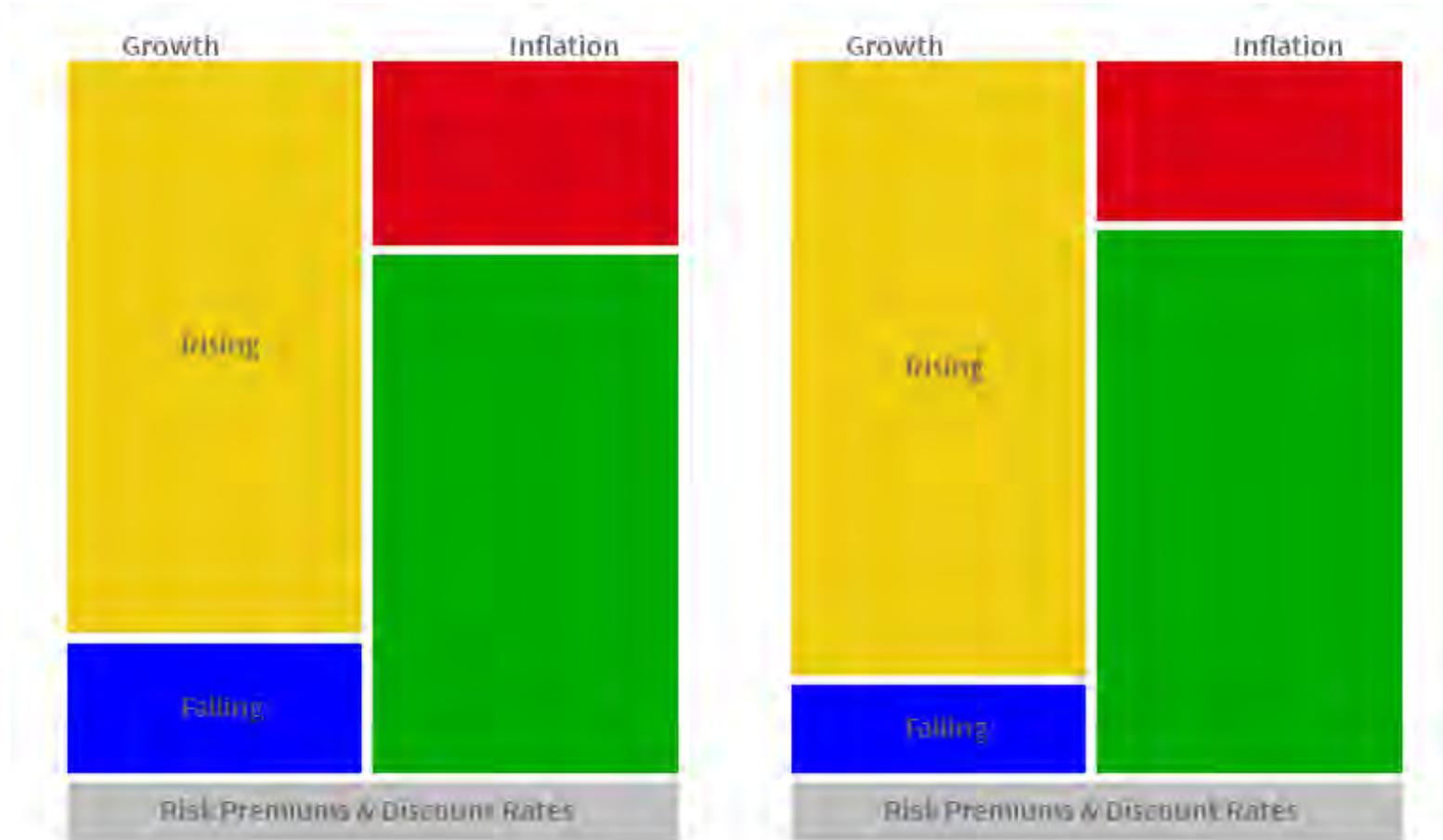
	Existing	Proposed
Before Alpha Program		
Mean Expected Return	5.58%	6.66%
Standard Deviation	9.80%	11.80%
Sharpe Ratio	0.55	0.55
Alpha Program (% Capital)	20%	22%
Including Alpha Program		
Mean Expected Return	6.15%	7.28%
Standard Deviation	10.40%	12.40%
Sharpe Ratio	0.57	0.57

Proposed Portfolio - Range of Outcomes



Proposed Portfolio Mix (no alpha program) – Range of Rolling Five Year Outcomes (1940-2020)

Portfolio Risk Balance



Current Endowment Pool

Proposed Endowment Pool

Expected Return vs. Distributions

Spending Distribution	4.00%	Expected Return	7.28%
Administrative Distribution	<u>1.25%</u>	Less: Inflation Assumption	<u>1.90%</u>
Total Annual Distribution	5.25%	Expected Real Return	5.38%

Over a longer-term time horizon, the rate of total annual endowment distributions should remain reasonably close to realized real returns, allowing the endowment spending distribution to maintain purchasing power over time.

Risk Characteristics

- Endowment Pool is an active entity driven by perpetual fundraising efforts
- Endowment Pool has a relatively conservative spending policy based on a 28 quarter market value average, which tends to insulate spending distributions from short-term market volatility
- Retirement Plan – as expected – will become increasingly cash flow negative as the gap between outgoing benefit payments and incoming contributions continues to grow
- These differences in risk characteristics allow the Endowment Pool to take more investment risk relative to the Retirement Plan

Risk Differentiation

Asset Class	Endowment Pool	Retirement Plan	Variance
Private Equity ¹	15%	12%	3%
Private Debt ²	7%	6%	1%
Sovereign Bonds	8%	10%	(2%)
Commodities	3%	5%	(2%)
Risk – Standard Deviation	11.3%	12.4%	1.1%

1 The Endowment Pool private equity portfolio will include a higher allocation to venture capital relative to the Retirement Plan

2 The private debt portfolio in the Endowment Pool will be constructed with a higher risk tolerance as compared to the Retirement Plan

Questions

Fiscal Year 2022 Student Housing and Dining Rates
UM

Attached are rate recommendations for residence halls and family student housing for FY 2022. The rates would become effective for the Summer Session 2021. These recommendations are being presented as an action item for approval at the February 4, 2021 board meeting.

Many housing and dining opportunities are available to University of Missouri System students. On-campus living has been provided on our campuses for many years and continues to provide these valuable benefits:

- Improves student academic success
- Increases the likelihood of continuance and graduation
- Builds a sense of connection to other students from living in a community
- Provides better security and safety from campus police and security measures.

Room and board charges vary across the four universities and within each university are based on the residence facility and meal plan selected. The table below shows current and recommended rates for the predominant room and board plan on each university. The rates are driven by various factors that impact housing and dining and university operations such as debt service, future investments, food, labor, utility costs, and contractual arrangements with third-party vendors. The rates were set to achieve a balance between maintaining financial sustainability of the housing and dining auxiliary and affordability for students.

Summary of Predominant Room and Board Plans for an Academic Year

	FY 2021	FY 2022	Increase/ Decrease	Percent Change
MU	\$9,672	\$9,915	\$243	2.5%
UMKC	10,881	11,005	124	1.1%
S&T	10,360	10,570	210	2.0%
UMSL	10,411	10,606	195	1.9%

February 4, 2021

No. 2

Recommended Action - Fiscal Year 2022 Student Housing and Dining Rates, UM

It was recommended by the respective Chancellors, endorsed by President Choi, recommended by the Finance Committee, moved by Curator _____ and seconded by Curator _____, that the attached schedule of rates for the Residence Halls and Family Student Housing at MU, UMKC, Missouri S&T, and UMSL be approved effective beginning with the 2021 Summer Session.

Roll call vote Finance Committee	YES	NO
Curator Hoberock		
Curator Steelman		
Curator Wenneker		
Curator Williams		

The motion _____.

Roll call vote Full Board:	YES	NO
Curator Brncic		
Curator Chatman		
Curator Graham		
Curator Hoberock		
Curator Layman		
Curator Snowden		
Curator Steelman		
Curator Wenneker		
Curator Williams		

The motion _____.

February 4, 2021

Fiscal Year 2022 Student Housing and Dining Rates
UM

Attached are rate recommendations for residence halls (housing and dining) and family student housing for FY 2022. The rates would become effective Summer Session 2021. These recommendations are being presented for approval.

Fee recommendations were prepared under the direction of the Vice Chancellors or Vice Provosts for Student Affairs at each university. Planning for fee changes are conducted using operating assumptions unique to each university and activity, within the context of general economic guidelines communicated by UM System Division of Finance. Rates seek to balance affordability of housing and dining for students with the financial and capital commitments necessary to maintain the housing and dining facilities in a competitive market environment.

University of Missouri (MU)

The recommended predominant room and board plan will cost \$9,915 per academic year for FY 2022 and consist of a weighted average cost of the traditional double room and the Tiger Plan Plus dining plan which offers dining anywhere on campus with an average of 12 meals per week.

While developing the pricing strategy for FY 2022 MU focused on three overarching goals.

- Maintaining low-cost options
- Providing safe, attractive and well-maintained housing facilities
- Increasing rates in select areas based on demand

Housing rates for FY 2022 in University owned housing range from a high of \$10,275 per academic year for a single suite open over breaks to a low of \$6,105 for a traditional double room in Hatch hall. In setting rates, MU segmented housing inventory into three different group by demand profile: low-cost, mid-range, and premium housing options and structured pricing accordingly.

- Low-cost and mid-range traditional double room will increase 1.8% to \$6,105 per academic year (\$678/month) and increase 2.4% to \$6,710 per academic year (\$746/month), respectively.
- Premium traditional double room (43% of traditional double room inventory) will increase to \$7,445 per academic year which is a 2.4% increase (\$175 per academic year).
- Rates will increase by 2.8% in select singles, suites and high-demand halls. This ensures responsible financial management while managing demand and keeping the rate structure as simple as possible.
- The weighted average cost included in the predominant room and board plan is \$6,876, which is 2.3% higher than prior year.

February 4, 2021

Due to the increase in enrollment, MU has a three-year master lease (FY 2021-FY 2023) with an off-campus property. In addition, Responsibility (184 beds) and Discovery Hall (218 beds) is planned to go off-line starting in FY 2022 as MU is in negotiations with MU Healthcare to lease these facilities as Women's and Children's Hospital integrates into the University Hospital

Housing rates for off-campus housing units range from a high of \$10,605 per academic year for a single suite in a premium apartment to a low of \$4,895 for a single suite in a low-cost apartment. The rate at Mizzou at The Rise will be \$10,605 as well. However, in case there is an unexpected need to enter into an additional lease late in the spring, MU requests the ability to choose a rate within the recommended range in order to have the flexibility to effectively price rooms based on the terms of the lease and available amenities. All recommendations to the Board for approval for an off-campus lease will include a recommended room rate for that location.

Dining plans will continue to offer flexibility and include low-cost options. Student can choose from three plans ranging from \$3,502 to a low of \$1,700 for a flexible dining plan option that works at all locations (including the Student Center). Students have options on the dining plan that include traditional all you care to eat locations and many a la carte residential and retail choices with hours ranging from 7:00 a.m. – 11:00 p.m. The dining plan anticipated to be selected most by students next year will be \$3,039, a flexible dining option, which is \$89, or 3% more expensive than the current year.

MU recognizes the cost to students and their families when student have to move out for breaks, Residential Life will continue to remain open for fall, winter and spring breaks. In addition, the popular "365 housing" option will continue for students who need housing year-round. Currently, many students are without housing the second half of May and first half of August, when apartment complexes are turning rooms over. Returning students who select 365 housing will be able to either stay in their room or move into a new room in May without any break in housing.

University of Missouri Kansas City (UMKC)

The predominant room and board plan for FY 2022 will cost \$11,005 per academic year and consists of a traditional double room and a 180 block meal plan with \$175 in Flex cash per semester. This is an increase of 1.1% over FY 2021.

UMKC is recommending the housing rates for Johnson and Oak Street Hall are to remain flat to the current rates. In addition to residence halls previously referenced, UMKC is proposing a 5% increase in its Hospital Hill Apartments, and an increase of 15% for housing leased from UMKC Homes. UMKC Homes includes University housing assets which are managed by a property management firm.

The recommended rates are a balance between meeting the financial needs of the housing auxiliary and affordability for students. First-time freshmen and lower-classmen are the

February 4, 2021

typical residents of Johnson and Oak Street Halls. The flat rate proposal for these residence halls is a direct response to affordability issues for some of our most vulnerable students. The rate increase proposed for Hospital Hill apartments reflects the market demand for those apartments, as well as the amenities offered in the apartments. The increase of 15% for UMKC Homes is needed to cover the University's costs of leasing that space. Residential Life management is working to improve occupancy and market demand, while also balancing the financial viability of the housing function.

UMKC food service is outsourced to a third-party vendor, contracted rates will increase by 3.5%. Five different meal plans are available ranging from a high of \$3,906 per academic year for a 140 meal block with \$300 in Flex cash per semester to a low of \$3,489 for 12 meals per week with \$175 in Flex cash per semester.

University of Missouri Science & Technology (Missouri S&T)

The predominant room and board plan at for FY 2022 will cost \$10,570 per academic year and consists of a renovated double room and 225 meals plus \$150 declining balance per semester. The increase in the predominant room and board plan at Missouri S&T is 2.0% or \$210 for the academic year.

The recommended rates are a balance between meeting the financial needs of the housing auxiliary and affordability for students. The rates were made with the objective of making minimal increases to rooms with the least demand and greater increases for rooms in more desirable halls. Room rates range from a high of \$9,600 per academic year (a 1.2% increase from prior year) for a single bedroom/apartment style room in University Commons, which is the newest facility, to \$5,500 per academic year (a flat from prior year) for a double basement room in Farrar Hall, which is the oldest residence hall.

Missouri S&T has five different meal plans available ranging from a high of \$3,840 for all access in Thomas Jefferson plus \$100 declining balance per year to a low of a \$1,990 declining balance per year. S&T is requesting an average 2.1% increase across the five options ranging from 2.1% to 2.2%, this decision was based on contracted obligations from the third-party provider and demand for the meals plans offered.

University of Missouri St. Louis (UMSL)

The predominant room and board plan for FY 2022 will cost \$10,606 per academic year. The predominant plan consists of a single room in Oak Hall and a 100 block meal plan plus \$350 declining balance dollars per semester. The increase in the predominant room and board plan at UMSL is 1.9% or \$195 for the academic year.

UMSL strives to maintain affordability for students, 42.5% of the current residential population are Pell eligible students which depend on their education, campus experiences and housing to be financially accessible. In FY21, housing rates remained flat. Given the uncertainty surrounding employment and financial stability due to COVID UMSL recommends a minimal rate increase (1-2% depending on unit type) in FY22. Housing options range from a high of \$6,858 per academic year for a single room in Oak Hall to a

February 4, 2021

low of \$4,800 per academic year for a small single room in Villa Hall. Summer rates will remain flat.

UMSL's food service is outsourced to a third-party vendor. Four meal plans are offered and range from a low of \$3,748 per academic year for a 100 meal block with a \$350 declining balance per semester to a high of \$4,328 for a 200 meal block with a \$150 declining balance per semester. Meal plan costs are still under negotiation but will not increase more than 3.5%.

The table on the next page summarizes the room and board predominant plan for each campus as well as the range of plan options. Campus specific tables detailing contract rates for housing and dining options follow.

Housing and Dining Income Statements

Each university provides an income statement with the rate submission to show the impact of the rates on the financial performance of housing and dining. Each University reviews the financial statements together with the rate schedules as a part of the rate setting process. The housing and dining auxiliaries remain an integral part of each campus, and their financial results contribute to each university's overall financial performance. Each Chancellor is responsible for the financial performance of their university.

Summary of Housing Contracts, Effective Beginning with the 2021 Summer Session

Room and Board Plans		MU			
		FY2021	FY2022	Increase/ Decrease	Percent Change
Academic Year - 2 Semesters					
Room and Board - Predominant Plan		\$9,672	\$9,915	\$243	2.5%
Traditional double room (average)		6,722	6,876	154	2.3%
Tiger Plan Plus		2,950	3,039	89	3.0%
Range of Plan Options					
Housing Options	High	\$9,995	\$10,275	Single/Double suite open over breaks	
Housing Options	Low	5,999	6,105	Double (low cost)	
Meal Plan Options	High	3,400	3,502	Tiger Plan Platinum	
Meal Plan Options	Low	1,650	1,700	Tiger Plan	

Room and Board Plans		UMKC			
		FY2021	FY2022	Increase/ Decrease	Percent Change
Academic Year - 2 Semesters					
Room and Board - Predominant Plan		10,881	\$11,005	\$124	1.1%
Traditional Double A/C		7,378	7,378	-	0.0%
180 Meal Block w/\$175 Flex per semester		3,504	3,627	123	3.5%
Range of Plan Options					
Housing Options	High	\$11,629	\$12,210	Single room apartment	
Housing Options	Low	7,378	7,378	Double A/C	
Meal Plan Options	High	3,774	3,906	140 block with \$300 flex/sem	
Meal Plan Options	Low	3,371	3,489	12 Meal Plan - \$175 flex/sem	

Room and Board Rates		S&T			
		FY2021	FY2022	Increase/ Decrease	Percent Change
Academic Year - 2 Semesters					
Room and Board - Predominant Plan		\$10,360	\$10,570	\$210	2.0%
Renovated Double		6,960	7,100	140	2.0%
225 Meals plus \$150 DBD/semester		3,400	3,470	70	2.1%
Range of Plan Options					
Housing Options	High	\$9,490	\$9,600	Single University Commons	
Housing Options	Low	5,500	5,500	Double Basement	
Meal Plan Options	High	3,760	3,840	All Access plus \$100 DBD/sem	
Meal Plan Options	Low	1,950	1,990	Declining Balance Dollars	

Room and Board Plans		UMSL			
		FY2021	FY2022	Increase/ Decrease	Percent Change
Academic Year - 2 Semesters					
Room and Board - Predominant Plan		\$10,411	\$10,606	\$195	1.9%
Single Room		6,790	6,858	68	1.0%
100 Block Meals - DBD \$350/semester		3,621	3,748	127	3.5%
Range of Plan Options (1)					
Housing Options	High	\$6,790	\$6,858	Oak Hall Single	
Housing Options	Low	4,750	4,800	Villa Honors & Optometry only	
Meal Plan Options	High	4,182	4,328	200 Block Meals DBD \$150/sem	
Meal Plan Options	Low	3,621	3,748	100 Block Meals DBD \$350/sem	

(1) Meal plan costs are still under negotiation with third-party vendor but will not increase more than stated rate on following tables

MU Changes in Housing & Dining Contract Rates (continued)

Family Student Housing (Per Month)	FY2021	FY2022	Increase/ Decrease	Percent Change
Manor House Apartments				
1 Bedroom Efficiency	\$ 550	\$ 565	\$ 15	2.7%
1 Bedroom	640	655	15	2.3%
2 Bedroom	770	790	20	2.6%
Tara Apartments				
1 Bedroom (Basic)	\$ 590	\$ 605	\$ 15	2.5%
1 Bedroom (Basic with Laundry)	630	645	15	2.4%
2 Bedroom (Basic)	635	650	15	2.4%
2 Bedroom (Basic with Laundry)	640	655	15	2.3%
2 Bedroom (Large)	665	670	5	0.8%
2 Bedroom (Large with Laundry)	710	730	20	2.8%
2 Bedroom (Large furnished, utilities included)	850	870	20	2.4%

February 4, 2021

**University of Missouri - Kansas City, Proposed Changes in Housing & Dining Contract Rates for FY2022
Effective Beginning with the 2021 Summer Session**

Room and Board Plans				
Academic Year - 2 Semesters	FY2021	FY2022	Increase/ Decrease	Percent Change
Predominant Plan				
Room and Board	\$ 10,881	\$ 11,005	\$ 124	1.1%
Traditional Double - A/C	7,378	7,378	0	0.0%
Meal Plan Block 180 Meal w/\$175 Flex per sem	3,504	3,627	123	3.5%
Meal Plans Defined				
Meal Plan 1 - 15 meal - w/\$125 Flex/sem	\$ 3,522	\$ 3,645	\$ 123	3.5%
Meal Plan 2 - 12 meal - w/\$175 Flex/sem	3,371	3,489	118	3.5%
Meal Plan 3 - 180 Block Meal w/ \$175 Flex/sem	3,503	3,626	123	3.5%
Meal Plan 4 - 160 Block Meal w/\$200 Flex/sem	3,503	3,626	123	3.5%
Meal Plan 5 - 140 Block Meal w/\$300 Flex/sem	3,774	3,906	132	3.5%
Housing Options - Regular Academic Year (Two Semesters)				
Johnson Hall				
Double A/C	\$ 7,378	\$ 7,378	\$ -	0.0%
Single Private Bath A/C	9,325	9,326	1	0.0%
Single Shared Bath A/C	9,121	9,122	1	0.0%
Oak Street				
Double A/C	\$ 7,378	\$ 7,378	\$ -	0.0%
Single Private Bath A/C	9,325	9,326	1	0.0%
Single Shared Bath A/C	9,121	9,122	1	0.0%
Hospital Hill Apts				
Quad Apts	\$ 9,240	\$ 9,702	\$ 462	5.0%
Double Apt	10,530	11,056	526	5.0%
Single Apt	11,629	12,210	581	5.0%
UMKC Homes Rockhill (3rd Party)				
Double Apt	\$ 9,303	\$ 10,698	\$ 1,395	15.0%
Summer Session				
Oak Street East - Room Only				
Double A/C	\$ 1,752	\$ 1,752	\$ -	0.0%
Single Private Bath A/C	2,214	2,214	-	0.0%
Single Shared Bath A/C	2,166	2,166	-	0.0%
Johnson Hall - Room Only				
Double A/C	\$ 1,752	\$ 1,752	\$ -	0.0%
Single Private Bath A/C	2,215	2,215	-	0.0%
Single Shared Bath A/C	2,166	2,166	-	0.0%
Hospital Hill Apts				
Quad Apt	\$ 1,908	\$ 2,003	\$ 95	5.0%
Double Apt	2,175	2,284	109	5.0%
Single Apt	2,402	2,522	120	5.0%
UMKC Homes Rockhill				
Double Apt	\$ 1,861	\$ 2,140	\$ 279	15.0%

February 4, 2021

Missouri S&T, Proposed Changes in Housing & Dining Contract Rates for FY2022
Effective Beginning with the 2021 Summer Session

Room and Board Rates			Increase/ Decrease	Percent Change
Academic Year - 2 Semesters	FY2021	FY2022		
Predominant Plan				
Room and Board	\$ 10,360	\$ 10,570	\$ 210	2.0%
Thomas Jefferson North Renovated Double	6,960	7,100	140	2.0%
Meal Plan 3 225 Meals plus \$150 DBD	3,400	3,470	70	2.1%
Meal Plans Defined				
Meal Plan 1 Declining Balance Dollars	\$ 2,760	\$ 2,820	\$ 60	2.2%
Meal Plan 2 All Access plus \$100 DBD	3,760	3,840	80	2.1%
Meal Plan 3 225 Meals plus \$150 DBD	3,400	3,470	70	2.1%
Meal Plan 4 150 Meals plus \$280 DBD	2,920	2,980	60	2.1%
Meal Plan 5 Declining Balance Dollars	1,950	1,990	40	2.1%
Housing Options - Regular Academic Year (Two Semesters)				
Farrar Hall Co-op				
Double	\$ 6,730	\$ 6,730	\$ -	0.0%
Single	8,100	8,100	-	0.0%
Double Basement	5,500	5,500	-	0.0%
Residential College Suites				
Double Suite	\$ 7,970	\$ 8,150	\$ 180	2.3%
Double Deluxe Suite	8,320	8,320	-	0.0%
Single Deluxe Suite	9,480	9,570	90	0.9%
Triple	5,980	6,100	120	2.0%
Single Bed in Triple Room	8,730	8,930	200	2.3%
Double as a Single	9,680	9,570	(110)	-1.1%
Thomas Jefferson North				
Double Room	\$ 6,960	\$ 7,100	\$ 140	2.0%
Thomas Jefferson South				
Double Room	\$ 7,100	\$ 7,270	\$ 170	2.4%
Large Double Room	7,350	7,520	170	2.3%
Single Room	8,000	8,210	210	2.6%
Triple Room	5,630	5,760	130	2.3%
Miner Village Apartments				
4 Bedroom Apartments	\$ 8,220	\$ 8,400	\$ 180	2.2%
2 Bedroom Apartments	8,840	8,900	60	0.7%
University Commons				
Double	\$ 8,000	\$ 8,210	\$ 210	2.6%
Single	9,490	9,600	110	1.2%
Rolla Suites				
Single Efficiency	\$ 8,130	\$ 8,370	\$ 240	3.0%
Single Studio	8,880	8,880	-	0.0%

February 4, 2021

S&T Changes in Housing & Dining Contract Rates (continued)

Summer Session Combined Room and Board Rates	FY2021	FY2022	Increase/ Decrease	Percent Change
University Commons--rate includes 100 Miner Bucks				
Single	\$ 1,030	\$ 1,040	\$ 10	1.0%
Double	770	775	5	0.6%

University of Missouri - St. Louis, Proposed Changes in Housing & Dining Contract Rates for FY2022
Effective Beginning with the 2021 Summer Session

Room and Board Plans					
Academic Year - 2 Semesters	FY2021	FY2022	Increase/ Decrease	Percent Change	
Predominant Plan					
Room and Board	\$ 10,411	\$ 10,606	\$ 195	1.9%	
Oak Single Room	6,790	6,858	68	1.0%	
100 Block Meals - \$350 declining balance/sem	3,621	3,748	127	3.5%	
Meal Plans Defined (1)					
100 Block Meals - DBD \$350/sem	\$ 3,621	\$ 3,748	\$ 127	3.5%	
150 Block Meals - DBD \$250/sem	4,070	4,212	142	3.5%	
200 Block Meals - DBD \$150/sem	4,182	4,328	146	3.5%	
All Declining Balance Dollars (DBD)	3,641	3,768	127	3.5%	
Housing Options - Regular Academic Year (Two Semesters)					
Oak Hall					
Double Room	\$ 5,450	\$ 5,505	\$ 55	1.0%	
Double Room Dept and Student Leader	4,900	4,950	50	1.0%	
Single Room	6,790	6,858	68	1.0%	
Single Room Dept and Student Leader	6,110	6,172	62	1.0%	
Villa Honors & Optometry only	\$ 4,750	\$ 4,800	\$ 50	1.1%	
Summer Session - Room Only					
Oak Hall Double Room - LL	\$ 1,230	\$ 1,230	\$ -	0.0%	
Oak Hall Single Room	1,540	1,540	-	0.0%	
Villa Honors & Optometry only	1,080	1,080	-	0.0%	
Family Student Housing (Per Month)					
Mansion Hill 1 Bedroom Furnished	\$ 876	\$ 885	\$ 9	1.0%	
Mansion Hill 1 Bedroom Unfurnished	715	722	7	1.0%	
Mansion Hill 2 Bedroom Individual Furnished	1,076	1,098	22	2.0%	
Mansion Hill 2 bedroom Individual Unfurnished	914	933	19	2.0%	
Mansion Hill 2 Bedroom Furnished	537	548	11	2.0%	
Mansion Hill 2 Bedroom Unfurnished	459	468	9	2.0%	
Mansion Hill Student Leader 1 Bedroom Furnished	806	814	8	1.0%	
Mansion Hill Student Leader 1 Bedroom Unfurnished	644	651	7	1.0%	
Mansion Hill Student Leader 2 Bedroom Indiv. Furnished	996	1,016	20	2.0%	
Mansion Hill Student Leader 2 Bedroom Indiv. Unfurnished	817	834	17	2.0%	
Mansion Hill Student Leader 2 Bedroom Furnished	498	508	10	2.0%	
Mansion Hill Student Leader 2 Bedroom Unfurnished	417	426	9	2.0%	
Mansion Hill Efficiency Unit	570	576	6	1.1%	
Mansion Hill Loft Unit	660	667	7	1.1%	

(1) Meal plan costs are still under negotiation with third-party vendor but will not increase more than 3.5% (CPI Food Away from Home increase). Food Service Provider will go out on RFP June 2021

February 4, 2021

University of Missouri-Columbia
Housing System Income Statements

	Actual			Projection	Forecast	
	FY2018	FY2019	FY2020	FY2021	FY2022	FY2023
Revenues						
Meal Contracts	\$ 17,871,081	\$ 18,537,194	\$ 14,525,229	\$ 18,647,353	\$ 17,300,001	\$ 19,349,609
Room Contracts	34,936,539	38,262,407	45,688,866	47,278,498	45,557,554	46,240,917
Apartment Rental	2,283,028	2,218,044	2,018,998	2,097,048	2,314,656	2,349,376
Other	6,549,832	6,949,963	3,462,478	4,637,025	9,515,827	10,165,686
Total Revenues	61,640,480	65,967,608	65,695,571	72,659,924	74,688,038	78,105,588
Scholarships/Waivers	(2,462,447)	(4,308,812)	(3,138,113)	(3,449,498)	(2,890,452)	(2,933,209)
One-Time CARES reimbursement			4,458,894	3,334,068		
Net Revenue	\$ 59,178,033	\$ 61,658,796	\$ 67,016,352	\$ 72,544,494	\$ 71,797,586	\$ 75,172,379
Expenditures & Transfers						
Salaries & Wages	9,199,069	8,401,190	9,222,828	8,876,098	9,266,508	9,398,465
Staff Benefits	2,215,777	2,076,337	2,938,285	3,100,690	3,192,209	3,237,427
Total Compensation	11,414,846	10,477,527	12,161,113	11,976,788	12,458,717	12,635,891
COGS	6,727,068	7,042,685	6,144,449	7,268,582	6,414,509	7,566,035
Utilities	5,513,333	5,861,101	5,675,866	5,887,086	5,914,000	6,045,139
Maintenance	3,302,221	3,994,827	4,132,137	4,257,540	4,329,730	4,423,824
Rent/Lease Equipment & Space	273,288	460,943	4,033,367	5,283,634	3,972,436	3,976,436
Other	9,820,578	9,618,823	13,133,481	13,305,768	13,022,111	13,331,147
Total Expenditures	37,051,334	37,455,905	45,280,414	47,979,398	46,111,502	47,978,474
Net Operating Income	\$ 22,126,699	\$ 24,202,891	\$ 21,735,938	\$ 24,565,096	\$ 25,686,084	\$ 27,193,905
Debt Service	(22,574,177)	(22,658,900)	(22,960,975)	(22,956,187)	(22,956,187)	(23,223,824)
Change in Net Position before Transfers	\$ (447,478)	\$ 1,543,991	\$ (1,225,037)	\$ 1,608,909	\$ 2,729,897	\$ 3,970,081
Debt Service Coverage	0.98	1.07	0.95	1.07	1.12	1.17
Transfers for Capital Investment	(3,811)	(1,533,538)	(1,946,095)	(1,308,909)	(2,429,897)	(3,670,081)
Other Transfers	451,289	(10,453)	3,171,132	(300,000)	(300,000)	(300,000)
Change in Net Position	-	-	-	-	-	-
Occupancy Statistics						
Residence Hall Occupancy	4,543	5,454	6,686	6,463	5,922	5,922
Residence Hall Capacity	4,962	5,896	6,965	7,182	6,580	6,580
Percent of Capacity	91.6%	92.5%	96.0%	90.0%	90.0%	90.0%
Apartment Occupancy	346	288	282	282	282	282
Apartment Capacity	386	296	296	296	296	296
Percent of Capacity	89.6%	97.3%	95.3%	95.3%	95.3%	95.3%

Missouri S&T
Housing System Income Statements

	Actual			Projection	Forecast	
	FY2018	FY2019	FY2020	FY2021	FY2022	FY2023
Revenues						
Meal Contracts	\$ 5,437,584	\$ 5,399,651	\$ 4,847,998	\$ 4,700,000	\$ 4,794,000	\$ 5,043,288
Room Contracts	15,713,535	14,504,326	11,108,588	13,350,000	13,617,000	14,325,084
Apartment Rental						
Other	1,222,419	1,062,264	993,649	500,000	750,000	950,000
Total Revenues	22,373,537	20,966,240	16,950,235	18,550,000	19,161,000	20,318,372
Scholarships/Waivers	(708,572)	(716,780)	(919,953)	(930,000)	(948,600)	(967,572)
One-Time Pandemic Impact				(500,000)		
Net Revenue	\$ 21,664,965	\$ 20,249,461	\$ 16,030,282	\$ 17,120,000	\$ 18,212,400	\$ 19,350,800
Expenditures & Transfers						
Salaries & Wages	2,984,148	2,756,075	1,924,073	1,550,000	1,650,750	1,683,765
Staff Benefits	881,131	839,629	801,595	575,000	612,375	624,623
Total Compensation	3,865,279	3,595,704	2,725,669	2,125,000	2,263,125	2,308,388
COGS	5,194,054	4,919,077	4,098,421	4,454,640	4,543,733	4,780,007
Utilities	1,557,713	1,499,030	1,257,527	1,457,640	1,486,793	1,516,529
Maintenance	517,764	810,415	1,032,794	1,060,000	1,365,000	1,392,300
Rent/Lease Equipment & Space	499,526	270,035	9,491	-	-	-
Other	1,784,234	1,533,490	1,452,165	1,800,000	1,836,000	1,872,720
Total Expenditures	13,418,571	12,627,750	10,576,066	10,897,280	11,494,651	11,869,943
Net Operating Income	\$ 8,246,394	\$ 7,621,711	\$ 5,454,216	\$ 6,222,720	\$ 6,717,749	\$ 7,480,857
Debt Service	(6,439,039)	(6,434,843)	(6,435,100)	(6,435,100)	(6,436,293)	(6,510,480)
Change in Net Assets before Transfers	\$ 1,807,354	\$ 1,186,867	\$ (980,884)	\$ (212,380)	\$ 281,456	\$ 970,377
Debt Service Coverage	1.28	1.18	0.85	0.97	1.04	1.15
Transfers for Capital Investment	(1,000,000)	(683,346)	(500,000)	-	(100,000)	(650,000)
Other Transfers	(46,400)	(20,400)	25,000	-	-	-
Change in Net Position	760,954	483,121	(1,455,884)	(212,380)	181,456	320,377
Occupancy Statistics						
Residence Hall Occupancy	2,195	2,069	1,850	1,800	1,800	1,875
Residence Hall Capacity	2,451	2,385	2,300	2,300	2,300	2,300
Percent of Capacity	89.6%	86.8%	80.4%	78.3%	78.3%	81.5%
Apartment Occupancy	n/a	n/a	n/a	n/a	n/a	n/a
Apartment Capacity	n/a	n/a	n/a	n/a	n/a	n/a
Percent of Capacity	n/a	n/a	n/a	n/a	n/a	n/a

University of Missouri Kansas City
Housing System Income Statements

	Actual			Projection	Forecast	
	FY2018	FY2019	FY2020	FY2021	FY2022	FY2023
Revenues						
Meal Contracts	\$ 3,360,536	\$ 3,434,524	\$ 2,910,471	\$ 2,100,000	\$ 2,732,412	\$ 2,987,577
Room Contracts	5,633,582	5,397,455	5,988,910	4,609,351	5,350,536	5,805,208
Apartment Rental	5,171,622	3,725,652	3,556,187	2,023,005	2,613,459	2,893,578
Other	688,794	577,774	388,459	171,785	272,800	438,660
Total Revenues	14,854,534	13,135,405	12,844,027	8,904,141	10,969,207	12,125,023
Scholarships/Waivers	(473,122)	(483,932)	(516,630)	(400,074)	(422,369)	(433,001)
One-Time Pandemic Impact						
Net Revenue	\$ 14,381,412	\$ 12,651,473	\$ 12,327,397	\$ 8,504,067	\$ 10,546,838	\$ 11,692,023
Expenditures & Transfers						
Salaries & Wages	1,108,591	858,721	710,687	745,719	809,657	840,538
Staff Benefits	292,805	217,013	220,372	218,292	239,668	250,380
Total Compensation	1,401,396	1,075,734	931,058	964,011	1,049,325	1,090,918
COGS	3,471,762	3,098,699	2,662,884	2,067,962	2,662,884	2,911,556
Utilities	1,230,259	1,000,776	812,747	624,506	675,702	689,216
Maintenance	2,286,744	528,977	932,000	934,162	965,438	1,260,507
Rent/Lease Equipment & Space	181,331	2,163,534	2,248,722	235,818	235,440	240,149
Other	747,347	671,809	737,214	872,230	1,093,422	1,201,094
Total Expenditures	9,318,839	8,539,529	8,324,626	5,698,690	6,682,211	7,393,440
Net Operating Income	\$ 5,062,573	\$ 4,111,944	\$ 4,002,771	\$ 2,805,378	\$ 3,864,627	\$ 4,298,583
Debt Service	(6,439,039)	(6,434,843)	(6,435,100)	(6,435,100)	(6,436,293)	(6,510,480)
Change in Net Assets before Transfers	\$ (1,376,466)	\$ (2,322,899)	\$ (2,432,329)	\$ (3,629,723)	\$ (2,571,667)	\$ (2,211,897)
Debt Service Coverage	0.79	0.64	0.62	0.44	0.60	0.66
Transfers for Capital Investment	-	-	-	-	-	-
Other Transfers	270,119	131	192,192	(79,117)	(86,131)	(87,854)
Change in Net Position	(1,106,347)	(2,322,768)	(2,240,137)	(3,708,840)	(2,657,798)	(2,299,751)

Occupancy Statistics

Residence Hall Occupancy	786	729	778	566	715	759
Residence Hall Capacity	884	945	958	862	862	862
Percent of Capacity	88.9%	77.1%	81.2%	65.7%	82.9%	88.1%
Apartment Occupancy	557	357	338	201	230	241
Apartment Capacity	722	376	376	268	268	268
Percent of Capacity	77.1%	94.9%	89.9%	75.0%	85.8%	89.9%

University of Missouri St. Louis
Housing System Income Statements

	Actual			Projection	Forecast	
	FY2018	FY2019	FY2020	FY2021	FY2022	FY2023
Revenues						
Meal Contracts	\$ 1,201,780	\$ 1,318,106	\$ 992,781	\$ 801,891	\$ 1,170,728	\$ 1,346,311
Room Contracts	3,283,034	3,460,810	2,931,806	2,646,555	3,675,327	4,101,879
Apartment Rental						
Other	266,720	297,552	285,385	305,000	70,000	76,000
Total Revenues	4,751,534	5,076,468	4,209,972	3,753,446	4,916,055	5,524,190
Scholarships/Waivers	(236,583)	(676,532)	(650,006)	(416,823)	(350,177)	(380,432)
One-Time Pandemic Impact						
Net Revenue	\$ 4,514,951	\$ 4,399,937	\$ 3,559,966	\$ 3,336,623	\$ 4,565,878	\$ 5,143,758
Expenditures & Transfers						
Salaries & Wages	326,345	364,356	303,630	253,678	266,644	270,729
Staff Benefits	69,680	84,526	95,949	97,898	89,280	90,255
Total Compensation	396,025	448,882	399,579	351,576	355,924	360,984
COGS	1,222,147	1,325,548	1,068,644	801,891	1,170,728	1,346,311
Utilities	240,686	248,836	242,272	124,858	127,355	129,902
Maintenance	1,008,929	1,245,843	1,245,843	650,585	-	-
Rent/Lease Equipment & Space	-	-	-	-	-	-
Other	556,058	665,180	665,180	714,783	1,339,283	1,339,283
Total Expenditures	3,423,845	3,934,289	3,621,518	2,643,693	2,993,290	3,176,480
Net Operating Income	\$ 1,091,106	\$ 465,648	\$ (61,552)	\$ 692,930	\$ 1,572,588	\$ 1,967,278
Debt Service	(1,398,487)	(1,397,406)	(1,399,531)	(1,400,006)	(1,400,006)	(1,400,006)
Change in Net Assets before Transfers	\$ (307,381)	\$ (931,758)	\$ (1,461,083)	\$ (707,076)	\$ 172,582	\$ 567,272
Debt Service Coverage	0.78	0.33	(0.04)	0.49	1.12	1.41
Transfers for Capital Investment	(362,100)	(373,000)	454,437	(373,000)	(350,000)	(350,000)
Other Transfers	103,742	845,979	286,919	-	-	-
Change in Net Position	(565,739)	(458,779)	(719,727)	(1,080,076)	(177,418)	217,272

Occupancy Statistics

Residence Hall Occupancy	360	370	356	223	319	359
Residence Hall Capacity	448	455	447	421	421	447
Percent of Capacity	80.4%	81.3%	79.6%	53.0%	75.8%	80.3%
Apartment Occupancy	197	190	216	257	273	275
Apartment Capacity	222	222	257	283	290	290
Percent of Capacity	88.7%	85.6%	84.0%	90.8%	94.1%	94.8%

Fiscal Year 2022 Student Housing and Dining Rates

-- February 2021 --



FY2022 Housing & Dining Rates

- The rates were set to achieve a balance between maintaining financial sustainability of the housing and dining auxiliary and affordability for students.
- The rates are driven by various factors
 - Debt service
 - Future plant investments
 - Food, labor, and utility costs, and contractual arrangements with third-party vendors

FY2022 Housing & Dining Rates

MU

Predominant Plan

\$9,915 2.5%

R - \$6,876 2.3%

B - \$3,039 3.0%

Range

R - High \$10,275

R - Low \$6,105

B - High \$3,502

B - Low \$1,700

UMKC

Predominant Plan

\$11,005 1.1%

R - \$7,378 0.0%

B - \$3,627 3.5%

Range

R - High \$12,210

R - Low \$7,378

B - High \$3,906

B - Low \$3,489

Missouri S&T

Predominant Plan

\$10,570 2.0%

R - \$7,100 2.0%

B - \$3,470 2.1%

Range

R - High \$9,600

R - Low \$5,500

B - High \$3,840

B - Low \$1,990

UMSL

Predominant Plan

\$10,606 1.9%

R - \$6,858 1.0%

B - \$3,748 3.5%

Range

R - High \$6,858

R - Low \$4,800

B - High \$4,328

B - Low \$3,748

R-Room B-Board

Questions?

Project Approval
Research Commons – Thermal Plant
MU

The University of Missouri - Columbia requests project approval for the Research Commons Thermal Plant project (formerly titled the Research Commons Satellite Boiler Plant). Total project budget of \$9,000,000 is funded from MU Energy Management Capital Reserves.

The Research Commons Thermal Plant project will enhance the campus steam supply resiliency by placing a portion of the steam capacity generation in a location other than the power plant located at the north west corner of campus. The project will remove up to \$14.6 million of infrastructure cost by eliminating the need to replace a failing north steam main serving the Research Commons area (\$8.3 million) and replacing a boiler in the power plant which is at the end of its useful life (\$6.3 million).

This project will provide a 4,100 gross square feet thermal plant located in the southern portion of the Research Commons area to serve as a source of steam capacity for the campus. The boiler in this plant will provide up to 75,000 pounds per hour of reliable steam capacity for current and future growth of the campus, such as NextGen Precision Health Institute and the new Children's Hospital.

Rogers-Schmidt Engineering Company, P.C., St. Louis, Missouri is the recommended engineer for this project. Rogers-Schmidt has provided high quality engineering services for the University for many years on the district steam utility, both within the power plant and throughout campus in the buried steam distribution network. Their design team will include David Mason + Associates, Inc., St. Louis, Missouri (MBE) for architectural, civil engineering, and structural engineering.

The selection committee also interviewed Burns & McDonnell Engineering Company, Inc., Kansas City, Missouri; and Affiliated Engineering Incorporated, 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), and the calculated basic services fee is \$479,000 based upon 7.15% of the estimated \$6,700,000 construction cost.

Construction is expected to be completed in July 2023.

February 4, 2021

No. 3

Recommended Action - Project Approval, Research Commons – Thermal Plant, MU

It was recommended by President Mun Y. Choi, recommended by the Finance Committee, moved by Curator _____ and seconded by Curator _____, that the following action be approved:

the project approval for the Research Commons – Thermal Plant, MU

Funding of the project budget is from:

MU Energy Management Capital Reserves	<u>\$9,000,000</u>
Total	<u>\$9,000,000</u>

Roll call vote of the Committee: YES NO

Curator Hoberock
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

Roll call vote: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

February 4, 2021

Project Approval
Student Experience Center
Missouri S&T

The Missouri University of Science and Technology requests project and A/E approval for the Student Experience Center project. The total project budget of \$30,000,000, is funded by gifts.

One of the objectives identified in Missouri S&T's 2018 Strategic Plan is to "Increase the Quality of the Student Experience." The proposed new Student Experience Center supports this goal. The university currently lacks a central core for the student academic experience. The Havener Center accommodates many student needs but does not support non-departmental collaboration. Today, much of this function is housed in the Curtis Laws-Wilson Library. Because of this, the Library is not able to provide sufficient space for quiet, individual study. The Student Experience Center is intended to be the new "home" for Missouri S&T students and will provide student services and experiences to maximize career success, enhance student access to quality health and wellness programs and services; will improve the quality of the first-year experience; and will have a positive impact on first year retention rates.

The building will be a three story, 52,860 gross square feet (gsf) facility located south of the Havener Center. A bridge structure will physically connect the Student Experience Center with the Havener Center, while screening the existing loading dock. The entry to the Havener dock and service area will be reconfigured to enter from Bishop Avenue/Highway 63 as part of this project to ensure safe separation of these services from areas of pedestrian activity. The facility will provide various sized collaboration spaces from large (1,500 gsf) open study areas to small (100 gsf) rooms to accommodate smaller groups; a student lounge; multipurpose space; spaces for augmented reality and virtual reality; maker areas; and four active learning classrooms.

The project will include the demolition of the Bureau of Mines Buildings 1, 2, and 3 totaling 44,438 gsf. This will eliminate \$10.5M of facilities needs.

Dake Wells Architecture, Inc., Springfield, Missouri is the recommended architect for this project. Dake Wells team presented an overview of similar projects successfully completed by their team. The design team includes Ross & Baruzzini, Inc., St. Louis, Missouri for mechanical and plumbing engineering; Antella Consulting Engineers, Inc., Kansas City, Missouri (MBE/WBE) for electrical engineering; Structural Engineering Associates, Inc., Kansas City, Missouri for structural engineering; David Mason and Associates, Inc., St. Louis, Missouri (MBE) for civil engineering; SWT Design, Inc., St. Louis, Missouri for landscape design.

February 4, 2021

The selection committee also interviewed ACI Boland, Inc., St. Louis, Missouri; Cannon Design, Inc., St. Louis, Missouri; and Lamar Johnson Collaborative, LLC, St. Louis, Missouri.

The fee for basic architectural and engineering services has been determined by using the University of Missouri's "Architectural and Engineering Basic Services Fee Estimating Guidelines" at 5.8% of the \$22,355,310 construction cost or \$1,296,608. Additional services for landscape architecture and program verification are anticipated at \$79,685 for a total design fee of \$1,376,293.

The total construction cost is \$423/GSF and is expected to be complete by December 2023.



No. 4

Recommended Action - Project Approval, Student Experience Center, Missouri S&T

It was recommended by Chancellor Dehghani, 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 the Student Experience Center, Missouri S&T

Funding of the project budget is from:

Gifts	<u>\$30,000,000</u>
Total Funding	\$30,000,000

Roll call vote of the Committee: YES NO

Curator Hoberock
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

Roll call vote: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

February 4, 2021

Architect/Engineer Hiring
Indoor Practice Facility
MU

The University of Missouri – Columbia requests approval for Architect/Engineer hiring for the Indoor Practice Facility project. The total project budget of \$31,680,000 is expected to be funded primarily by philanthropy. A funding plan will be presented as part of the request for project approval.

Currently, the Devine Pavilion, constructed in 1998, serves as the only indoor practice area for all Mizzou athletic field turf/grass programs. This facility has many deficiencies related to the football program, most problematic is the short (70 yards) field. As the northernmost school in the SEC, a full-size indoor facility for practice is critical for the development of the football program. A new, full-size indoor football practice facility will not only benefit the football program but will also free up critical times in the Devine Pavilion for the baseball, softball, soccer and other athletic programs to train year-round.

A feasibility study was completed in January 2021. The selected site for the Mizzou Indoor Practice Facility (IPF) is adjacent to the Mizzou Football Facility, completed in 2019. By locating the new IPF nearby the football facility, the team is provided excellent access for indoor activities and maximum comprehensive training facilities by preserving both outdoor fields on the west side of the Missouri Athletic Training Complex.

The new 86,400 gross square feet (gsf) facility includes a full-size football field with appropriate run off distances at the endzones and sidelines for player safety. The field elevation is similar to the top elevation of the plyo ramp within the football weight room, providing easy transition between the indoor field and the training and locker room facilities. Additional program elements include restrooms, exam spaces, storage and support for this facility within the building. The site, allows access to an upper mezzanine, which provides amenities such as a viewing lobby and restrooms to be utilized on game days.

A design and construction schedule was identified in the study as 18 months utilizing a design/bid/build construction delivery method. Within that timeframe, an early mass excavation and site preparation package is planned to compress the construction schedule while maintaining opportunity for competitive bidding in the Mid-Missouri market. The schedule also anticipates the funding plan being finalized and project approval by the Board of Curators by May 2021.

HOK, Inc., Kansas City, Missouri, is the recommended architect for this project. HOK presented a well-balanced and experienced team with in-depth knowledge of this type of athletic facility. The design team includes Henderson Engineers, Inc., Kansas City, Missouri for mechanical, electrical, plumbing engineering; Thorton Thomasetti, Inc., Kansas City, Missouri for structural engineering; FSC, Inc., Overland Park, Kansas (MBE) for code consulting and fire protection; SK Design Group, Inc., Overland Park, Kansas

February 4, 2021

(MBE) for civil engineering; Turner & Townsend, Inc., Atlanta, Georgia for cost estimating.

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 (average complexity), and the calculated basic services fee is \$1,438,885. Additional services for multiple bid packages; an accelerated schedule with bi-weekly progress meetings, acoustic evaluation and design, coordination with Owner provided consultants and vendors is anticipated at \$120,000, for a total design fee of \$1,558,885.

No. 5

Recommended Action - Architect/Engineer Hire, Indoor Practice Facility, MU

It was recommended by President Mun Y. Choi, recommended by the Finance Committee, moved by Curator _____ and seconded by Curator _____, that the following action be approved:

the architect/engineer hire for the Indoor Practice Facility, MU

Funding of the project budget is TBD

Roll call vote of the Committee: YES NO

Curator Hoberock
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

Roll call vote: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

February 4, 2021

ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE

Robin R. Wenneker, Chair

Greg E. Hoberock

Jeff L. Layman

Phil H. Snowden

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:

1. Selection of Curators’ Distinguished Professors;
2. Approval and review of new degree programs;
3. 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;
4. Changes to university-level admissions requirements, academic standards, student services, and graduation requirements;
5. Quarterly and annual reports providing information on academic programs that have been added, deactivated, or deleted; and
6. 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. 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: April 9, 2020

Executive Summary

B.A. in Applied Psychology of Child Advocacy Studies (AP-CAST)

The Bachelor of Arts in Applied Psychology of Child Advocacy Studies (AP-CAST) is an applicable, innovative, and accessible new degree that prepares graduates to move into a variety of child serving sectors. With its academic home and foundation within the Department of Psychological Sciences, AP-CAST is built with a strong interdisciplinary focus enhanced by hands-on skill development, immersive learning experiences and mentoring from professionals in the workforce. This innovative degree will be one of only three known majors of its kind in the country. AP-CAST graduates will be vital additions to a broad array of service industries including child welfare, primary and behavioral healthcare, juvenile justice, education, child care, public policy, and law enforcement.

The AP-CAST degree charts a path to sustainable implementation of the University's primary commitment to serve all of the citizens of Missouri. During the last decade, and especially in the context of the current pandemic, exposure to trauma, particularly "ACES" or adverse childhood experiences, has been increasingly recognized as a significant and costly public health issue. Experts anticipate that interest in the field of trauma studies will grow "unabated" given the public's level of awareness of this prevalent challenge. However, significant concerns have been noted in the scope, consistency and timeliness of training for child serving professionals. AP-CAST will leverage its unique advantage of allowing student access to a university embedded, highly functioning Child Advocacy Center whose faculty and staff have earned a state and national reputation as experts in the field of child traumatic stress. The popular and innovative course designs include instruction through problem-based learning simulations and exercises within the program's 'Mock House' simulation lab utilizing actors as standardized clients; thus affording students authentic opportunities to hone their skills.

A steady and increasing demand for Child Advocacy Studies (CAST) courses justifies offering the proposed AP-CAST degree. Since approval of the certificate and minor in Fall 2014, CAST experienced a 246% increase in student enrollment growth with 51 CAST certificates and 66 CAST minors having been conferred to UMSL students. Currently, CAST courses enroll between 150 to 200 students and generate between 450 to 600 student credit hours each semester. Survey data collected for this proposal showed a strong interest in the major as evidenced by over 50% of the entire sample, and 74% of current CAST students and CAST alumni, indicating that they would have been 'extremely likely' or 'very likely' to consider enrolling in the AP-CAST degree, had it been available. Strong employer demand also justifies expanding the CAST program to include a baccalaureate degree. Projected growth in AP-CAST related fields is "High" in St. Louis, the state of Missouri and nationwide over the next eight years with an urgent need to fill open positions in rural communities. AP-CAST's commitment to offering the degree in a fully online format will help bridge this educational gap by increasing accessibility. Investments made by UM-St. Louis administrators have committed the financial resources needed to generate the momentum necessary to achieve the program's outcomes and reach a positive revenue threshold by the end of its second year.

No. 1

Recommended Action – B.A. Applied Psychology of Child Advocacy Studies – UMSL

It was recommended by Sr. Associate Vice President Steve Graham, endorsed by President of the University of Missouri Mun 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 the University of Missouri – St. Louis be authorized to submit the attached proposal for a Bachelor of Arts in Applied Psychology of Child Advocacy Studies to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee: YES NO

Curator Hoberock

Curator Layman

Curator Snowden

Curator Wenneker

The motion _____.

Roll call vote of Board: YES NO

Curator Brncic

Curator Chatman

Curator Graham

Curator Hoberock

Curator Layman

Curator Snowden

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

New Degree Program Proposal:

**Bachelor of Arts in
Applied Psychology of Child Advocacy Studies**

University of Missouri – St. Louis

Contents

Executive Summary 5

1. Introduction 6

2. Fit with University Mission and Other Academic Programs 8

 2.A. Alignment with Mission and Goals..... 8

 2.B. Duplication and Collaboration Within Campus and Across System..... 9

3. Business-Related Criteria and Justification..... 10

 3.A. Market Analysis..... 10

 3.A.1. Need for Program 10

 3.A.2. Student Demand for the Program..... 14

 3.B. Financial Projections 18

 3.B.1. Expenses – Additional Resources Needed..... 18

 3.B.2. Revenue 19

 3.B.3. Net Revenue..... 20

 3.B.4. Financial and Academic Viability 21

 3.C. Business and Marketing Plan: Recruiting and Retaining Students..... 22

4. Institutional Capacity 24

5. Program Characteristics..... 24

 5.A. Program Outcomes..... 24

 5.B. Structure 24

 5.C. Program Design and Content..... 25

 5.D. Program Goals and Assessment..... 26

 5.E. Student Preparation 27

 5.F. Faculty and Administration..... 27

 5.G. Alumni and Employer Survey..... 27

 5.H. Program Accreditation..... 27

Appendices.....29

(Some appendices are excluded from these materials for length and clarity and are available upon request.)

Executive Summary

The Bachelor of Arts in Applied Psychology of Child Advocacy Studies (AP-CAST) is an applicable, innovative, and accessible new degree that prepares graduates to move into a variety of child serving sectors. With its academic home and foundation within the Department of Psychological Sciences, AP-CAST is built with a strong interdisciplinary focus enhanced by hands-on skill development, immersive learning experiences and mentoring from professionals in the workforce. This innovative degree will be one of only three known majors of its kind in the country. AP-CAST graduates will be vital additions to a broad array of service industries including child welfare, primary and behavioral healthcare, juvenile justice, education, child care, public policy, and law enforcement.

The AP-CAST degree charts a path to sustainable implementation of the University's primary commitment to serve all of the citizens of Missouri. During the last decade, and especially in the context of the current pandemic, exposure to trauma, particularly "ACES" or adverse childhood experiences, has been increasingly recognized as a significant and costly public health issue. Experts anticipate that interest in the field of trauma studies will grow "unabated" given the public's level of awareness of this prevalent challenge. However, significant concerns have been noted in the scope, consistency and timeliness of training for child serving professionals. AP-CAST will leverage its unique advantage of allowing student access to a university embedded, highly functioning Child Advocacy Center whose faculty and staff have earned a state and national reputation as experts in the field of child traumatic stress. The popular and innovative course designs include instruction through problem-based learning simulations and exercises within the program's 'Mock House' simulation lab utilizing actors as standardized clients; thus affording students authentic opportunities to hone their skills.

A steady and increasing demand for Child Advocacy Studies (CAST) courses justifies offering the proposed AP-CAST degree. Since approval of the certificate and minor in Fall 2014, CAST experienced a 246% increase in student enrollment growth with 51 CAST certificates and 66 CAST minors having been conferred to UMSL students. Currently, CAST courses enroll between 150 to 200 students and generate between 450 to 600 student credit hours each semester. Survey data collected for this proposal showed a strong interest in the major as evidenced by over 50% of the entire sample, and 74% of current CAST students and CAST alumni, indicating that they would have been 'extremely likely' or 'very likely' to consider enrolling in the AP-CAST degree, had it been available. Strong employer demand also justifies expanding the CAST program to include a baccalaureate degree. Projected growth in AP-CAST related fields is "High" in St. Louis, the state of Missouri and nationwide over the next eight years with an urgent need to fill open positions in rural communities. AP-CAST's commitment to offering the degree in a fully online format will help bridge this educational gap by increasing accessibility. Investments made by UM-St. Louis administrators have committed the financial resources needed to generate the momentum necessary to achieve the program's outcomes and reach a positive revenue threshold by the end of its second year.

1. Introduction

Academic components and career paths. The Bachelor of Arts in Applied Psychology of Child Advocacy Studies (AP-CAST) is a proposed new degree at UMSL designed for students moving into the wide variety of employment sectors that serve children, youth and families. The decision to propose this program as an Applied Psychology degree within the Department of Psychological Sciences is both intentional and strategic. The AP-CAST degree at UMSL shares all the features that prompted the American Psychological Association to renew its commitment to Applied Psychology degree programs in 2019 (e.g. interdisciplinary faculty, skill mastery, real world issue focus) and complements the existing BA and BS degrees currently being offered within the Department of Psychological Sciences. The AP-CAST degree, like the BA and BS, is built on a strong foundation of psychological theories and principles but is differentiated by interdisciplinary, hands on skill building. Whereas existing degrees in Psychology and Social Work provide solid options for students seeking a versatile, generalist preparation, AP-CAST is an alternative for learners seeking a child specialty outside of traditional Education degrees. AP-CAST will appeal to students looking for immediate workforce readiness, immersive learning experiences, and mentoring from professionals.

AP-CAST graduates will possess the knowledge, skills and expertise to analytically think through and solve the real-world challenges facing today's child serving industries, including the stressors associated with the COVID-19 crisis. Upon graduation, these students will transition seamlessly into the workforce as child protection specialists, case managers, applied behavior analysts, educators, clinical intake specialists, childcare workers, nurses, family advocates, medical support staff, policy analysts, residential and detention staff and law enforcement officers. For those who choose to continue their education, the AP-CAST degree will prepare them for graduate studies in counselling, psychology, criminal justice, and social work, and allow their entry into professions involving mental health, law, healthcare, non-profit administration, and public policy.

Evolution of the program and reason for proposal. In 1997, UMSL's administration made the bold decision to build and support a Child Advocacy Center on our campus. With funding from philanthropist Kathy J. Weinman-Steve, Children's Advocacy Services of Greater St. Louis (CASGSL) soon reached national accreditation status and began coordinating the multidisciplinary teams that responded to child abuse and neglect allegations throughout the St. Louis metropolitan area. Each year CASGSL staff conduct approximately 650 forensic interviews for child protection and law enforcement and 8,000 sessions of counseling for victims of child abuse, neglect or other traumatic events.

While maintaining its commitment to direct service to the community and training for graduate students in psychology, social work and counseling, in 2010, CASGSL

made the decision to better align the Center with the University's core undergraduate teaching mission. In the summer of 2011, a team from CASGSL made site visits to two Child Advocacy Studies (CAST) programs offered by Winona State University and Montclair State University. From these visits grew the five CAST courses, the CAST minor, and the CAST certificate now routinely offered to UMSL students. Demand for CAST courses, grew sharply and feedback began to accumulate--from students who expressed that they "wished I had known about CAST sooner," from CAST alumni remarking about how well the CAST courses prepared them for the field, as well as employers' requests for "more CAST students." Conversations with community partners throughout rural Missouri were punctuated by comments focusing on the great need to educate more students who would build and sustain a rural workforce. Through this dialogue, the potential for establishing AP-CAST and considering it for the University System's eLearning initiative was soon recognized.

Preliminary steps toward the degree. In Fall 2014, the UMSL Faculty Senate approved an undergraduate certificate (19 hours) and minor (15 hours) in Child Advocacy Studies (CAST). All current CAST courses are offered at the 3000 and 4000 level and include:

- CAST 3290: Traumatic Stress in Childhood and Adolescence
- CAST 4398: Child Maltreatment: A Multidisciplinary Approach
- CAST 4498: Forensic Investigations in Child Abuse
- CAST 4598: Assessment and Intervention in Child Abuse and Neglect
- CAST 4698: Internship in Child Advocacy Studies
- CAST 4700: Internship Seminar in Child Advocacy Studies

In less than six years since approval, 51 CAST certificates and 66 CAST minors have been conferred to UMSL students indicating that it is a well-established program within the University. Over the last two years, CAST faculty committed to offering the certificate and minor in an online format. The COVID-19 crisis accelerated our ability to accomplish this goal. Today, all of the current CAST courses have successfully been transitioned into an online format and are offered at least once a year in either an online or blended/hybrid platform.

The proposed new curriculum will be developed through lower division courses designed to support and complement the existing CAST courses. Coupled with a strong core in the psychological sciences, these new courses will provide a broader theoretical and methodological foundation for AP-CAST graduates in diversity, policy, ethics and industry specific communication. These additional courses will allow the existing upper division courses to focus more on the mastery of skills and expertise distinctively expected within Applied Psychology degree programs.

UMSL's current CAST faculty stand ready to steer the program through this expansion; evaluation of additional faculty lines in the future will be solely contingent on program growth.

Persons responsible for the success of the program. Jerry Dunn, Ph.D., Clinical Professor of Psychological Sciences, and the Executive Director of the Center, will be responsible for implementing and monitoring the program's outcomes. The AP- CAST program will be housed within the College of Arts and Sciences Department of Psychological Sciences. Dorothy Haskell, MSW, LCSW will continue to serve as the part-time CAST Project Director.

2. Fit with University Mission and Other Academic Programs

2.A. Alignment with Mission and Goals

As the state's only land grant University, the UM System's mission is clear: "Scholarship and teaching are daily driven by a commitment to public service—the obligation to produce and disseminate knowledge that will improve the quality of life in the state, the nation and the world". The AP-CAST degree outlined in the following pages follows this path. Even more literally, the AP- CAST degree aligns directly with the mission of the UMSL campus: "We transform lives." By delivering educational experiences that "inform, prepare, challenge and inspire" the AP-CAST curriculum helps transform students who go on to transform the lives of some of our region's most vulnerable children, youth, and families, empowering them to overcome adversity. The proposal has received strong support from the university administration, including the Chancellor of UMSL and the UMSL Provost and Executive Vice Chancellor for Academic Affairs. Chancellor Sobolik details how this program aligns with our "anchor mission by preparing our students in an area that is in high demand not only in St. Louis but also across the state of Missouri where rural communities often have understaffed social service agencies." Provost Mora sees the strength of how the proposal is "building on the strong reputation of UMSL's accredited Child Advocacy Center and [will be] one of only three programs of its kind in the world." This proposal also supports a number of specific goals outlined in the 2018-2023 UMSL Strategic Plan, including:

Goal 1: Increase the number of educated citizens in the St. Louis region.

Given the specialized skills focus of the AP-CAST degree, we will target new markets of students who may not have considered higher education as an option previously.

Goal 3: Increase flexible pathways to degree completion.

Even before COVID-19, CAST courses had already shifted to support online, blended, and evening formats. The course additions proposed to round out the new AP-CAST major will be simultaneously rolled out in the classroom, online and in hybrid formats to attract traditional four year as well as transfer students.

Goal 6: Enhance academic quality and learning experiences.

Several CAST courses utilize the program's simulation lab, known as our "Mock House," allowing the closest to real life experience possible for practicing skills. The highly popular, interactive Problem Based Learning Simulations embedded in the CAST classes have been recently modified and piloted to make them fully accessible within a virtual, online format.

Goal 8: Expand and enhance student employment and internships.

The CAST Certificate requires a child focused internship in the student's home discipline and our students are placed in a variety of social service settings throughout the St. Louis metropolitan area each semester. The proposed AP-CAST degree will extend that requirement to all AP-CAST majors, thus increasing the overall number of internships available to UMSL students.

Goal 9: Decrease debt at graduation and loan default rates.

Virtually all CAST courses use open/affordable educational resources, relying primarily on scholarly articles available through the library system at no charge to students. Offering online/hybrid sections allows students flexibility to complete degrees while accommodating employment responsibilities, thus reducing the need to secure additional student loans.

Recognition of the innovative curriculum as well as the substantial and sustained growth of the CAST program over the past five years has garnered the attention of administrators across the UMSL campus. The Department of Psychological Sciences, noting the unique attributes and advantages of creating a major in Applied Psychology which would appeal to its diverse student population, have fully embraced the AP-CAST proposal. Appreciating the anticipated growth and innovation inherent in the program, both the Office of the Provost and Office of the Dean of the College of Arts and Sciences have championed the AP-CAST degree, have made it a priority on our campus, and have committed the resources necessary to launch the program.

2.B. Duplication and Collaboration Within Campus and Across System

No Applied Psychology degrees were found to be available to UM students nor were they listed as offerings at other major universities in Missouri. Thus, there is no duplication within the UM System. In fact, AP-CAST will be one of three known Child Advocacy Studies majors of its kind in the country (Montclair State University; Florida Tech Online). The skill based, applied nature of the proposed degree, is not replicated elsewhere, making approval of the AP-CAST degree innovative and progressive. No other major, minor or certificate CAST program that we are aware of has access to a University embedded, nationally accredited Child Advocacy Center whose faculty help operate and work in direct service capacities within the organization. UMSL AP-

CAST students have the opportunity to learn, first hand, from the community based multidisciplinary team of professionals in law enforcement, child protection, medicine, family advocacy and mental health who serve as mentors and guest speakers in UMSL CAST courses. UMSL's CAST program enjoys a long history of collaborating with programs on our campus that complement our efforts. Through the existing CAST certificate and minor programs, we have developed strong working relationships with colleagues in social work, criminal justice, sociology, education and nursing. Classes are cross-listed and the Center offers practicum opportunities for students from different majors.

3. Business-Related Criteria and Justification

3.A. Market Analysis

3.A.1. Need for Program

Every day, almost 1.5 million Missouri children interact with professionals in their schools, childcare settings, healthcare facilities and social service agencies. A substantial portion of those children are vulnerable and interface with Missouri's systems responsible for child protection, behavioral health, foster care, juvenile justice, and residential treatment. In 2018, Missouri's child protection system identified 13,567 children in need of services, and in 2017, Missouri processed 48,777 referrals through its juvenile justice system due to reports of law violations, status offenses, and child abuse and neglect allegations. Equipping the workforce to effectively advocate for these children who need, and deserve, higher levels of care represents a pressing public health issue as well as a broad and extensive market base across multiple service sectors. Given that Missouri's workforce will be expected to confront issues and implications of a nature and scope unlike any of their predecessors due to the COVID -19 pandemic, it is crucial to immediately begin preparing those future graduates to face those challenges through degree programs such as AP-CAST.

With the population of children and youth in Missouri expected to grow at a rate of 2.5% every five years through 2030, it is imperative that the workforce be agile enough to respond. The full impact remains to be seen of the recent passage of Missouri's Medicaid Expansion bill, but it is likely that, at minimum, the expansion will require adding new members of the workforce, members who must be equipped to serve the vulnerable, high need Medicaid eligible population. The proposed AP-CAST major is an important first step toward increasing the prowess and agility of the workforce to meet those needs.

Given their breadth of training, AP-CAST graduates are prepared to move into and through a number of career paths. A Burning Glass data search, drawn from the Bureau of Labor Statistics, targeted several CIP codes and occupational groups,

primarily in the social service sectors, in an effort to estimate employment demand for future AP-CAST graduates. For the year ending 5/30/2019, these data indicated that 613 job openings relevant to child advocacy fields were advertised in the St. Louis region primarily within the Healthcare and Social Assistance (57%) and Education Setting (17%) categories. Burning Glass characterized the projected growth in these fields as “High” in St. Louis, the state of Missouri, and nationwide over the next eight years. Trends with sharp and sustained increases in need are documented in a variety of occupational areas including Youth and Career Counseling (12.8%), Human Services (15.9%), and Mental and Behavioral Health (22.7%). Geographically, these high levels of demand are present across Missouri and Illinois with larger employers such as BJC Healthcare, the State of Illinois, Chestnut Health Systems and Compass Health Network posting positions

One driver of employment demand in these fields is the urgent need to fill open positions in rural communities. Over 40% of Missouri children live in rural counties where social service agencies are chronically understaffed leaving children and families underserved. Compared to metropolitan counties, more than five times as many rural countries are without a workforce who can attend to the behavioral health needs of their citizens. The shortage is so significant in rural Missouri that it prompted one of our survey respondents to note:

[AP-CAST] would provide much needed professionals in an area of extreme need.

The accessibility of the AP-CAST degree in its online format will help bridge this concerning educational gap. Moreover, this format will increase its accessibility during times of COVID-19 when in-person meetings have been more limited.

Regardless of the format they choose to pursue their degree, AP-CAST emerging graduates will enter a workforce where over 55% of the relevant jobs in these fields require a bachelor’s degree in a related field. As an Applied Psychology degree with the unique and specific emphasis area related to children, the AP-CAST program will appeal to discerning students looking for a degree that will facilitate rapid entry into the career path they wish to pursue. Consider this survey respondent’s comment:

As a manager at a Behavioral Health agency, we are hiring more bachelor level applicants even for counseling/therapy positions. There is a workforce shortage in our field at the current time. Adding more options for individuals to get into the field is a good thing.

The new AP-CAST degree will meet the market demand, preparing graduates to enter jobs ready for them. We asked supervisors and senior leaders of social service agencies in metropolitan and rural areas of Missouri and Illinois to respond to a survey asking about their hiring preferences (See Appendix A). Results from the survey indicate a highly favorable hiring climate for future AP-CAST graduates. After outlining the basics of the proposed degree, 89% of the respondents indicated that a

new hire with an AP- CAST degree would be ‘extremely helpful’ (61%) or ‘very helpful’ (28%) to their agency when considered in relation to other undergraduate degrees in Psychology, Social Work and Criminal Justice.

Meeting academic needs in Missouri. The recently released report to the Missouri Department of Social Services from the Taskforce on Child Safety (2019) noted significant concerns in the scope, consistency and timeliness of training for child welfare workers in Missouri as well as the multidisciplinary team members with whom they collaborate (e.g. law enforcement officers; court personnel; medical and behavioral health professionals). Recommendations from the Taskforce included developing and implementing an “enhanced curriculum” of topics and skills. The top five recommended skills included: identifying harm and safety concerns, documentation, critical thinking, interview skills and, corroboration and scene investigations. Notably, all of these skills are introduced, developed and mastered throughout the proposed AP-CAST curriculum. AP-CAST intentionally prepares students in the top specialized skills for these fields as identified by Burning Glass: building effective relationships, written communication, teamwork/collaboration, problem solving, organization and planning. When we surveyed several groups of stakeholders to better understand what was needed in the field, they reported a significant short supply of applicable, skill-based training opportunities for their workforce. This represents an untapped market for undergraduate education with significant revenue potential.

Meeting economic demands in Missouri. The proposed AP-CAST degree will contribute economic viability for both individual citizens and the state as a whole. The average living wage in metropolitan St. Louis area of Missouri and Illinois is \$29,016. Data drawn from Burning Glass research indicates that the average salary for the fields future AP-CAST graduates will be entering is considerably higher at \$38,321. Thus, these graduates have a viable and stable economic future.

A broad array of stakeholders was approached for feedback about the proposed AP-CAST degree including current UMSL students, CAST students and alumni, and supervisors and leaders in community-based organizations. (See Appendices A, B, C, D, and E for surveys and results). A substantial majority of the feedback about the degree was positive and saw a great deal of value in the degree. Below are some selected quotes from survey participants:

I think it would be great to have a more specialized major for folks who specifically want to move on to child advocacy after graduation and would hopefully improve overall care and services for children in our state.

Seems like a fantastic idea with great application immediately following graduation.

Stakeholders at the national and state level have also offered support for the AP- CAST degree. The Executive Director of Zero Abuse Project, the organization responsible for evaluating and approving CAST programs across the country noted (See Appendix F):

This leading-edge degree offering will only be the second four-year CAST major offered in the country and will serve a growing market of discerning students looking for programming that teaches the collaboration, critical thinking, and competency-based skills so vital to employers in child service sectors.

Elana Newman, Ph.D. one of the national experts instrumental in calling for trauma competency-based curricula in behavioral health fields wrote (See Appendix G):

As outlined your AP-CAST degree has the potential to change the landscape by preparing emerging professionals more completely and more concretely than ever before.

David Kurt, the Director of Missouri Children's Division, the statewide child protection unit within the Department of Social Services, wrote (See Appendix H):

Exposure to internship opportunities and [the ability] to apply classroom learning in real life settings prior to graduation is key to the success of equipping students for the workforce. It is the understanding of this proposal that the teaching might be done remotely which allows for a larger pool of students across Missouri. As such, the Children's Division is interested in opportunities to partner with the University of Missouri-St. Louis to provide internships across the state.

Also, at the state level, Joy Oesterly, the Executive Director of Missouri Kids First, the organization which coordinates multiple child focused initiatives and advocacy efforts said (See Appendix I):

...the AP-CAST degree will be an unprecedented opportunity to prepare a trauma informed workforce to serve these children and promote their resiliency.

Likewise, Rachel Jones, the Manager of Trauma Informed Treatment for the Missouri Department of Mental Health lent her support by writing (See Appendix J):

I am in full support of the CAST major. I anticipate institutions across the state will be motivated to hire graduates of your degree program given its experiential, skill-based curriculum and interdisciplinary focus. Hiring your CAST graduates will give agencies confidence that recruiting and onboarding costs are good investments because your program will prepare their new employees before they enter the field.

This support coupled with the support on the UMSL campus from the Office of the Provost, the Deans of Arts and Sciences and Social Work, as well as the then-Vice

Provost of Enrollment Management and Pre-Health Advisor, indicates that the proposed AP-CAST degree will have the champions, resources and collaboration necessary to make it a success (See Appendices L, M, N and O for Letters of Support).

3.A.2. Student Demand for the Program

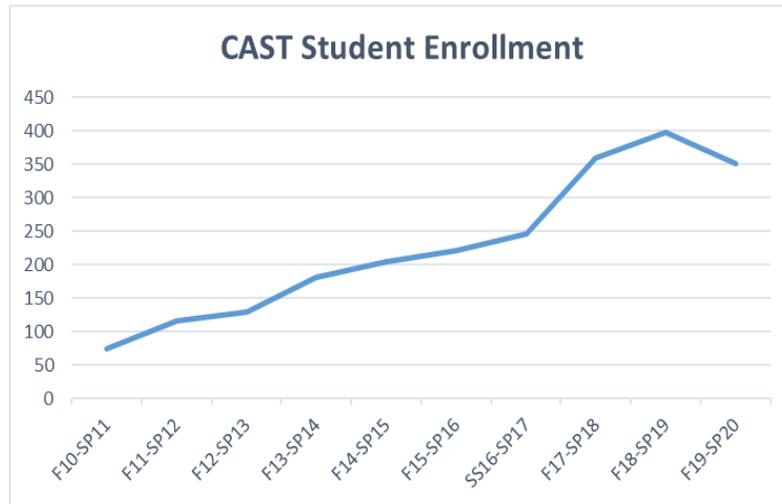


Figure 1: CAST Student Enrollment FS2010 to SP2020

Based on the success of the current CAST programming, significant demand exists for expanding the program. Since approval of the certificate and minor in Fall 2014, CAST experienced a 246% increase in growth of student enrollment with minimal resources and no marketing (See Figure 1). To date, the CAST program has conferred 51 certificates and 66 minors. Currently, CAST courses enroll between 150 to 200 students generating 450 to 600 student credit hours each semester.

This enrollment growth, in large part, can be attributed to word-of-mouth recommendations by students. This may be due to the unique opportunities students receive as UMSL CAST students. These opportunities include:

- Connection to a fully-functioning, accredited Child Advocacy Center embedded within a university for 23 years.
- Well established coordination of the St. Louis area multidisciplinary network of professionals in child protection, healthcare, mental health, civil and criminal court systems, law enforcement and school systems who serve as guest lecturers and create internship and practicum opportunities.
- Staff experts in trauma focused counseling, forensic interviewing and family advocacy who can serve as mentors.
- Existing simulation lab (“Mock House” property) that creates high-impact learning experiences for students.

In order to gauge interest in expanding the CAST program to include a bachelor’s degree, surveys were distributed to students and professionals in the field. (See

Appendices B, C, D and E for surveys and results). A total of 159 students and professionals responded to the surveys. Respondents were asked, “If UMSL had offered the Bachelor of Arts in Applied Psychology of Child Advocacy Studies degree (AP-CAST) at the time you began your undergraduate study, how likely would you have been to consider enrolling in an AP-CAST major?”

Table 1

Consider enrolling	Extremely Likely	Very Likely	Likely	Somewhat likely	Not likely
Current CAST students (N=24)	37.5% (9)	33.3% (8)	4.17%(1)	12.5% (3)	12.5%(3)
CAST alumni with Cert./minor (N=15)	40.0%(6)	40.0%(6)	6.67%(1)	13.3% (2)	0% (0)
Current Psychology students (N=58)	29.31%(17)	17.24%(10)	22.41%(13)	15.52%(9)	15.52%(9)
Community Professionals(N=59)	22.03%(13)	16.95%(10)	13.56%(8)	27.1%(16)	20.3%(12)
Total N=156	28.8% (45)	21.7%(34)	14.7% (23)	19.2%(30)	15.3%(24)

Table 1 shows strong interest in the major as evidenced by over 50% of the entire sample indicating that they would have been ‘extremely likely’ or ‘very likely’ to consider enrolling in the AP-CAST degree, had it been available. Even more striking were the responses of those who had taken CAST classes and thus, were familiar with the existing curriculum; 74.3% of current CAST students and CAST alumni indicated they would have been ‘extremely likely’ or ‘very likely’ to consider enrolling in the bachelors in AP-CAST. Similar high interest was documented when UMSL participants were asked to respond to a question about the likelihood of considering enrolling in a double major of AP-CAST and a related major (e.g. Social Work, Criminal Justice, and Education). Table 2 on the following page shows that just over 50% of the sample indicated they would have been ‘extremely likely’ or ‘very likely’ to enroll as an AP-CAST double major.

Finally, respondents were asked to indicate their interest in obtaining an AP-CAST degree in an online format if it had been available. Table 3 shows that 39.1% of the overall sample reported they would be ‘extremely likely’ or ‘very likely’ to consider enrolling in an online AP-CAST degree. This data portends well for AP- CAST’s potential as an eLearning option for the UM System.

Table 2

Consider double major	Extremely Likely	Very Likely	Likely	Somewhat likely	Not likely
Current CAST students (N=24)	37.5%(9)	33.3%(8)	4.1%(1)	12.5% (3)	12.5%(3)
CAST alumni with Cert./minor(N=15)	46.6%(7)	26.6%(4)	13.3%(2)	6.67% (1)	6.67% (1)
Current Psychology students (N=58)	27.5%(16)	17.2%(10)	13.7%(8)	22.4%(13)	22.4%(13)
Community Professionals	-----	-----	----	----	----
Total N=97	32.9%(32)	22.6%(22)	11/3%(11)	17.5%(17)	17.5%(17)

Table 3

Consider online degree	Extremely Likely	Very Likely	Likely	Somewhat likely	Not likely
Current CAST students (N=24)	29.1%(7)	20.8%(5)	12.5%(3)	12.5%(3)	25.0%(6)
CAST alumni with Cert./minor(N=15)	46.6%(7)	13.3%(2)	6.6%(1)	20.0%(3)	13.3%(2)
Current Psychology students (N=58)	27.5%(16)	17.2%(10)	15.5%(9)	17.2%(10)	22.4%(13)
Community Professionals (N=59)	15.25%(9)	8.47%(5)	13.56%(8)	27.1%(16)	35.59%(21)
Total N=156	25.0%(39)	14.1%(22)	13.4%(21)	20.5%(32)	26.9%(42)

Taken together this quantitative data, and the qualitative data in the quotes from respondents below, indicate that AP-CAST’s strong fiscal and academic viability in the near term will be achieved and sustained.

I wish UMSL had offered an AP-CAST major when I was an undergraduate. I believe an AP-CAST major would be extremely appealing to a lot of undergraduate students who are interested in working with children. I was elated to discover the CAST minor and certificate existed at UMSL; it's very likely I would have chosen the AP-CAST major over a Psychology major, had one been available.

I have a B.S. and M.A. in Criminology and neither prepared me to work in the field the way my CAST certificate did. Now that I'm in a position of supervision, which includes hiring and training new employees, I look forward to the opportunity to bring other CAST graduates into the fold.

Table 4a. Student Enrollment Projections (anticipated total number of students enrolled in program during the fall semester of given year).

Year	1	2	3	4	5
Full-Time	3	17	32	52	77
Part-Time	1	4	8	13	19
Total	4	21	40	65	96

These enrollment projections are modest and manageable given available resources. They are justified by the sustained growth of the current CAST certificate and minor program. These programs have seen significant increases in enrollment without the benefit of a marketing campaign. These estimates are further justified by the student survey data which indicates a strong likelihood that new students will consider enrolling in the AP-CAST degree.

Table 4b. Student Enrollment Projections (anticipated number of students enrolled during the fall semester of given year who were new to campus).

Year	1	2	3	4	5
Full-Time	3	15	29	48	73
Part-Time	1	4	7	12	18
Total	4	19	36	60	91

These estimates are based on marketing strategies that will focus on building awareness of the on campus and online degree completion formats. These estimates also assume that building strong relationships with community college advisors will promote new students entering UMSL with the intention of majoring in the AP-CAST degree.

Table 4c. Projected Number of Degrees Awarded

Year	1	2	3	4	5	6	7	8	9	10
# of Degrees Awarded	0	1	3	3	5	14	18	25	31	37

3.B. Financial Projections

3.B.1. Expenses – Additional Resources Needed

Program faculty resources needed. UMSL is well-poised to offer the proposed BA in Applied Psychology of Child Advocacy Studies degree. Six CAST courses are currently being offered, including blended or online sections of each course at least once per year. Recently, the CAST certificate and minor have generated approximately 1,000 or more student credit hours each year. This means CAST is currently generating surplus revenue annually of approximately \$50,000 to \$150,000 after accounting for existing faculty salaries. The CAST certificate and minor are supported by four non-tenure track faculty and one staff instructor whose appointments also include responsibilities to the Center and the Department. Fiscal resources currently supporting CAST faculty will be maintained to ensure the sustainability of the revenue generated by the CAST certificate and minor programs. These faculty currently support approximately 150-190 students per semester through their teaching assignments ranging from one to four courses per semester and represent an approximate cumulative FTE of 2.5 each semester (not including program coordination).

Over the course of the next four years, AP-CAST enrollment will be closely monitored. Contingent upon student demand and meeting enrollment projections, an additional faculty hire may be requested to fulfill and sustain the anticipated need for campus based and online AP-CAST courses. This position will only be requested in year 4 following the approval of the AP-CAST major and will be contingent on meeting enrollment projections. As enrollment justifies it, staff from CASGSL will lend their expertise to the AP-CAST program and serve as adjunct faculty if needed.

Program support needed. CASGSL is a self-sustaining center whose grant supported funding streams are restricted to providing direct client services to children and families. Thus, the existing CAST program has no dedicated staff support to sustain a degree program (e.g. scheduling, procurement, HR functions, recruiting, advising). A new Program Coordinator staff position is budgeted to support the expanded AP-CAST program. This position will provide broad programmatic support by assisting with set up for the problem-based learning simulations (e.g. setting up the “mock house” investigations; scheduling, contracting and orienting actors to serve as standardized clients), responding to student inquiries, organizing recruitment efforts, coordinating the advisory board and CAST club events, and providing faculty assistance as needed. Annual anticipated salary and benefit costs for this position are approximately \$52,000-\$55,000.

Currently, the CAST program functions with a part-time Project Director for CAST, Dorothy Haskell, MSW, LCSW. In addition to her instructional duties, the Project Director role allows her to coordinate programmatic changes, support online teaching efforts, schedule courses, maintain relationships with placement sites and

lead the CAST internship seminar. This role will need to be expanded to a full time Project Director position to accommodate the anticipated growth of the program, oversee marketing and recruitment efforts to engage potential online and campus-based students, and expand the infrastructure of the internship program to facilitate placements for the AP-CAST students. Annual anticipated salary and benefit costs for this position are approximately \$90,000 - \$95,000.

Other resources needed. While traditional research start-up costs will not be needed to support this program, nominal funds are budgeted to scaffold the experiential nature of the AP-CAST degree such as supplies for the program's "mock house." This lab is used several times each semester to simulate child abuse and neglect investigation scenes and home visits. Funds are also budgeted to construct a modular "mock courtroom" designed to give students opportunities to hone their skills in as realistic a courtroom setting as possible. Local semi-professional actors are recruited as "standardized clients" and paid to portray the roles of family members involved in the simulations. Funds are budgeted to cover the hourly rate for the actors' preparation and performance time. Another component of the AP-CAST curriculum is an emphasis on service learning. Faculty plan to expand service learning opportunities for future AP-CAST students and have budgeted funds to help cover costs associated with transportation, lodging, fees and honoraria. Funds for marketing materials such as informational brochures, recruiting displays and website revision are included in the budget. Other funds budgeted include E & E costs typically associated with maintaining a degree program such as computers, copies, office supplies, professional association dues, site visit and accreditation fees, and conference travel for faculty to maintain their professional development.

The Dean of the College of Arts and Sciences has committed to underwriting the first year expenses of the program by reprogramming existing funds. This leads to new net costs to the University and the UM-System of zero.

3.B.2. Revenue

The primary source of revenue for the AP-CAST program will be generated by tuition and fees associated with the student credit hours in CAST courses. Additional revenue, not captured in the budget Proforma, will be generated by the out-of-state tuition fees paid by online AP-CAST students outside of the University's residency boundaries. The CAST certificate and minor programs will be sustained and conservatively would generate approximately \$70,000 per year with 10 students enrolled in four CAST courses to satisfy the certificate program and 10 students enrolled in three CAST courses to meet the requirements of the CAST minor. This revenue is shown as "Other Income" in the budget Proforma. Although not yet approved by the Board of Curators, we will request a special \$10/SCH fee to be charged to students in CAST courses. These fees will help cover expenses associated with set up and maintenance of the mock house and mock courtroom, as well as the

costs of paying actors to serve as “standardized clients” for simulations, building internship infrastructure and covering service learning costs.

3.B.3. Net Revenue

Table 5 shows that even with conservative enrollment estimation, the program will be able to generate net revenue starting from the first year. By Year 3 (FY2024) the program has clearly established its ability to cover these expenses. Calculations indicate an internal rate of return for this expansion of 415% over eight years. Even if enrollment projections are not met, the -50% Sensitivity Analysis indicates financial solvency is maintained from Year 3 forward with a 216% internal rate of return.

Table 5. Financial Projections for Proposed Program for Years 1 Through 5

	Year 1	Year 2	Year 3	Year 4	Year 5
1. Expenses per year					
A. One-time					
<i>New/Renovated Space</i>					
<i>Equipment</i>	\$0	\$5,000	\$0	\$0	\$0
<i>Library</i>	\$0	\$0	\$0	\$0	\$0
<i>Consultants</i>	\$0	\$0	\$0	\$0	\$0
<i>Other</i>	\$0	\$6,000	\$3,000	\$6,000	\$3,000
Total one-time	\$0	\$11,000	\$3,000	\$6,000	\$3,000
B. Recurring					
<i>Faculty</i>					\$70,000
<i>Staff</i>	\$19,000	\$78,000	\$79,560	\$81,151	\$82,774
<i>Benefits</i>	\$6,768	\$27,784	\$28,339	\$28,906	\$54,418
<i>Equipment</i>		\$0	\$0	\$0	\$0
<i>Library</i>		\$0	\$0	\$0	\$0
<i>Other</i>	\$29,500	\$37,750	\$43,905	\$48,318	\$50,184
Total recurring	\$55,268	\$143,534	\$151,804	\$158,375	\$257,376
Total expenses (A+B)	\$55,268	\$154,534	\$154,804	\$164,375	\$260,376
2. Revenue per year					
<i>Tuition/Fees</i>	\$37,408	\$196,391	\$374,077	\$607,876	\$897,786
<i>Institutional Resources</i>					
<i>State Aid</i>					
<i>Other</i>	\$0	\$70,000	\$70,000	\$70,000	\$70,000
Total revenue	\$37,408	\$266,391	\$444,077	\$677,876	\$967,786
3. Net revenue (loss) per year	(\$23,692)	\$64,343	\$197,161	\$376,490	\$525,201
4. Cumulative revenue (loss)	(\$23,692)	\$40,651	\$237,812	\$614,303	\$1,139,504

3.B.4. Financial and Academic Viability

At the end of Year 5 (FY25), in order to achieve the financial viability threshold of sustained revenue generation that exceeds annual expenses and covers university overhead costs, the program will need to maintain a minimum total enrollment for approximately 65 students. If enrollment numbers necessitate a decision to hire an additional faculty member in Year 4, annual expenses will increase to approximately

\$298,000 while campus overhead will remain stable. These additional expenses would require maintaining an enrollment of approximately 82 students. Alternatively, if enrollment lags in Year 5, we will solicit feedback from students and employers and re-evaluate the curriculum and marketing efforts in an effort to increase enrollment. If after seven years projections are not met, the University may decide to discontinue the major and refocus its priority on sustaining the popular CAST certificate and minor. In order to maintain a vibrant active learning community, AP-CAST anticipates needing to maintain enrollments for approximately 65 students (i.e. approximately 20 Seniors, 20 Juniors, 15 Sophomores and 10 Freshman).

Table 6: Enrollment (Year 5) needed for Financial and Academic Viability

Viability	Minimum Enrollment
Financial	65
Academic	65

Table 7: Enrollment (Year 5) needed for Financial and Academic Viability

Enrollment Status	Full-Time	Part-Time	Total
Number of Students	52	13	65

3.C. Business and Marketing Plan: Recruiting and Retaining Students

Recruiting students. We consulted with Judith Kaplan, Senior Director of Marketing for UMSL’s Marketing and Communications Office regarding how best to launch the AP-CAST program. Ms. Kaplan recommended a mix of marketing strategies including using digital prospecting and retargeting ads (general, Facebook and Instagram), paid search engine marketing, internet video advertising and collateral materials. Although a robust marketing budget in the initial years of the program would be ideal to raise awareness of the degree, that is not realistic given the current budget situation facing UMSL and the UM System. Alternative marketing strategies will be employed to recruit students. Broadly, CASGSL will alert our state and national partners to the new AP-CAST degree and promote inquiries. (See Appendix F for letter of support). A new website dedicated to the AP-CAST program will be launched and reworking the existing CASGSL and Psychological Sciences websites to update information and links about AP-CAST will be a key priority.

Differentiated strategies will be deployed to promote outreach and engagement to targeted markets such as Generation Z, the generation who have recently or will

soon enter college, who mobilize around social causes. AP-CAST marketing materials will capitalize on how it offers the skills and knowledge to impact social change and influence the future of vulnerable children and families. Relationships with high school counselors and students will be an important tool in this endeavor. Outreach to AP Psychology and Child Development classes with AP-CAST materials will target potential majors. The key to funneling transfer students into the AP- CAST major will be building strong relationships with UMSL transfer advisors as well as advisors in community colleges. An important transfer student market is individuals who have graduated with an Associate's degree but need a Bachelors level credential to advance their career. Several community colleges in rural and metropolitan areas now offer an Associate of Applied Science degree in Behavioral Health. Kim Yeagle of the Missouri Coalition for Behavioral Health, who helped develop and promote this AAS degree, provided a letter of support for the AP-CAST major indicating it would provide a "bridge" for these graduates (See Appendix K):

The skill-based curriculum in your AP-CAST major would provide a viable, accessible and attainable path to a four year degree for these successful community college graduates who wish to further their education. The attainment of a four-year degree would open up innumerable higher level career paths and economic opportunities for these students.

Once approved, the AP-CAST major will be under consideration for the UM System's eLearning initiative as it aligns well with that program's goals and objectives. The key to successful marketing for online degrees is differentiating the degree from online competitors. Thus, we will work with UMSL's Marketing and Communications team to design a campaign that highlights the comparative advantages of the AP- CAST degree such as the experiential instruction that will ready them for the field and targets appropriate audiences (e.g. rural students, behavioral health care workers with AAS degrees, working professionals).

Retaining students. AP-CAST faculty will continue to develop and integrate our high impact instructional experiences such as simulations and service learning opportunities throughout the new courses and in online formats. Recognizing that educating within a virtual space has its own specific set of challenges, AP-CAST majors will have access to UMSL's Online Mentoring Program which offers a comprehensive set of strategies aimed at helping online students set goals and be successful. One critical component of the program is having Online Course Mentors (OCM) available to online students. AP-CAST advising will be active and targeted toward setting and completing goals. Taking advantage of internship, mentorship and networking opportunities with professionals in the field will also promote retention efforts for AP-CAST students.

4. Institutional Capacity

Expanding the existing CAST program to include the AP- CAST classroom, hybrid, and online bachelor's degree is well within the capacity of UMSL. The required Psychological Science and CAST core courses are well established and are routinely taught. Of the five proposed new CAST courses *Culture and Child Advocacy* and *Introduction to Child Advocacy* have been or are ready to be piloted. Thus, only three courses: *Communication in Child Advocacy*; *Child Advocacy Global and Policy Issues* and *Ethics and Values in Child Advocacy* will require development. All courses required for the AP-CAST degree have been adapted to an online format. Five years of enrollment trends and anticipated interest in the AP- CAST degree as documented by student feedback and surveys indicate more than sufficient student demand to initiate the AP-CAST degree without compromising existing programming. University administration is collaborating to make the investment needed to launch the program including the human capital to fill the staff positions justified above.

5. Program Characteristics

5.A. Program Outcomes

AP-CAST students are introduced to and given opportunities to develop and master Trauma Informed Experiential and Reasoning Skills (TIERS) which align with the existing program outcomes of the Psychological Sciences department including: (See Appendix P for TIERS).

- Apply empirical and conceptual knowledge of traumatic stress
- Use and respect critical and creative thinking, skeptical inquiry, and scientific approaches to respond to childhood traumatic stress
- Interact effectively with professionals across multiple disciplines
- Produce written and verbal communication consistent with discipline
- Demonstrate professional ethics and values in the context of child advocacy
- Advocate for trauma-informed policy changes that promote the healthy development of all children, including the prevention of child abuse
- Create trauma-informed relationships with diverse consumers
- Address risks and signs of secondary traumatic stress

5.B. Structure

AP-CAST majors will satisfy the university and college General Education curricular requirements, core course requirements in Psychological Sciences, as well as foreign language requirements for the BA. Selected courses in Psychological Sciences and Child Advocacy Studies may be used to meet General Education, Social, and Behavioral Sciences requirements.

Required Courses (50 hours):

AP-CAST Core (50 Hrs):

1. CAST 1000 Introduction to Child Advocacy Studies (3 hours)-NEW COURSE
2. PSYCH 1003 General Psychology (3 hours)
3. CAST 2100 Communication in Child Advocacy (3 hours)-NEW COURSE
4. PSYCH 2201 Psychological Statistics (4 hours)
5. PSYCH 2219 Research Methods (3 hours)
6. PSYCH 2211 Introduction to Biological Psychology (3 hours)
7. PSYCH 2245 Abnormal Psychology (3 hours)
8. CAST 2200 Child Advocacy Policy and Global Issues (3 hours)-NEW COURSE
9. CAST 3290 Traumatic Stress in Childhood and Adolescence (3 hours)
10. CAST 4398 Child Maltreatment: A Multidisciplinary Approach (3 hours)
11. CAST 4498 Forensic Investigation of Child Abuse (3 hours)
12. CAST 4598 Assessment and Intervention in Child Abuse & Neglect (3 hours)
13. CAST 4698 Internship in Child Advocacy Studies (3 hours)
14. CAST 4700 Internship Seminar in Child Advocacy Studies (1 hour)

Development course; Choose one of the following (3 hours):

1. PSYCH 2268 Human Growth and Development
2. PSYCH 2270 Developmental Psychology: Infancy, Childhood and Adolescence ED
PSY 2212 Child and Adolescent Development

Ethics course: Choose one of the following (3 hours):

1. CAST 2300 Ethics and Values in Child Advocacy-NEW COURSE
2. PHIL 2256 Bioethics

Cultural diversity course: Choose one of the following (3 hours):

1. CAST 3650 Culture and Child Advocacy-NEW COURSE
2. COMM 3332 Intercultural Communication
3. GS 3700/SOCK WK 3700 Diversity and Social Justice
4. NURSE 1000 Cultural Diversity in Healthcare
5. PSYCH 3820 Cross Cultural Psychology

5.C. Program Design and Content

Curriculum Design Process. In 2018, CAST faculty began the process of defining the Program Learning Outcomes (PLO) for the CAST certificate and minor. Subsequently, CAST Faculty participated in the Curriculum Alignment Process at UMSL and mapped where each PLO was to be introduced, developed and mastered in each of the CAST courses (See Appendix Q-CAST Program Learning Outcomes). A secondary goal of that process was to explicitly identify the learning objectives of the problem-based learning simulations within the courses. The proposed major was presented to the Psychological Sciences faculty for review in Summer 2019 and approved by the

faculty in Fall 2019. The CAST faculty will come together annually for a retreat to review course enrollment, evaluation and outcome data.

Sequence of Courses. (See Appendices R and S for 4 year and 2-year Academic Maps) While initially focusing on building their solid foundation of general education credits AP-CAST students will be encouraged to enroll in the *Introduction* and *Communication* CAST courses early. Students will be advised to begin their quantitative sequence early because the courses cannot be taken concurrently. This sequence is initiated by completing their Math proficiency followed by Statistics and Research Methods. Students will round out their lower division coursework with options to satisfy the CAST requirements for *Policy, Development, and Ethics* as well as completing their lower division core *Biological* and *Abnormal* courses in Psychological Sciences. Upper division coursework begins with the CAST *Diversity* course options and concludes with the advanced CAST courses. *Traumatic Stress in Childhood and Adolescence* serves as a prerequisite for *Child Maltreatment: A Multidisciplinary Approach* which in turn serves as the prerequisite for the final CAST sequence of *Forensic Investigation of Child Abuse; Assessment and Intervention in Child Abuse and Neglect*, and the capstone courses of *Internship in Child Advocacy Studies* and *Internship Seminar in Child Advocacy Studies*. AP-CAST students will be allowed to enroll in some upper division courses concurrently.

Course Descriptions and Syllabi. See Appendix T- Appendix AC for Syllabi for proposed and existing CAST courses.

5.D. Program Goals and Assessment

Formative and summative course assessments (e.g. classroom exercises, quizzes, exams, papers) are created to determine how well students have met the learning objectives within the corresponding modules. As students move through the CAST curriculum, assessments become more competency based and include assignments that require critical thinking and demonstration of skills. Some examples of these competency based assessments include observations of students' decisions and behaviors during simulations, written case studies, audiotaped interviews, oral case presentations and written reports (e.g. developmental history, safety and risk assessment, mental health screening). Upon completion of the AP-CAST degree, all graduates will have met the requirements for a national certificate recognizing their achievement from the national approving body of CAST programs, Zero Abuse Project.

According to the CAST alumni survey disseminated for this proposal, 80% of CAST graduates are employed, with the majority (73%) of those employees working in a CAST related field (See Appendix E for survey and results). Several CAST certificate graduates reported that they were hired at a higher level and pay than their coworkers without the certificate (i.e. Children's Service Worker II vs. Children's Service Worker I).

5.E. Student Preparation

AP-CAST students will be required to meet the same admission standards as all UMSL students. While no special qualifications are required for the program, due to the sensitive nature of the material covered in AP-CAST courses, students must have a high level of emotional awareness and tolerance for difficult content.

5.F. Faculty and Administration

Clinical Professor Jerry Dunn, Ph.D., the Executive Director of the Center, will be responsible for implementing and monitoring the program's success. Dorothy Haskell, MSW, LCSW who currently serves as the part-time Project Director for the CAST certificate and minor programs will continue in this role. Other faculty include Assistant Teaching Professor, Dana Klar, J.D., LCSW and Clinical Professor, Matthew Kliethermes, Ph.D. We recently added a full-time non-tenure track faculty member, Amanda Whitworth-Bequette, Ph.D., in Fall 2020. Depending on enrollment numbers, approximately 20% of AP-CAST courses will be taught by qualified adjunct instructors with applicable experience.

5.G. Alumni and Employer Survey

CAST students complete a survey immediately prior to graduation. A parallel survey will be administered annually via permanent email addresses of alumni (See Appendix AD for survey). Once the AP-CAST degree is approved, we will form an advisory board within six months, comprised in large part by common employers for our graduates. Feedback from these partners will be solicited at annual meetings offset by semi-annual surveys. Faculty will incorporate the advisory board members' ideas into discussions for curricular change.

5.H. Program Accreditation

The AP-CAST degree will maintain its status as an "Approved" CAST program by meeting the national standards set forth by Zero Abuse Project, the entity with oversight for CAST programs nationwide (See Appendix AE for CAST Approval Status Notification). An application and site visit are required to be awarded this credential.

PROGRAM STRUCTURE

1. Total credits required for graduation: 120 hours
2. Residency requirements, if any: *UMSL requires 30 out of the last 36 hours to be earned in residency, and at least 15 major hours in residency.*
3. General education: *Total credits for general education courses: 46 (Includes Junior Level Writing)*

Courses (specific course or distribution area and credit hours):

Course	Hrs	Course	Hrs	Course	Hrs
First year writing	3	US History/Govt	3	PSYCH 1003 (Social Science)	3
CAST 2100(Com. Proficiency)	3	Humanities and Fine Arts	9	Math & Life Sciences	9
Mathematics Proficiency	3	PSYCH 2211 (Social Science)	3	Jr. Writing	3
PSYCH 2201 (Information Literacy)	4	PSYCH 2245 (Social Science)	3		

4. Major Requirements

Total credits specific to degree: 47 (includes language)

Courses (specific course or distribution area and credit hours):

Course	Hrs	Course	Hrs	Course	Hrs
CAST 1000	3	PSYCH 2245	GE	CAST 4398	3
PSYCH 1003	GE	CAST 2200	3	CAST 4498	3
CAST 2100	GE	Development Course	3	CAST 4598	3
PSYCH 2201	GE	Ethics Course	3	CAST 4698	3
PSYCH 2219	3	Cultural Diversity	3	CAST 4700	1
PSYCH 2211	GE			Language	13

5. Free Elective Credits: 27

6. Requirements for thesis, internship or other capstone experience: *CAST 4698: Internship in Child Advocacy Studies will place students into a child-serving organization, individualized for their goals, for a minimum of 150 hours. CAST 4700: Internship Seminar in Child Advocacy Studies will support reflective learning in relationship to their field experience. For remote students, this requirement will be facilitated and evaluated by a local praxis coordinator.*
7. Any unique features such as interdepartmental cooperation: *Child Advocacy Studies is an interdisciplinary field. Course requirements can be met from a range of departments. The current certificate and minor include electives from six different departments.*

Executive Summary

B.A. in Public Administration and Policy

The Truman School of Public Affairs is proposing an in-person, hybrid and fully online Bachelor of Arts in Public Administration and Policy. The Truman School has offered only graduate degrees since the mid-1980s when the Public Administration undergraduate degree was discontinued due to inadequate levels of faculty to maintain both an undergraduate and graduate program. In recent years, the Truman School has made extensive efforts to plan for implementation of this degree. We have re-classified our student support position to Academic Advisor. Revisions to our MPA curriculum, course offerings in Jefferson City, requirements for graduate certificate, cross leveling of MPA courses (to 4000/7000 level), partnerships with other A&S units, and close work with the office of eLearning have prepared us for the implementation of a BA program. We can implement this program with our existing faculty and staff resources.

This program fills an important need to prepare future public service professionals. The aging of the U.S. workforce is a challenge across many industry sectors. Nearly half of all employed workers are age 45 and over at a time when challenges in the public sphere are larger than ever. The Truman School's existing faculty expertise and strong emphasis on experiential learning will assist in developing the next generation of public sector workers for entrance into the state, regional and national workforce.

Additionally, while the number of private sector jobs grew only 0.4 percent in the state of Missouri between 2007 and 2016, the nonprofit sector has seen a 16.3 percent increase in jobs. While the nonprofit sector has seen growth nationwide, there is a growing concern with the leadership future in the nonprofit sector, as many executive directors are reaching retirement age. Police officers are also a target audience for our program, as a large percentage hold an Associate Degree but require a BA degree for advancement.

The Truman School is well-positioned to address these needs by giving a new generation of public servants the necessary tools for success in the challenging and evolving landscape of public service. This BA program will prepare students to think critically about problems facing public and nonprofit institutions, to develop and implement solutions to these problems, and to communicate effectively as future public servants. The curriculum melds the study of public administration, public policy, and communication to prepare students for a variety of careers in the public service.

No. 2

Recommended Action – B.A. Public Administration and Policy – MU

It was recommended by Sr. Associate Vice President Steve Graham, endorsed by President of the University of Missouri Mun 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 the University of Missouri – Columbia be authorized to submit the attached proposal for a Bachelor of Arts in Public Administration and Policy to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee: YES NO

Curator Hoberock

Curator Layman

Curator Snowden

Curator Wenneker

The motion _____.

Roll call vote of Board: YES NO

Curator Brncic

Curator Chatman

Curator Graham

Curator Hoberock

Curator Layman

Curator Snowden

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

New Degree Program Proposal:

**Bachelor of Arts in
Public Administration and Policy**

University of Missouri – Columbia

Contents

Executive Summary	5
1. Introduction	6
2. University Mission & Program Analysis	8
2.A. Alignment with University Mission & Goals	8
2.B. Duplication & Collaboration within Campus, Across System.....	10
3. Business-Related Criteria & Justification.....	11
3.A. Market Analysis	11
3.B. Financial Projections.....	15
3.C. Business Plan: Marketing, Student Success, Transition & Exit Strategy	18
4. Institutional Capacity.....	19
5. Program Characteristics.....	20
5.A. Program Outcomes	20
5.B. Program Design & Content.....	23
5.C. Program Structure	24
5.D. Program Goals and Assessment	27
5.E. Student Preparation.....	27
5.F. Faculty and Administration.....	27
5.G. Alumni and Employer Survey.....	28
5.H. Program Accreditation.....	28
6. Appendices	28

(Some appendices are excluded from these materials for length and clarity and are available upon request.)

Executive Summary
B.A. in Public Administration in Policy

The Truman School of Public Affairs is proposing an in-person, hybrid and fully online Bachelor of Arts in Public Administration and Policy. The Truman School has offered only graduate degrees since the mid-1980s when the Public Administration undergraduate degree was discontinued due to inadequate levels of faculty to maintain both an undergraduate and graduate program. In recent years, the Truman School has made extensive efforts to plan for implementation of this degree. We have re-classified our student support position to Academic Advisor. Revisions to our MPA curriculum, course offerings in Jefferson City, requirements for graduate certificate, cross leveling of MPA courses (to 4000/7000 level), partnerships with other A&S units, and close work with the office of eLearning have prepared us for the implementation of a BA program. We can implement this program with our existing faculty and staff resources.

This program fills an important need to prepare future public service professionals. The aging of the U.S. workforce is a challenge across many industry sectors. Nearly half of all employed workers are age 45 and over at a time when challenges in the public sphere are larger than ever. The Truman School's existing faculty expertise and strong emphasis on experiential learning will assist in developing the next generation of public sector workers for entrance into the state, regional and national workforce.

Additionally, while the number of private sector jobs grew only 0.4 percent in the state of Missouri between 2007 and 2016, the nonprofit sector has seen a 16.3 percent increase in jobs. While the nonprofit sector has seen growth nationwide, there is a growing concern with the leadership future in the nonprofit sector, as many executive directors are reaching retirement age. Police officers are also a target audience for our program, as a large percentage hold an Associate Degree but require a BA degree for advancement.

The Truman School is well-positioned to address these needs by giving a new generation of public servants the necessary tools for success in the challenging and evolving landscape of public service. This BA program will prepare students to think critically about problems facing public and nonprofit institutions, to develop and implement solutions to these problems, and to communicate effectively as future public servants. The curriculum melds the study of public administration, public policy, and communication to prepare students for a variety of careers in the public service.

1. Introduction

This proposal outlines our proposal for a Bachelor of Arts degree in Public Administration and Policy, to be offered by the Truman School of Public Affairs, within the College of Arts and Science. This full proposal follows from our preliminary proposal and addresses several questions and concerns raised during the approval process. The development of this program as an online/hybrid program aligns well with our initiatives to provide more flexible, accessible higher education. The Truman School has six years of experience delivering online instruction, which puts us in an optimal position to provide this new offering relatively seamlessly. The focus on cross-leveled courses and existing partnerships addresses are streamlined and efficient in this time of strained resources and uncertainty.

Academic Components of BA Program

Core courses in the curriculum cover the foundations of public administration, communication strategies for public policy change, and processes and techniques to evaluate program assessment and program improvement. The Network of Schools of Public Policy, Affairs, and Administration (NASPAA), the accrediting body for our Master of Public Affairs program, provides guidance on the development of baccalaureate degree programs in public affairs and public administration. Per these guidelines, a program should “provide a strong component of analytical and management skills relevant to the field of public management, along with a broad background and understanding of the political, social, and economic environment in which public issues exist. Critical to student success will be the development of communication skills that are relevant across multiple platforms.”¹

A unique aspect of this proposed program is the focus on communication skills, with required courses from the Communication department. Courses such as argument and advocacy, political communication, and organizational communication will provide students with competency in this area. The connection with Communication demonstrates a unique aspect of this undergraduate degree program. Additional courses in public affairs will provide student important training in key aspects of public and nonprofit administration, such as human resource management, nonprofit management, public service ethics and leadership, and local government management.

Employers have expressed a need for professionals with strong skills in management and communication. A recent study by the Volcker Alliance (2018) sought to understand the important skills needed by government leaders, and how educational programs can prepare graduates for effective leadership. The survey asked government leaders to rate the importance of skills within three public sector

¹ NASPAA, 2016. Guidelines for Baccalaureate Degree Programs in Public Affairs/Public Administration, page 1.

competency areas: (1) managing your team and yourself; (2) responding to the public; and (3) navigating the broader environment. Respondents rated communication and project management skills among the most important skills for their public service roles.² Collectively the course offerings in the major will provide these skills.

It is worthy of note, that although many of our graduates go to work in the public and nonprofit sectors, a substantial number of them also go into the private sector. This is a testament to the broad-based skillset provided by our program, which gives students a solid foundation for a wide variety of occupations.

To date, we have completed course proposals for several courses at the undergraduate / graduate level and have several additional proposals in process. The inclusion of courses at the 4000/7000 level allow us to deliver the BA program as well as our MPA program with our existing resources. Our small, on-campus MPA cohorts will take elective courses at the 7000 level along with upper level undergraduates in the 4000 sections. All of the 4000/7000 courses listed in this proposal are elective courses for the MPA program.

Several courses have been renumbered at the 4000/7000 level, and additional proposals will be submitted through the curriculum management system (CIM) to relevel additional courses. The Truman School has ample experience with course delivery in the online modality. Our online MPA program was launched in 2014 and nearly all Truman School faculty have participated in online instruction. While course objectives and outcomes are similar across modalities, methods of content delivery and student engagement are unique. The success of our online MPA program demonstrates our capacity to deliver a high-quality program in this modality.

Following work over the past several years, the Truman School is prepared to implement this program with existing staff and faculty resources. Detailed descriptions of the changes we have made to our graduate curriculum are detailed later in this proposal. The current director of academic programs for the Truman School, Kathleen Miller, would be responsible for overseeing the program. Ms. Miller currently oversees the MPA program. This would be part of the Truman School and thus, ultimately under the authority of the Truman School director, currently Dr. Lael Keiser.

If this BA proposal is approved, we intend to pursue an accelerated graduate pathway to allow motivated traditional students to smoothly transition into graduate education and mid-career students to rapidly improve their educational credentials and advance their careers. Our accelerated program with Political Science (BA PS/MPA) provides us insight how to manage such a program. While recently

² Volcker Alliance, 2018. Preparing Tomorrow's Public Service: What the Next Generation Needs.

approved, we have had several students do the accelerated program in an unofficial manner with minimal transactions costs for students. Since approved, there is much interest in the BA PS/MPA accelerated program.

2. University Mission & Program Analysis

2.A. Alignment with University Mission & Goals

The development of this program aligns with and contributes to the goals of the Truman School, the College of Arts and Science, and the University of Missouri. University of Missouri's mission statement:

Our distinct mission, as Missouri's only state-supported member of the Association of American Universities, is to provide all Missourians the benefits of a world-class research university. We are stewards and builders of a priceless state resource, a unique physical infrastructure and scholarly environment in which our tightly interlocked missions of teaching, research, service and economic development work together on behalf of all citizens. Students work side by side with some of the world's best faculty to advance the arts and humanities, the sciences and the professions. Scholarship and teaching are daily driven by a commitment to public service — the obligation to produce and disseminate knowledge that will improve the quality of life in the state, the nation and the world.³

This proposed program in public administration and policy is focused on providing students with the knowledge, skills and ethics to become public servants in the both the government and the non-profit sector.

This program contributes to several of MU's strategic goals. In particular:

Goal 1, Strategy A: Create new degree programs and revise existing programs based on student demand, workforce needs and emerging opportunities.⁴

This degree program directly addresses specific workforce needs in Missouri and nationally. The aging of the population will provide significant workforce challenges to the state and nation. This is a problem in the public sector workforce as well, where looming baby boomer retirements may create leadership vacuums in public agencies across the state and region.⁵

³ University of Missouri mission statement: <https://missouri.edu/mission-values>

⁴ University of Missouri, University for Missouri, The Flagship of the Future, MU Strategic Plan, August 27, 2018, page 13.

⁵ Chew, Jaselyn, 2014. Aging Workforce Requires New Strategies for Employee Retention, MU Research Says, MU News Bureau. Accessed 2/26/2019 <https://munews.missouri.edu/news-releases/2014/0403-aging-workforce-requires-new-strategies-for-employee-retention-mu-researcher-says/>

A point within Goal 1, Strategy A (above) is to “Develop new and revise existing interdisciplinary undergraduate and graduate degree programs.” This program reflects the interdisciplinary nature of public administration and policy. We have a set of pre-approved electives from multiple disciplines, such as Political Science, Sociology, Economics, Women’s and Gender Studies, and Black Studies. We expect this list to grow as we continue to collaborate with other departments in the College of Arts and Science as well as other colleges across the campus and system (see below for a discussion of our planning efforts with UMSL).

Given the unique curriculum and limited overlap with other fields of study, this new major has the potential to increase the number of new students attending Mizzou and is unlikely to draw significantly from existing majors.

Goal 1, Strategy B: Enhance academic opportunities for online and distance learners.⁶

We plan to offer courses for this BA 100% online and have a rollout plan for all Public Affairs courses in the online environment. In fact, many of the cross-leveled elective courses are already offered in our online MPA program. The Communication courses are also offered online, as are several of the electives from other units. Our success with the online delivery of the Master of Public Affairs program and retention of distance students provides us with experience in working with distance learners and delivering quality course content in the online environment.

Goal 2: Enhance student access and increase the annual size of our new incoming undergraduates to 6,000 by 2023.

Strategy C: Increase enrollment of transfer students⁷

We believe this is an ideal market for this major. Many professionals hold associate degrees (for example individuals working in law enforcement) and would have interest in pursuing the BA in Public Administration and Policy.

The Truman School of Public Affairs seeks to grow in numbers of students served and educate future public leaders in ethical leadership. We currently offer a Master of Public Affairs, a PhD in Public Affairs, and several graduate level certificate programs. The addition of an undergraduate degree in public affairs will allow us to engage and educate current and future public servants at different career stages.

⁶ University of Missouri, University for Missouri; The Flagship of the Future, MU Strategic Plan, August 27, 2018, page 13.

⁷ University of Missouri, University for Missouri; The Flagship of the Future, MU Strategic Plan, August 27, 2018, page 13.

2.B. Duplication & Collaboration within Campus, Across System

While there is some overlap between a BA in Political Science and a BA in Public Administration and Public Policy, they are different in important ways. We see our proposed degree as complementary to that of a Political Science degree yet also as distinctive. The primary focus in political science is on political behavior such as elections, political institutions such as legislatures or the Presidency, and legal institutions such as the courts. In contrast, the primary focus in public administration and policy is on organizations that provide public services such as non-profit organizations and public agencies, clients of programs, and the people who provide services and their managers.

There is also a focus on evaluating public programs. While there is some overlap between the two fields in that both focus on the processes that create public laws and programs, public administration and policy is much more interdisciplinary. While some public administration degrees are housed in Political Science departments, many degrees are housed in stand-alone units or in Business Schools. Each field has separate professional associations. In addition, the Political Science department currently has no plans to develop an online BA degree in Political Science. Therefore, our offering has the potential to significantly increase new students into the university system.

In creating our proposal, we reviewed course offerings in several different departments including Political Science, and have plans to officially cross list one course with Political Science as part of this curriculum. We also require students to choose at least two electives from other units and include several political science courses on the pre-approved list.

We identified four courses in the Department of Communication that fit with the focus of our proposed degree. Understanding the theory and practice of communication is a very important for students pursuing degrees in policy administration, implementation and evaluation. The Communication courses are offered regularly, and the Communication Department will provide space in these courses for the students earning the BA in Public Administration and Policy.

There is complementarity with degrees in business and a combination of courses would benefit students across both majors. The public sector differs in significant ways in which a degree in public administration and policy best prepares students. Despite trends in the privatization of some public services and enterprises, there are fundamental differences in the structure and operationalization of public organizations. Students in business majors might be specifically interested in areas of public/private partnerships and would benefit from coursework in public administration, or even perhaps a double major. The focus on nonprofit organizations with public affairs may also be of interest to many students of business, and skills in

the management and structures of nonprofit organizations would add value to the business curriculum.

The Political Science Department at the University of Missouri St. Louis offers a major in Public Policy and Administration. There are key differences between that program and this proposed program, and the programs are complementary rather than competitive. Through our collaboration with the Department of Communication, we are providing important skills that are different, but complement, those taught at UMSL.

The Truman School has discussed course sharing with the faculty and department chair at UMSL. On August 4, 2020, Lael Keiser (Director of the Truman School) and Kathleen Miller (Truman School Academic Programs Director) met with the interim chair of Political Science at UMSL, David Kimball along with several faculty members in their department. We each discussed the goals and objectives of our programs, and explored possibilities of course sharing. Following that meeting, we shared course syllabi over email and held discussions with faculty at each institution. There is interest in developing an agreement to share elective courses across the two institutions for majors (see letter of interest from David Kimball in the appendix). Majors at UMSL would be able to take up to two courses at MU toward the BA, and majors at MU could take up to two courses at UMSL toward this BA. One possible arrangement under consideration would involve sharing of the following courses:

From MU:

POL SC 4120 Politics and the Media

PUB AF 4340 Regional and Economic Development Policy

From UMSL:

POL SC 1200 Foundations of Law

POL SC 3460 The Politics of Poverty and Welfare

Once this BA is approved, we will develop a formal MOU for course sharing across the two universities.

3. Business-Related Criteria & Justification

3.A. Market Analysis

3.A.1. Rationale and Workforce Demand for the Program

As discussed in prior sections, the UM Office of eLearning (then Mizzou Online) conducted a market analysis for the online degree in public administration and policy. The analysis found only 52 programs offering online bachelor's degrees in public

administration, public policy analysis, and nonprofit/public/organizational management, though a small number of degrees were conferred within the previous years. Given the low number of online programs in these areas, the University of Missouri has the potential to be a leader not only in Missouri, but across the nation in providing high quality public administration, public policy, and nonprofit management education at the bachelor's level.

The market research stated that “the number of jobs is expected to grow over the next 10 years, with a predicted employment trend of 8.88%, an average rate of growth...the average salary in the nation for graduates of these bachelor's programs is \$66,213”⁸

The market research analysis examines job postings utilizing searches for key codes (public administration, public policy, nonprofit/public/organizational management). Analysis resulted in over 55,000 postings nationwide with these specified search criteria over the past year. The top occupations found within the search include:

- Managers, all other (5,388 postings)
- Human resources specialists (2,723)
- Medical and health services managers (2,051)
- General and operations managers (2,004)
- Management analysts (1,949)
- Accountants (1,836)
- Public relations and fundraising managers (1,667)⁹

The analysis examined the employers with the most job openings, using the same search criteria. The top employers included the U.S. Government, several state and local governments, Anthem Blue Cross, and three nonprofits.¹⁰ These are all areas in which a BA in Public Administration and Policy provides important and relevant skills.

While an analysis of job postings provides a useful proxy for program demand, this analysis may actually understate demand. Many of our target students will be currently employed in state and local governments and nonprofit sectors seeking to advance within their own organizations, as has been the experience with our MPA program. While in the near term, these sectors are likely to experience pandemic related challenges similar to other sectors of the economy, the longer-term trends are

⁸ Market Research Analysis for an Online Public Administration Bachelor's Degree Program, prepared by MU Office of eLearning, February 2020, p. 3.

⁹ Market Research Analysis for an Online Public Administration Bachelor's Degree Program, prepared by MU Office of eLearning, February 2020, p. 10.

¹⁰ Market Research Analysis for an Online Public Administration Bachelor's Degree Program, prepared by MU Office of eLearning, February 2020, p. 12.

likely to be influenced by the large numbers of retirements expected in the coming years (as detailed in the Executive Summary).

One career area with frequent interest in public administration and policy is law enforcement. We have a significant number of individuals employed as policy, fire, and rescue professionals within our MPA program. This major has the potential to reach a broader audience within this sector. A recent study by the National Policy Foundation Study finds that over half (51.8%) of police officers in the U.S. have a two-year degree. The study finds that while a college degree is not frequently required to become a police officer, it is a highly important factor in promotions, and a majority of agencies offer increased pay for having a bachelor's degree.¹¹ The increased focus on policing in recent months is also resulting in calls for more education and advanced training for police officers. The Truman School could play an important role in these efforts with the flexibility and convenience our online program would offer to working officers.

Similarly, our online MPA program has attracted a large number of active duty and retired members of the military. This degree, particularly the online modality, has the potential to attract military students. A recent study from the National Center for Education Statistics analyzed changes in college enrollment between 2007-08 and 2011-12. The study found an increase in military students enrolled in undergraduate education, an increase in the use of veterans' educational benefits, and attendance in online programs at a higher rate than nonmilitary students.¹²

The Truman School Alumni Advisory Board responded enthusiastically to the prospect of reinstating a BA program. Many of our alumni graduated from the original BA program and see the value it brings to public service. The skills and competencies targeted with the proposed BA align well with those identified as in high demand by our alumni. In a survey sent to our alumni regarding important skills for future public servants, communication-related skills ranked very high. At the top was effective oral communication skills and written communication skills. Rounding out the top seven, were Excel, strategic management/planning, communicating with diverse populations, presentation skills, and budgeting/financial management. While this information was gathered to support a curriculum evaluation in our MPA program, it also provides solid evidence that the curriculum we are proposing with this BA program is on target with current workplace needs.

¹¹ Gardiner, Christie (2017). Policing Around the Nation: Education, Philosophy, and Practice. California State University Fullerton Center for Public Policy and National Policy Foundation. <https://www.policefoundation.org/publication/policing-around-the-nation-education-philosophy-and-practice/>

¹² Radfods, Alexandria Walton, Alexander Bentz, Remmert Dekker, Jonathan Paslov (2016). After the Post-9/11 GI Bill: A Profile of Military Service Members and Veterans Enrolled in Undergraduate and Graduate Education. *Stats in Brief*, National Center for Education Statistics, U.S. Department of Education. NCES 2016-435.

3.A.2. Student Demand for the Program

We anticipate that the program on campus will have steady growth, with a faster growth curve in our online modality. This is anticipated based on the extremely rapid growth experiences in our online MPA program.

Undergraduate students have requested a minor in public policy, as demonstrated by the Missouri Student Association Senate resolution from the 2017-2018 academic year. The resolution requests that the University develop and implement a minor in public policy. While this proposal is for a BA rather than an undergraduate minor, it does respond to the demand represented in the resolution. The resolution is included the appendix of this proposal.

We anticipate that growth will be faster in the online modality, given the potential audience of employed professionals. As a large number of police and rescue professionals and military service members hold associates but not bachelor's degrees, this is a target audience for the BA. We also anticipate online students to enroll part-time. This is the case within our online MPA program. Nearly all of our 170 students enroll in one course per term.

In the beginning, we anticipate that only a small portion of the on-campus students will be new to MU, until a marketing campaign gains momentum. As we're launching the first two courses in fall 2020, we believe we will attract several students into the major. The long-term projections anticipate new students to the campus. We anticipate that nearly all online students will be new students. While it is possible that some subset of our on-campus students come from other majors, our hope is to recruit net new students to the university through this major.

Table 1a. Student Enrollment Projections (anticipated total number of students enrolled in the program during the first five fall semesters following implementation.)

Year:	1	2	3	4	5
Full-time	10	15	25	35	40
Part-time	20	30	40	50	60
Total	30	45	65	85	100

Table 1b. New Student Enrollment Projections (anticipated number of students enrolled in the program during the first five fall semesters following implementation that are new to the University.)

Fiscal Year:	1	2	3	4	5
Full-time	0	5	20	35	40
Part-time	20	30	40	50	60
Total	20	35	60	85	100

Table 1c. Projected Number of Degrees Awarded

Year:	1	2	3	4	5	6	7	8	9	10
# of Degrees Awarded	0	2	8	10	14	32	47	75	88	117

3.B. Financial Projections

The financial projections are summarized in the attached spreadsheet “Financial Template TSPA” and the detailed “pro forma notes” to accompany. Both are included as appendix material and summarized below.

We anticipate the program to be revenue generating as quickly as year 2.

Our estimates of the number of students above are split between online and on-campus students. These groups differ in many ways, but most significantly in the number of credits taken per year. For the sake of our financial projections, the assumption is that on campus students will take an average of 30 credits per year, while online students will take an estimated 15 credits per year. This may understate revenue if online students take more credits per year.

Summary of assumptions and rationale:

- We anticipate on-campus enrollment to initially be driven by within campus transfers. Over time, as more students learn of the major, outreach becomes routinized and applicants can select the major as they apply, we expect this number to decrease. We expect all the online students to be net new students. We’ve mirrored the projected growth path after our own experiences in the growth of the online MPA program. While we expect there will be key differences between a BA and an MPA program, this provides us a useful starting point.
- We expect online students to take fewer credits per academic year. These are trends that we have learned through our online MPA program and that individuals from the Office of eLearning have cited as the norm in online education. This is because most online students tend to also be working.
- We assume full time students will take 30 credits per academic year.
- For ease of analyses, we have used a rate of \$299 per credit hour, the in-state rate. However, we predict that it is likely our online program will attract many out of state students. Experience in our online MPA program shows that only about a third of students are from Missouri. While online out-of-state students don’t pay the full non-resident rate, we have maintained the \$299 rate throughout the pro forma. Thus, it is a conservative estimate.

- We do not propose hiring new faculty for this program. We have made significant changes to our MPA curriculum and program offerings to “free up” faculty to be able to offer these courses. We will need to offer very few courses that are for the BA only, and one of those courses has been approved as a social science general education course, so we expect it to attract a significant number of students. Therefore, the expenses listed are an estimate of the cost of existing faculty to teach the BA level courses that *would not otherwise be offered*. We utilize an across the board estimate of \$7,500 per class (10% of a \$75,000 salary).
- We have included an annual travel budget of \$2,500 to reflect travel and training that would not otherwise occur. As our academic advisor is likely to be engaged with new undergraduate students, there are likely to be some training opportunities for her to engage in. The NASPAA organization which accredits our MPA program maintains a working group for undergraduate programs, so we may incur travel expenses to engage with that group.
- We have included a budget for marketing. This includes printing and distributing flyers, as well as purchasing advertising space in trade publications that reach working professionals. This can likely be combined with existing marketing efforts toward those audiences for our MPA program.

3.B.1. Additional Resources Needed

The Truman School will be able to implement the BA program using existing faculty and staff. The program relies heavily on existing and proposed cross-leveled courses within Public Affairs, and partnerships with other departments for elective course offerings. We will incur costs for travel and marketing (described above), and a course buy out for the program director represents an additional investment in the success of this program.

3.B.2. Revenue

Revenue is calculated based on the discount rate provided by the Provost’s office in the development of our proposal. We have utilized the 18% rate throughout the pro forma.¹³

We have budgeted for travel and marketing costs, as well as a course buy out for the director. No additional resources are needed to launch the program.

3.B.3. Net Revenue

Based on the pro forma (summarized below), the program will see net positive revenue in year 2.

¹³ Email communication with Steven Chaffin on May 28, 2020

Table 2. Financial Projections for Proposed Program for Years 1 Through 5.

	Year 1	Year 2	Year 3	Year 4	Year 5
1. Expenses per year					
A. One-time					
<i>New/Renovated Space</i>					
<i>Equipment</i>					
<i>Library</i>					
<i>Consultants</i>					
<i>Other (marketing)</i>	\$2,500	\$2,500	\$2,500	\$2,500	\$2,500
Total one-time	\$2,500	\$2,500	\$2,500	\$2,500	\$2,500
B. Recurring					
<i>Faculty</i>	\$37,500	\$37,500	\$37,500	\$37,500	\$52,500
<i>Staff</i>			\$22,500	\$22,500	\$22,500
<i>Benefits</i>	\$13,358	\$13,358	\$21,372	\$21,372	\$26,715
<i>Equipment</i>					
<i>Library</i>					
<i>Other (travel/training)</i>	\$2,500	\$2,500	\$2,500	\$2,500	\$2,500
Total recurring	\$53,358	\$53,358	\$83,872	\$83,872	\$104,125
Total expenses (A+B)	\$55,858	\$55,858	\$86,372	\$86,372	\$106,715
2. Revenue per year					
<i>Tuition/Fees</i>	\$147,108	\$220,662	\$330,993	\$441,324	\$514,878
<i>Institutional Resources</i>					
<i>State Aid -- CBHE</i>					
<i>State Aid -- Other</i>					
Total revenue	\$147,108	\$220,662	\$330,993	\$441,324	\$514,878
3. Net revenue (loss) per year	\$1,551	\$75,105	\$199,771	\$354,952	\$408,163
4. Cumulative revenue (loss)	(\$37,583)	\$37,522	\$237,293	\$592,245	\$1,000,408

3.B.4. Academic and Financial Viability

A primary strength of the Truman School is its faculty, which is a mix of scholars conducting cutting-edge research in a variety of policy areas and accomplished professors of practice. This gives students a strong academic foundation as well as insights into the field of public service.

The program is structured to take advantage of many courses that we offer through our MPA program. In addition, the new 1000 level undergraduate class (a

requirement for this program) has already been approved as fulfilling the university’s social science general education requirement, which will make the class attractive to students across many majors. The other two required Public Affairs classes include one that will be cross-listed with Political Science, and one that is cross-leveled with our MPA level coursework. This structure will ensure adequate enrollment for frequent offerings of the class while the undergraduate program ramps up.

Given the structure, a small number of students in the major makes the program economically viable – though we expect the numbers to be must larger than meeting the minimum for viability. As our courses are available as general education fulfilling and/or cross listed/leveled, we can achieve academic viability (i.e. classes making enrollment) with a small number of students enrolled in the major.

Table 3. Enrollment for Academic and Financial Viability

Viability	Minimum Enrollment
Academic	15
Financial	30
Overall	30

The Truman School will carefully monitor the enrollment in the major across the online and in person modalities. While the major is expected to take some time to gain momentum, if over time, we are not experiencing average of the number of students suggested in the table above, we will explore and discuss the continued viability of the program.

3.C. Business Plan: Marketing, Student Success, Transition & Exit Strategy

3.C.1. Marketing Plan

We plan extensive outreach to advertise this major. For the campus environment, working through Mizzou undergraduate recruiting offices is important, and we will participate in activities that promote this major at high schools across the state. Our introductory course is proposed as a social science general education course, so we hope to engage undecided undergraduates via that course.

UM Office of eLearning engages in extensive outreach for online programs, and we plan to work closely with them to direct efforts towards this major. We expect many of our online students to be current working professionals, which requires a unique marketing and outreach strategy. Directed marketing efforts will be made through professional networks for law enforcement, military, nonprofit sectors, and state and local governments. Many of these professionals already possess an associate degree.

3.C.2. Student Success Plan

Retention of students is a critical component to any BA program. The College of Arts and Science utilizes a thorough process to support undergraduate students' success. These efforts include early warning systems and student feedback surveys. Particular attention is paid to first generation college students. The Arts and Science advising office will provide us with support as we work with our new undergraduate students.

3.C.3. Transition Plan

The Truman School's director of academic programs will manage the rollout of this new undergraduate program, and the department will name an undergraduate committee to oversee the program. Should the director of academic programs depart the role, the committee structure will ensure a seamless transition to a different faculty member to oversee.

3.C.4. Exit Strategy

Should the program become unsustainable due to low student numbers, we can swiftly shift our faculty resources to the MPA level only classes. However, keeping the 4000 levels of the courses will continue to attract students in other majors. The PUB AF 1000 class is an approved social science general education class, so it is likely to continue to garner interest in the absence of the major.

In addition, if the program is unsustainable, the program director would forego the course buy out and teach an additional MPA level class.

As the program is not requiring a large investment in terms of new faculty and staff and new course development, it is reasonable to allow the program time to determine if demand grows.

4. Institutional Capacity

Certainly, the launch of a BA program is significant. Careful thought has gone into our proposal and planned rollout so that we can assure its success. Our Director of Academic Programs (Kathleen Miller) will oversee the rollout of the program, and we have developed a course rollout plan, described above, that ensures careful attention to the curriculum. Our core faculty will be teaching the required courses for the program, as well as many of the cross-leveled electives. In addition to our core faculty, several professors of professional practice teach courses that bring unique, real-world experience and perspectives to this curriculum. Adjunct instructors are carefully vetted by the Truman School, and tend to teach regularly.

Advising students is an important role. The Truman School employs one full time academic advisor, though we do have significant demand in our graduate programs. Advising support will also come from the College of Arts and Science central advising.

Several recent or ongoing changes will allow us to streamline efforts to ensure the success of this new program:

- Our academic advisor staff position is newly re-classified from Student Support Specialist I to Academic Advisor and we have filled this position. By year three, however, we feel that additional advising capacity will be necessary, and we have included this in our financial projections.
- We have restructured our MPA curriculum. This revision reduces the complexity of our curriculum to allow more straightforward course offerings and easier student advising.
- Several of our graduate certificate programs are in the process of revisions to better align those requirements with our MPA requirements, to allow more efficient course offerings and program management.
- The UM Office of eLearning is planning an investment to grow our online program. Despite the current budget situation on campus, we have confirmed that eLearning is proceeding with their investment. In fact, we've already seen a significant increase in applications to our online MPA program. As part of this effort, we are working with UM Office of eLearning on the delivery of student support services. For example, eLearning will employ pre-enrollment counseling and student success coaching services, which will assist the Truman School to more efficiently manage our programs.
- We have merged our Jefferson City program into a hybrid program with our campus and online programs. This reduces the course offerings in the Jefferson City campus, freeing up faculty resources to focus on undergraduate teaching.

As previously stated, the Truman School has six years of experience operating an online, asynchronous, MPA program. Nearly all of our faculty have taught online and thus are very proficient with the tools for this type of instruction. As part of the scaling of our MPA program, all faculty will be taking online teaching certification training, and all MPA classes will undergo quality course reviews. This will enhance the expertise for all of our faculty, which will greatly benefit the undergraduate program as well.

5. Program Characteristics

5.A. Program Outcomes

The BA in Public Administration and Policy will prepare students to think critically about problems facing public and nonprofit institutions, to develop and implement solutions to these problems, and to communicate effectively as future public servants.

The curriculum melds the study of public administration, public policy, and communication to prepare students for careers in professional public service.

Foundation and general education requirements of MU and the College of Arts and Science will provide students a broad background in social, political, and economic issues that will be critical to our program. Courses from Communication also provide a critical skill.

Specific objectives of this BA degree in Public Administration and Policy follow guidance from NASPAA:

- To provide those elements of a liberal education relevant to the preparation of qualified persons for public service in contemporary society
- To provide a professional orientation in PA in order to prepare students for careers in the public service
- To provide a program sufficient flexibility to meet both the needs of students without fixed career objectives and the needs of persons already in the public service who wish to enhance their skills or prepare for different roles
- To provide a student with adequate preparation for entry into graduate study in related fields.
- To provide adequate foundation work in subject areas that a fundamental to a liberal, professionally-oriented education and preparation for career objectives including graduate work. They include:
 - Understanding of economic, legal, political, and governmental institutions, systems, and processes
 - Development of analytical/quantitative abilities and skills for defining and solving problems
 - Development of communication abilities and skills – written, oral and electronic
 - Understanding of human behavior- individual, group, and organizational- and development of abilities and skills for analyzing and coping with behavioral situations.
 - Understanding of administrative/management systems and processes.
 - Navigating within and across differences¹⁴

The BA will provide competencies similar to the MPA program, which are: lead and manage in public governance; participate in and contribute to the policy process;

¹⁴ NASPAA, 2016. Guidelines for Baccalaureate Degree Programs in Public Affairs/Public Administration, page 6

analyze, synthesize, think critically, solve problems, and make decisions; incorporate public values into decisions; communicate and interact productively with a diverse and changing workforce and citizenry; work effectively within multi-sector public service at the intersection of policy and management; and exhibit professional conduct.

UM Office of eLearning conducted additional market research analysis for the BA in Public Administration and Policy in February 2020. The full market analysis is included as an appendix to this proposal. The market research analysis examines job postings through key related codes (public administration, public policy, and nonprofit/public/organizational management). The analysis identified over 55,000 postings nationwide within these specified search criteria. The market research stated that “the number of jobs is expected to grow over the next 10 years, with a predicted employment trend of 8.88% and an average salary of \$66,213.”¹⁵ This analysis was compiled by examining advertised job postings during February 1, 2019 to January 31, 2020.¹⁶ This supplemental analysis also shows a rising demand for individuals with a BA in Public Administration based on advertised job postings over that period, increasing from 36,322 in AY2014 to 55,671 in AY2019.¹⁷ The employment trend for career outcomes in this program is also projected to increase over the next several years.

The top occupations found within these searches include:

- Managers, all other (5,388 postings)
- Human resource specialists (2,723)
- Medical and health services managers (2,051)
- General and operations managers (2,004)
- Management analysts (1,949)
- Accountants (1,836)
- Public relations and fundraising managers (1,667)¹⁸

While the analysis of job postings within the UM Office of eLearning market analysis provides a useful proxy for program demand, this analysis may understate demand as many of our target students will be current government and nonprofit sector employees looking to advance within their own organizations. This has been the experience with our MPA program. Additionally, our online MPA program has attracted a large number of active duty and retired members of the military as well

¹⁵ Market Research Analysis for an Online Public Administration Bachelor's Degree Program, prepared by MU Office of eLearning, February 2020, p. 3.

¹⁶ Market Research Analysis for an Online Public Administration Bachelor's Degree Program, prepared by MU Office of eLearning, supplemental analysis, p. 3.

¹⁷ Market Research Analysis for an Online Public Administration Bachelor's Degree Program, prepared by MU Office of eLearning, February 2020, p.17.

¹⁸ Market Research Analysis for an Online Public Administration Bachelor's Degree Program, prepared by MU Office of eLearning, February 2020, p. 10.

as employees in fire and police departments. We expect that there are a number of these types of individuals without undergraduate degrees who will be interested in this BA program. The online program provides an accessible pathway to the degree.

Current employment outcomes for our Master of Public Affairs program offers insights into the potential pathways for graduates of the BA degree in Public Administration and Policy. Our most recent job placement statistics for graduates of the MPA program are summarized in the following table. We expect career outcomes for graduates of the BA degree to follow a similar pattern.

Employment outcomes for graduates of the MPA program (2017-2018 graduates)	
Sector	Percent of graduates
City, county or other local government in U.S.	17%
State or regional government in U.S.	35%
Federal government U.S.	7%
Nonprofit organizations	19%
Private sector	5%
Military service	4%
Pursuit of additional education	7%
International government or quasi-governmental organization	3%
Unknown status	3%

5.B. Program Design & Content

The program will be housed in the Truman School of Public Affairs within the College of Arts and Science. Rollout of the BA program will be managed by the Truman School's Director of Academic Programs (Kathleen Miller). All courses will be covered by existing faculty members (see following page) and we have rollout for the required BA courses planned for the next two academic years.

Course	Modality	Semester	Faculty Member
PUB AF 1000 Principles of Public Policy Admin.	Online	Fall 2020	Lael Keiser, Professor, TSPA
PUB AF 1000 Principles of Public Policy Admin.	Online	Spring 2021	Lael Keiser, Professor, TSPA
POL SCI/PUB AF 4320 Public Policy	On-Campus	Fall 2021	Jacob Hasselswerdt, Ast. Professor, POL SCI/TSPA
POL SCI/PUB AF 4320 Public Policy	Online	Spring 2022	Lael Keiser, Professor, TSPA
PUB AF 4xxx Program Assessment	On-campus	Fall 2021	Kathleen Miller, Assistant Teaching Professor, TSPA
PUB AF 4xxx Program Assessment	Online	Spring 2022	Brian Kisida, Assistant Professor, TSPA

Elective courses at the 4000/7000 level in Public Affairs are offered in conjunction with our Master of Public Affairs curriculum both online and on campus.

5.C. Program Structure

In addition to university general education and Arts and Science foundation requirements, this major consists of three required courses from Public Affairs, two courses from Communication, and five elective courses that can be taken from a variety of programs. We have a pre-approved list of electives that includes courses in Political Science, Women's and Gender Studies, Black Studies, Sociology, and Economics, making this degree truly interdisciplinary.

BA Curriculum Outline

The program's core curriculum includes three new courses offered by Public Affairs, two courses from offerings in Communication (existing courses) and five elective courses, three of which must be from Public Affairs.

Required Coursework from PUBLIC AFFAIRS, students take each of the following courses:

- PUB_AF 1000 level Principles of Public Policy Administration
- PUB_AF/POL_SCI 4320 Public Policy
- PUB_AF 4xxx (number TBD) Program Assessment and Improvement

Required Coursework from COMMUNICATION, students select two courses from:

- COMM 3572 Argument and Advocacy
- COMM 3460 Organizational Advocacy
- COMM 4478 Communication Competencies for a Diverse Workplace
- COMM 4473 Political Communication
- COMM 4476 Organizational Communication

Elective Coursework (at least three courses must be from Public Affairs):

Students select elective coursework that fulfills their career goals. The list below is not exhaustive but reflects courses that departments have agreed to include. As the program rolls out, additional courses can be added to the list. Electives are grouped into various topic areas:

Social Justice and Policy

- PUB_AF 4175 Early Childhood Policy
- PUB_AF 4340 Regional and Economic Development Policy
- PUB_AF 4001 Leadership and Ethics (topics course, course proposal for cross listed course with Kinder Institute forthcoming)
- HIST 4412/PUB AF 4412 Race and Policy (proposed course)
- WGST 3240 Nonprofit Work and the Pursuit of Social Justice
- BL STU 4303 Race, Class, Gender and U.S. Social Policy
- SOCIOL 3230 Education and Social Inequalities

- SOCIOL 330/PEA ST 3300 Environmental Justice
- POL SCI 4320 Public Policy
- POL SCI 4140 Congress and Legislative Policy
- ECONOM 4345 Economics of Education
- ECONOM 4357 Health Economics
- SRV_LRN 3028 Civic Leadership Internship

Nonprofit Management

- PUB AF 4001 Fundraising and Philanthropy (topics course, course proposal forthcoming)
- PUB AF 4700 Social Entrepreneurship
- PUB_AF 4001 Leadership and Ethics (topics course, course proposal for cross listed course with Kinder Institute forthcoming)
- PUB_AF 4710 The Nonprofit and Voluntary Sector (Proposal for new course and re-level of 8710 in process)
- PUB_AF 4520 Human Resource Management and Development in the Public and Nonprofit Sector (currently offered as PUB_AF 8520, proposal to create new cross-leveled course forthcoming)
- WGST 3240 Nonprofit Work and the Pursuit of Social Justice
- SRV_LRN 3028 Civic Leadership Internship

Public Management

- PUB AF 4700 Social Entrepreneurship
- PUB_AF 4001 Leadership and Ethics (topics course, course proposal for cross listed course with Kinder Institute forthcoming)
- PUB_AF 4540 Local Government Management
- PUB_AF 4520 Human Resource Management and Development in the Public and Nonprofit Sector (currently offered as PUB_AF 8520, proposal to create new cross-leveled course forthcoming)
- POL SCI 4370 The Administrative State, Public Policy and Constitutional Democracy
- ECONOM 4315 Public Economics
- ECONOM 4367 Law and Economics
- SRV_LRN 3028 Civic Leadership Internship

5.C.1. Program Structure Form

1. **Total Credits Required for Graduation:** 120

2. **Residence requirements, if any:** N/A

3. **General education**

Total general education credits: 54

Courses (specific course or distribution area and credit hours):

Course	Hrs	Course	Hrs	Course	Hrs
Math and Quantitative Reasoning	3	Biological, Physical and Math Science	9	Foreign Language	12-13
English course requirement	3	Behavioral Sciences	5-6		
Writing Intensive requirement	3	Social Sciences	9		
American Government	3	Humanities/Fine Arts	12		

4. **Major Requirements**

a. Total credits specific to degree: 30

Courses (specific course or distribution area and credit hours):

Course	Hrs	Course	Hrs	Course	Hrs
PUB AF 1000	3	PUB AF/POL SCI 4320	3	PUB AF 4xxx	3
COMM courses	6	PUB AF electives	6-15		
		Other electives	0-9		

5. **Free elective credits:** 36

6. **Requirement for thesis, internship or other capstone experience:**

None required, though internships through the Office of Service Learning, and capstone experiences are available if students wish to pursue.

7. **Any unique features such as interdepartmental cooperation:**

2 classes required from Department of Communications

5.D. Program Goals and Assessment

We have much experience in assessment of student learning through our Master of Public Affairs program, which will aid in the success of this BA program. As with all NASPAA accredited MPA programs, we are required to assess student learning on a regular basis across five universal competencies defined by NASPAA, and report annually on our progress. Our most recent self-study report, completed in 2018 and approved for re-accreditation through 2025, outlined our detailed approach to assessment of student learning, overall program assessment, and program change implementation. While we do not have plans to accredit our BA program, we can utilize tools and techniques of program assessment from our MPA program.

The elective courses from Public Affairs are comprised of cross leveled courses. Careful attention must be paid to managing a cross-leveled course so that both undergraduates and graduates can find a challenging and rewarding environment.

We have demonstrated success in delivering our master's program in the online environment. However, there are sure to be characteristics of undergraduate online learners that we may not expect. Therefore, we will work closely with the MU Office of e-Learning and educational designers to assure course quality and student engagement.

Success in both graduation and retention rates within our MPA program demonstrate our success in these areas. Retention in an online environment is challenging, but our online MPA program consistently outpaces overall online programs in terms of retention (75% versus 66%). Placement rates in our MPA program exceed 95%.

5.E. Student Preparation

There are no special admissions procedures or qualifications for students. As described above, we believe many of our students will be working professionals. Therefore, careful attention to support systems for adults returning to education and for those balancing work and school are important. Similar characteristics describe our online MPA students.

5.F. Faculty and Administration

Our Director of Academic Programs (Kathleen Miller) will be responsible for the rollout and management of this program. Our financial projections include a course reduction for her teaching load in order to manage this program.

The three required courses in Public Affairs will be taught by full time faculty members in the Truman School or (in the case of the cross listed course) Political Science. Our cross leveled elective courses are at times taught by our adjunct

professors of practice. As with our MPA program, the ability to learn from experts in the field who have many years of experience in the public or nonprofit sector greatly benefits the students. The accreditation of our MPA program guarantees that less than half of all courses be covered by adjuncts, and we are quite below that threshold.

5.G. Alumni and Employer Survey

Feedback from alumni and employers is an important aspect to the Truman School and we have a regularly occurring exit survey for all graduates. In 2018, we conducted a large survey of alumni and employers from our Master of Public Affairs program, seeking input regarding the revision of our MPA curriculum. Feedback from that survey has been instructive to the development of this proposal. In particular, among the important skills identified by alumni and employers, communication skills were ranked highly. We intend to continue with periodic surveys of alumni and employers from our MPA program and expand that to include undergraduates of our BA program.

5.H. Program Accreditation

The Truman School's MPA program is accredited by the Network of Schools of Public Policy, Affairs, and Administration (NASPAA). While NASPAA does not accredit undergraduate degrees, there is an undergraduate program working group that we will engage.

6. Appendices

This proposal has received letters from the following individuals:

1. Dr. Lael Keiser, Director, Truman School; Interim Chair, Dept. of Political Science
2. Dr. Pat Okker, Dean, College of Arts and Science
3. Dr. J. Brian Houston, Associate Professor and Chair, Department of Communication
4. Dr. Justin B. Dyer, Director, Kinder Institute on Constitutional Democracy
5. Missouri Students Association Resolution
6. Chuck Gross, Truman School Alumni Advisory Board
7. Jim Pyle, Truman School Alumni Advisory Board
8. Bill Watkins, Truman School Alumni Advisory Board
9. Chip Casteel, Truman School Alumni Advisory Board
10. Dr. David Kimball, Professor and Interim Chair, UMSL Department of Political Science

Executive Summary

M.S. in Water Science and Engineering

Missouri S&T aims to offer a cutting-edge, interdisciplinary master's degree program in Water Science and Engineering (WSE) that integrates the expertise of multiple departments across the University to provide new education and research opportunities for the next generation. Our students will develop an inter- and multi-disciplinary understanding to address society's grand challenges of water sustainability and water security. These are essential areas as global demand for food, energy, and water are expected to rise by 60% by 2050. On a global scale, the availability and access to clean drinking water is the single largest factor affecting human health. As a result, access to clean drinking water has been identified by the National Academy of Engineering as one of the 14 grand engineering challenges.

The objectives of the proposed degree program include preparing engineers and scientists to specialize in understanding water resources from an inter-disciplinary viewpoint, preparing students from different backgrounds for a wide variety of careers relating to water resources, and to benefit society by helping industries and government agencies manage, remediate, and secure vital water resources through the development of a highly-qualified workforce.

By relying on existing courses with additional capacities for enrollments, we are able to provide a unique but very low-cost program with a fully online option. Support for this program is strong, because the WSE degree directly addresses many aspects of our university's strategic plan, including key aspects such as building a culture with increased emphasis on high-impact research and scholarship, as well as serving industry and community needs by producing a stream of civic-minded, workforce-ready graduates.

State and national demand for WSE graduates is high. In the last year there were more than 45,000 openings nationally and almost 600 in Missouri for positions that would suit our graduates. It is expected that the state of Missouri will need 21.1% more Natural Science Managers and Water Resource Specialists over the next decade. Considering the strong national focus on inter- and multi-disciplinary research associated with water (technology, management, resources, sustainability, security, etc.) our graduates will be in a strong position to fill growth in any of these sectors.

The student demand for this program at Missouri S&T is high in that undergraduates from a wide variety of our science and engineering disciplines can feed directly into the WSE MS-degree program. A survey of students in relevant programs indicated strong interest and support for such a program. Further, the focus of the WSE degree is unique in the Midwest region, and therefore should be successful from recruiting students from the broader region. Overall, we believe this proposed program strongly aligns with Missouri S&T's mission, societal needs, and student and employer demand.

No. 3

Recommended Action – M.S. Water Science and Engineering – Missouri S&T

It was recommended by Sr. Associate Vice President Steve Graham, endorsed by President of the University of Missouri Mun 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 the Missouri University of Science & Technology be authorized to submit the attached proposal for a Master of Science in Water Science and Engineering to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee: YES NO

Curator Hoberock

Curator Layman

Curator Snowden

Curator Wenneker

The motion _____.

Roll call vote of Board: YES NO

Curator Brncic

Curator Chatman

Curator Graham

Curator Hoberock

Curator Layman

Curator Snowden

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

New Degree Program Proposal:
Master of Science in
Water Science and Engineering
Missouri University of Science & Technology

Contents

Executive Summary 5

1. Introduction 6

2. Fit with University Mission and Other Academic Programs 7

 2.A. Alignment with Mission and Goals 7

 2.B. Duplication and Collaboration within Campus and Across System 9

3. Business-Related Criteria and Justification 9

 3.A. Market Analysis 9

 3.B. Financial Projections..... 13

 3.C. Business and Marketing Plan: Recruiting and Retaining Students..... 15

4. Institutional Capacity..... 16

5. Program Characteristics..... 16

 5.A. Program Outcomes 16

 5.B. Structure 17

 5.C. Program Design and Content..... 18

 5.D. Program Goals and Assessment 21

 5.E. Student Preparation..... 21

 5.F. Faculty and Administration..... 21

 5.G. Alumni and Employer Survey..... 23

 5.H. Program Accreditation..... 23

(Some appendices are excluded from these materials for length and clarity and are available upon request.)

Executive Summary

M.S. in Water Science and Engineering

Missouri S&T aims to offer a cutting-edge, interdisciplinary master's degree program in Water Science and Engineering (WSE) that integrates the expertise of multiple departments across the University to provide new education and research opportunities for the next generation. Our students will develop an inter- and multi-disciplinary understanding to address society's grand challenges of water sustainability and water security. These are essential areas as global demand for food, energy, and water are expected to rise by 60% by 2050. On a global scale, the availability and access to clean drinking water is the single largest factor affecting human health. As a result, access to clean drinking water has been identified by the National Academy of Engineering as one of the 14 grand engineering challenges.

The objectives of the proposed degree program include preparing engineers and scientists to specialize in understanding water resources from an inter-disciplinary viewpoint, preparing students from different backgrounds for a wide variety of careers relating to water resources, and to benefit society by helping industries and government agencies manage, remediate, and secure vital water resources through the development of a highly-qualified workforce.

By relying on existing courses with additional capacities for enrollments, we are able to provide a unique but very low-cost program with a fully online option. Support for this program is strong, because the WSE degree directly addresses many aspects of our university's strategic plan, including key aspects such as building a culture with increased emphasis on high-impact research and scholarship, as well as serving industry and community needs by producing a stream of civic-minded, workforce-ready graduates.

State and national demand for WSE graduates is high. In the last year there were more than 45,000 openings nationally and almost 600 in Missouri for positions that would suit our graduates. It is expected that the state of Missouri will need 21.1% more Natural Science Managers and Water Resource Specialists over the next decade. Considering the strong national focus on inter- and multi-disciplinary research associated with water (technology, management, resources, sustainability, security, etc.) our graduates will be in a strong position to fill growth in any of these sectors.

The student demand for this program at Missouri S&T is high in that undergraduates from a wide variety of our science and engineering disciplines can feed directly into the WSE MS-degree program. A survey of students in relevant programs indicated strong interest and support for such a program. Further, the focus of the WSE degree is unique in the Midwest region, and therefore should be successful from recruiting students from the broader region. Overall, we believe this proposed program strongly aligns with Missouri S&T's mission, societal needs, and student and employer demand.

1. Introduction

The proposed degree program in WSE will be interdisciplinary in its focus on water. Degree focus areas include (1) *Engineering Hydrology*, (2) *Water Infrastructure and Remediation*, (3) *Water Resources and the Environment*, and (4) *Water Policy*. A total of 31 graduate credit hours will be required beyond the B.S. degree for both thesis and non-thesis MS options.

The thesis option (31 total hours) is comprised of the following:

- Program Courses: Students will select six courses (18hrs) from the Program Course List. Students must take at least 1 course from three different course categories and also take at least 1 course from three separate departments. Course categories include *Engineering Hydrology*, *Water Infrastructure and Remediation*, *Water Resources and the Environment*, and *Water Policy*.
- Additional Courses: Students will select two courses (6 hrs) from a combination of existing and newly developed graduate courses that are relevant to their degree plans. These courses must be approved by their advisor in consultation with their thesis committee and will be chosen based on their specific career goals and interests.
- Graduate Seminar: Students will be required to take one hour of graduate seminar from any of the affiliated programs.
- Thesis Research: Students will complete six hours of research credit.

The non-thesis option is identical to the thesis option except that the research hours are replaced with six hours of additional coursework. The primary difference between the non-thesis and thesis degree option is that the non-thesis degree can be completed largely (perhaps fully depending on the desired coursework) online or using a hybrid delivery mode. Online delivery of courses will be important for attracting working professionals and other non-traditional students into the WSE program.

This flexible curriculum structure will provide students with the opportunity to individualize their curriculum within the over-arching theme of water technology. This flexible, inter- and multi-disciplinary approach to educating graduate students is important for the development of a broad-based applied graduate degree program, but at the same time allows graduate students to gain an appreciable level of specialization that matches with their career objectives. Career opportunities include a wide variety of geoenvironmental and civil engineering-focused consulting companies, state and federal regulatory agencies, NGOs, secondary education, and the growing environmental divisions of private sector mining and energy companies.

The flexible curriculum structure will also enhance student success in terms of streamlining courses and shortening time to graduation. For example, with the wide

variety of potential courses that can be taken at any stage over the MS degree, students will never need to wait for course availability.

The concept for this program developed from the intersection of a clear societal need for education and research related to water resources with a critical mass of expertise in this area that is woven throughout many departments and programs at Missouri S&T. The WSE degree program brings together this multidisciplinary expertise in a way that will benefit students, fill a crucial need, and spur collaborations and innovation on our campus.

Preliminary steps toward the WSE degree include the creation of graduate certificates in *subsurface water resources* and *surface water resources*. These certificates are pathways that can lead to the WSE degree. No new coursework is required to establish the WSE degree. What makes the new degree program special is that for the first time all water-related coursework in all disciplines across the Missouri S&T campus have been linked and packaged to create a superior educational experience.

The WSE program will be run through the Department of Geosciences and Geological and Petroleum Engineering (GGPE) but will also include shared administrative responsibilities among the other participating departments and programs. The Chairs of the GGPE and CArE Departments, currently Dr. David Borrok and Dr. Joel Burken, respectively, will be primarily responsible for the success of the program. The GGPE Department will be responsible for program-specific administrative tasks, such as admissions paperwork, program reporting, and assessment-related activities. The participating departments will jointly handle recruiting activities, admissions decisions, and student advising.

2. Fit with University Mission and Other Academic Programs

2.A. Alignment with Mission and Goals

The mission of Missouri S&T is to integrate education, research, and application to create and convey knowledge that serves our state and helps solve the world's greatest challenges. The creation of the WSE program supports this mission by positioning Missouri S&T as a state, national, and global leader in water-related research and education. The WSE program will directly benefit the state of Missouri and the Midwest where many water-related issues directly impact the public. For example, harmful cyanobacteria algal blooms have recently been occurring in Missouri's lakes and some drinking water reservoirs. *E. coli* contamination continues to be a primary human health concern for areas like the Lake of the Ozarks and Table Rock Lake. Harmful bacteria and excessive agricultural nutrients are leading causes of impairment in Missouri's rivers and streams. Much of Missouri's groundwater is particularly vulnerable to pollution because of the rapid and often unpredictable flow pathways within the bedrock impacted by karst (e.g., the development of cave forming voids). Students graduating from our program will be in a unique position to not only understand these problems but to develop sustainable solutions to address them.

In addition to supporting the mission of the university, the creation of the MS-degree in WSE directly addresses many aspects of our university's strategic plan, including the following:

Excellence in Research and Creative Works

Objective 1 (Build a culture with increased emphasis on high-impact research and scholarship)

Strategy B – Pursue the establishment of nationally-recognized, externally funded research centers

Technologies associated with water sustainability and water security are nationally and globally important, as recognized by the National Academies of Science and Engineering. The expertise we develop and catalyze as part of this new degree program will allow us to be more competitive for research centers focused on water-related research.

Excellence in Research and Creative Works

Objective 2 (Achieve highest classification in Carnegie rankings)

Strategy A – Increase annual research expenditures by 100%

Strategy B – Increase number and quality of scholarly works

The graduate students, faculty, and associated research related to the new WSE program will spur increases in research productivity.

Excellence in Engagement and Outreach

Objective 2 (Serving industry and community needs)

Strategy A – Prepare civic-minded, workforce-ready and entrepreneurial graduates

Strategy B – Increase economic impact of S&T-developed technologies

The proposed degree programs will prepare students for a variety of careers, including entrepreneurial endeavors. Technologies related to water treatment and remediation have the potential for a large economic impact.

Excellence in Engagement and Outreach

Objective 4 (National and international engagement)

Strategy A – Encourage partnerships and collaborations that promote Missouri S&T's values, enhance our regional, national, and global reputation, and increase our visibility and ranking

Water sustainability and security and associated linkages to human health are global concerns. Water-related research drives international collaboration and will provide links to collaborations and humanitarian outreach opportunities.

2.B. Duplication and Collaboration within Campus and Across System

The proposed graduate program in WSE at Missouri S&T is unique within the UM system. Currently there are no standalone graduate degree programs that focus solely on water resources and include an interdisciplinary engineering and science focus within the UM System. The closest comparators include the MS-degree in Natural Resources offered by the University of Missouri. One of the seven emphasis areas in this degree program includes Water Resources. Our proposed MS-degree in WSE is substantially different in that several of the program concentration areas required for the WSE degree (*Engineering Hydrology* and *Water Infrastructure and Remediation*) fall fully outside the requirements and scope of the Natural Resources degree.

The Civil and Environmental Engineering MS-degree program at the University of Missouri includes a specialty area in “Environmental and Water Resources” that is focused primarily on civil engineering infrastructure. Similarly, the Civil Engineering MS-degree program at UMKC offers a degree track in “Water Resources” and the CArE Department at Missouri S&T includes a MS-degree with an emphasis area in “Water Resources Engineering”. These degrees are excellent, but all include a narrow focus on the Civil Engineering aspects of water resources, including areas such as advanced hydraulics, hydrology, fluid mechanics, and numerical modeling. This narrow focus is not comparable to the broader engineering and science focus of the proposed WSE MS-degree program. Most importantly the WSE program will be accessible to students who graduate with BS-degrees in many disciplines outside of Civil Engineering.

The potential for sharing coursework with other programs and institutions within the UM-system is high and will be pursued as the program and student numbers grow. The new degree program may also spur research collaboration among other faculty and departments within the UM system.

3. Business-Related Criteria and Justification

3.A. Market Analysis

3.A.1. Need for Program

The availability of useable freshwater is a fundamental requirement for drinking, food production, power generation, and the extraction and processing of natural resources such as oil, gas, and minerals. Global demands for food, energy, and water are expected to rise by 60% by 2050. On a global scale, the availability and access to clean drinking water is the single largest factor affecting human health. This is why providing access to clean drinking water has been identified by the National Academy of Engineering as one of the 14 grand engineering challenges.

Currently only 16 public and 1 private institution in the U.S. offer MS-degrees in “hydrology and water resources science”, and none of these are in Missouri

or adjacent states (See comparator report in the appendix). Therefore, we have an opportunity with this new degree program to fill this important niche in the Midwest.

Occupational Skills

Using Burning Glass Technologies™, we conducted an analysis of occupational skills targeted through the WSE MS-degree program that had been identified in job postings over the last year. These include, but are not limited to, areas such as hydrology, hydrologic analysis, water engineering, water conservation, water planning, groundwater evaluation, and water supply safety (see appendix for additional information). On both a national and state-level, the analysis predicted a 32.1% growth in jobs that utilize these skills over the next decade. Nationally, 3.9% of the >37,000 job postings last year required MS-degrees, and in Missouri 4.6% of the 440 job postings required a MS-degree. These numbers are particularly impressive, as recent job openings were severely limited due to the Coronavirus pandemic. Top occupations that include these job skills include Civil Engineers, Water/Wastewater Engineers, Environmental Engineers, Mechanical Engineers, Geography and GIS specialists, Environmental Planner/Scientist, Hydrologist, Geologist, Meteorologist, and Project Manager. These job titles suggest that students with a wide-variety of undergraduate degrees could enter this field and improve their marketability in these water-related career domains. Top industries that hire graduates with these water-related skills (nationally and within Missouri) include professional and technical services (i.e., consulting) companies and public administration. Top employers nationally include the U.S. Government, Natural Resources Conservation agencies, and a variety of professional consulting service companies such as Golder Associates. In Missouri, the U.S. Government is still a primary employer, as is Burns and McDonnell and similar technical services companies. The locations in Missouri where the skills associated with the WSE-degree are in the highest demand, include the Kansas City and St. Louis Metro areas, as well as Columbia, Springfield, and Cape Girardeau.

Burning Glass Technologies™ was additionally used to analyze future job demand. In an attempt to look primarily at job growth trends in fields where a multidisciplinary background would be helpful, we restricted the analysis to only jobs that are peripheral to traditional job titles such as Civil Engineering, Geology, and Biology. Note, however, this does not mean that a WSE graduate could not enhance their job prospects within these traditional domains as well. Among the jobs, shown in the table below, there were more than 45,000 openings nationally and almost 600 in Missouri in the last year. The ten-year growth projections for these careers are outstanding. National 10-year growth ranges from 6.3% to 11.1%, while state growth ranges from 1.1% to 21.1%. In fact, it is expected that the state of Missouri will need 21.1% more Natural Science Managers and Water Resource Specialists over the next decade. It is important to note that the requirement of a MS-degree is mixed for these positions, ranging from almost no requirement for preparation beyond the BS-degree in some, with others requiring more than 10% of the hires to have MS-degrees. Typically, the MS-degree will provide students in all of these job categories with a

greater salary and career mobility than a BS-degree alone, so it remains a valuable proposition to get a MS-degree even when it is not an entry-level job requirement.

Job demand table.

	Job Postings last year		Projected 10-year growth	
	National	Missouri	National	Missouri
Water/Wastewater Engineers	5,622	88	8.4%	6.2%
Environmental Scientists	7,911	109	11.1%	9.3%
Environmental Engineers	11,367	129	8.4%	6.2%
Natural Science Managers	14,823	165	9.9%	21.1%
Soil and Water Conservationists	2,216	35	6.3%	1.1%
Hydrologist	1,380	18	10.4%	13.6%
Water Resource Specialist	1,837	34	9.9%	21.1%
Total	45,156	578	NA	NA

The WSE program fills an academic need for Missouri in that we currently do not have a stand-alone MS-degree program with a primary focus on water resources and certainly not one that is this inter- and multi-disciplinary in nature. Missouri's economy will be further stimulated by the production of well-trained MS-degree students that can fill a variety of positions in the environmental and geotechnical sectors. We have included support letters from Burns and McDonnell, Black & Veatch, Golder Associates, and The Metropolitan St. Louis Sewer District indicating that these companies/organizations would be interested in hiring graduates from the WSE program (see appendix).

3.A.2. Student Demand for Program

We assessed student demand for the WSE MS-degree through an anonymous online survey sent to current undergraduate students at Missouri S&T in the programs of Chemistry, Biology, Environmental Engineering, Civil Engineering, Chemical Engineering, Geology and Geophysics, and Geological Engineering. The survey included a summary description of the proposed WSE degree program followed by a series of questions. We received 102 responses, including 69 seniors, 23 juniors, 6 sophomores, and 4 freshmen. Of these students, most (61) planned to seek full-time employment after graduation, while the others were interested in graduate degrees or had not decided. When asked how important they thought it was to create and offer the interdisciplinary WSE graduate degree program in Missouri, 80 of the 102 students indicated that they thought it was important or very important. Twenty-three of the students indicated they had a high-level of interest in enrolling in a WSE MS-degree program, and another six students indicated they would plan to enroll in the program immediately if it were established.

Based on this internal assessment of demand, we will have a consistent pool of potential undergraduate applicants on our own campus (these are students who would likely have gone out-of-state for a graduate degree). We estimate we will

receive 10 to 20 internal applications annually with this level of student interest. We also anticipate strong interest from potential students graduating from other institutions in Missouri, as well as from national and international students. The number of anticipated applications and admissions is harder to estimate in this case because there are no clear comparator degree programs. However, because of the online option for our non-thesis track degree and the existing interest in the WSE MS-degree from within our seven participating programs, we expect at least 40 applications from outside students per year.

Enrollments in the WSE MS-degree for the first five years are estimated in Table 1a. Estimates are based on a combination of the internal student demand analysis and coupled with an analysis of enrollment and graduation trends from other programs in the state that might be considered “similar”. Although it is difficult to find accurate comparator programs, we believe enrollment trends in environmental science and environmental engineering fields should provide a reasonable idea of what we can expect for enrollment for the WSE program. The MS-degree in Environmental and Urban Geosciences at UMKC had an average 5-year fall enrollment (2015 to 2019) of 17.6 students. The MS in Environmental Engineering at Missouri S&T had an average 5-year fall enrollment of 16.4 students. Based on this analysis, coupled with our broader (multiple undergraduate programs as feeders) student demand we believe the WSE program will support approximately 20 full-time students as well as 9 part-time students by year five (Table 1a). An estimate of the projected number of students enrolled in the fall semester of each year who were new to campus is shown in Table 1b. Table 1c identifies the expected number of graduates from the program over the first 10 years. We anticipate that full-time students entering the program will take, on average, 2 years to graduate. The number of annual graduates projected for the WSE degree falls within the range for similar degree programs at peer institutions in other states such as the Colorado School of Mines (CSM) and New Mexico Tech (NMT). For the five year period from 2014-2018, the Hydrologic Science and Engineering graduate degree at CSM graduated 16.4 students annually, while the Hydrologic Sciences graduate degree program at NMT graduated 4.4 students annually over the same time period (In 2017 and 2018 NMT graduated 6 and 7 students respectively).

Table 1a. Student Enrollment Projections (anticipated total number of students enrolled in program during the fall semester of given year).

Year	1	2	3	4	5
Full-Time	5	12	15	18	20
Part-Time	2	4	7	8	9
Total	7	16	22	26	29

Table 1b. Student Enrollment Projections (anticipated number of students enrolled during the fall semester of given year *who were new to campus*).

Year	1	2	3	4	5
Full-Time	5	12	15	18	20
Part-Time	2	4	7	8	9
Total	7	16	22	26	29

Table 1c. Projected Number of Degrees Awarded

Year	1	2	3	4	5	6	7	8	9	10
# of Degrees Awarded	0	0	5	9	10	12	12	12	13	13

3.B. Financial Projections

3.B.1. Additional Resources Needed

Because the MS-degree program will involve existing faculty, office space, and laboratories, additional resource needs are limited. We have budgeted for an administrative assistant position to assist with management of the program and have included modest funding for computing, marketing and recruiting expenses. See Table 2 for these financial details.

3.B.2. Revenue

All revenue for this program will be generated from student tuition and fees (Table 2).

3.B.3. Net Revenue

Total expenses in year 1 are estimated to be \$65,214 and fluctuate within 10% of this value in years 2 through 5 (Table 2). The program revenue for year 1 is estimated to be \$49,871 due to the limited number of students in the inaugural year of the program. Hence, year 1 will run at a deficit of \$15,343. The growth of the student population by year 2 will result in a projected revenue of \$111,367, which will significantly exceed expenditures for year 2, as well as make up the modest deficit incurred in year 1. Cumulative revenue should exceed cumulative expenses in year 2 by \$32,433. Cumulative revenue is projected to grow every year thereafter and by year 5 is projected to reach \$478,136 (Table 2).

Table 2. Financial Projections for Proposed Program for Years 1 Through 5.

	Year 1	Year 2	Year 3	Year 4	Year 5
1. Expenses per year					
A. One-time					
<i>New/Renovated Space</i>					
<i>Equipment</i>	\$3,000				\$3,000
<i>Library</i>					
<i>Consultants</i>					
<i>Other</i>	\$8,800	\$8,820	\$8,840	\$8,860	\$8,880
Total one-time	\$11,800	\$8,820	\$8,840	\$8,860	\$11,880
B. Recurring					
<i>Faculty</i>					
<i>Staff</i>	\$35,000	\$35,700	\$36,414	\$37,142	\$37,885
<i>Benefits</i>	\$18,414	\$19,072	\$19,583	\$20,098	\$20,437
<i>Equipment</i>					
<i>Library</i>					
<i>Other</i>					
Total recurring	\$53,414	\$54,772	\$55,997	\$57,240	\$58,151
Total expenses (A+B)	\$65,214	\$63,592	\$64,838	\$66,100	\$70,031
2. Revenue per year					
<i>Tuition/Fees</i>	\$49,871	\$111,367	\$171,775	\$219,400	\$255,497
<i>Institutional Resources</i>					
<i>State Aid -- CBHE</i>					
<i>State Aid -- Other</i>					
Total revenue	\$49,871	\$111,367	\$171,775	\$219,400	\$255,497
3. Net revenue (loss) per year	(\$15,343)	\$47,776	\$106,937	\$153,300	\$185,466
4. Cumulative revenue (loss)	(\$15,343)	\$32,433	\$139,370	\$292,671	\$478,136

3.B.4. Financial and Academic Viability

The WSE MS-degree program is low-cost because we are leveraging existing campus faculty, courses, and space. The projected expenses of \$70,031 in year 5 will be fully counterbalanced by the tuition and fees associated with only 12 full-time students. The number of students needed for the WSE program to remain financially viable is less than half of our projected enrollment count for year 5 (20 full-time and 9 part-time students). Therefore, we expect that the WSE MS-degree program will remain

academically viable throughout its existence, and the existing faculty and campus resources that are leveraged for this program will continually support a vibrant and active learning environment.

We will evaluate the WSE program annually to track enrollments, costs, and revenue and compare it with our initial projections. This way any needed adjustments to marketing and recruiting can be made quickly. If the program is not on track to meet minimum financial viability in year 5, we will begin to phase the program out by not enrolling new students and cutting all marketing and recruitment costs. The program could be phased out over a few years as the existing students graduate.

Table 3a. Enrollment at the End of Year 5 for the Program to Be Financially and Academically Viable.

Enrollment Status	Full-Time	Part-Time	Total
Number of Students	12	0	12
OR			
Number of Students	10	4	14

3.C. Business and Marketing Plan: Recruiting and Retaining Students

Ms. Shobi Sivadasan, our Vice Provost for Enrollment Management, will oversee the WSE marketing program. We estimate annual marketing cost at \$7,700, which includes some travel expenses. When the WSE program launches we will prepare a press release and send out an announcement to appropriate professional societies, The Chronicle of Higher Education, as well as opportunities to target corporations and government agencies through a listserv or other forms of communication.

We plan to recruit students on our own campus who receive B.S. degrees in related science and engineering fields. We will also recruit B.S. students from other universities in our state, as well as nationally and internationally. Another of our recruiting strategies will be to send out recruiting information to universities in Missouri and the surrounding states that offer B.S. degrees in related fields. We will use resources such as the GRE exam search service, GEM Consortium, the McNair Scholars Directory, and other online directories to identify potential candidates who have demonstrated graduate-level readiness for our program. In addition to these efforts, we plan to build Standard Google AdWords and social media campaigns and SEO-based recruitment initiatives. Marketing efforts will also leverage the generous scholarship allowances built into our program. These scholarships will be posted on websites such as EducationUSA to ensure the word gets out to prospective students.

Other initiatives we plan to explore include partnering with STEM-focused undergraduate institutions that do not have master’s programs to create accelerated BS to WSE MS-degree pathways. Using our existing study abroad infrastructure, we

will also explore the creation of study abroad programs for students in the WSE MS-degree. This could boost international partnerships and recruiting efforts.

Each year after program launch, we will review marketing analytics and ROI from various campaigns to target a more focused audience. We will constantly monitor progress and revise our strategies during and after the recruitment/yield period.

We will leverage all campus initiatives for student success and retention, including existing efforts within each of the participating departments. This includes access to many networking and professional development opportunities. Students in the WSE MS-degree program will be engaged and encouraged by their individual academic advisors. The staff member dedicated to WSE will ensure that all the student activities available within individual programs on our campus are communicated and organized effectively.

4. Institutional Capacity

The WSE MS-degree program will leverage existing faculty, existing infrastructure, and existing course offerings. Therefore, there is little burden on existing campus resources. There will be no change in the day-to-day responsibilities for the supporting faculty in terms of teaching assignments for the WSE program, as the courses are already being taught to serve a variety of other disciplines. Participating faculty will mentor and advise additional graduate students and simply integrate these activities into their current research and service obligations. Current research and lab space is sufficient to service the projected WSE student load, as graduate students will be distributed among multiple departments and buildings on our campus.

5. Program Characteristics

5.A. Program Outcomes

Our students will be required to take courses from at least three course categories (Engineering Hydrology, Water Infrastructure and Remediation, Water Resources and the Environment, and Water Policy) as well as courses from at least three separate departments. This experience will provide them with a deep interdisciplinary knowledge of water resources that is unique to the WSE program. The learning outcomes for the WSE MS-degree program include the following:

1. Students will gain an interdisciplinary understanding of the hydrophysical, technological, and environmental aspects of water resources.
2. Students will learn to think critically about a wide variety of water resource challenges.
3. Students will learn how to design and propose multi-dimensional solutions to water-related problems.

5.B. Structure

A total of 31 graduate credit hours will be required beyond the B.S. degree. The curriculum structure is designed for student success. We want to provide students with maximum flexibility but also to have the opportunity to individualize their curriculum within the over-arching theme of water technology. This flexible, inter- and multi-disciplinary approach to educating graduate students is important for the development of a broad-based applied graduate degree program, but at the same time allows graduate students to gain an appreciable level of specialization that matches with their career objectives. The breakdown of course requirements is as follows:

Program Courses	18 hrs	Students must take 18 credit hours (6 courses) from the Program Course List. Students must take at least 1 course from three different course categories and also take at least 1 course from three separate departments. Course categories include Engineering Hydrology, Water Infrastructure and Remediation, Water Resources and the Environment, and Water Policy.
Additional Coursework	6 hrs	Students can take a combination of existing and newly developed graduate courses that are relevant to their degree plans. These courses must be approved by their advisor in consultation with their thesis committee and will be chosen based on their specific career goals and interests.
Graduate seminar	1 hrs	These hours will be accumulated from taking a graduate seminar course(s) offered by one of the affiliated departments.
Thesis research	6 hrs	Six credit hours in thesis research must be completed.
Total	31 hrs	

Non-thesis Option

A total of 31 graduate credit hours will be required beyond the B.S. degree. The breakdown of course requirements is as follows:

Program Courses	21 hrs	Students must take 21 credit hours (7 courses) from the Program Course List. Students must take at least 1 course from three different course categories and also take at least 1 course from three separate departments.
Additional Coursework	9 hrs	Students can take a combination of existing and newly developed graduate courses that are relevant to their degree plans. These courses must be approved by their advisor and

		will be chosen based on their specific career goals and interests.
Graduate seminar	1 hrs	These hours will be accumulated from taking a graduate seminar course(s) offered by one of the affiliated departments.
Total	31 hrs	

5.C. Program Design and Content

The curriculum was cooperatively developed by the seven participating programs to capture what we believe are the most relevant water-related graduate coursework on our campus and group it into four easily-recognizable units (Engineering Hydrology, Water Infrastructure and Remediation, Water Resources and the Environment, and Water Policy). Using this as a foundation, we developed a pathway that was flexible, but still exposes all WSE students to water-related courses of different types and in different departments. By ensuring every student has these interdisciplinary interactions, we can meet our learning goals and program outcomes.

There should be plenty of available courses for students of all backgrounds such that students will never be without a course option. By design the WSE courses will limit exclusionary pre-requisites; however, in some cases additional content may be required for a student to achieve success. In these cases, we will either provide accelerated modules with leveling assignments to prepare the student as they enter the advanced course, or we will require the student to take an additional leveling course. In general, being able to take the courses in any sequence is a huge advantage for enabling student success and limiting time to graduation.

No new courses have been added to support the WSE curriculum.

5.C.1. Program Structure Form

1. Total credits required for graduation:

31 credits are required for graduation

2. Residency requirements, if any:

None, except that campus research will be required for thesis-based students.

3. General education

Not applicable since this is a graduate degree.

4. Major requirements

One hour of graduate seminar is required for all thesis and non-thesis WSE students. The graduate seminar course is not listed below, as seminar courses can be taken in

any of the participating disciplines. Six hours of research credit are required for thesis MS students. Because we do not require specific course sequences, we include the list of program courses below. Thesis students must take 18 hours of program courses, including at least one course from three different categories and at least one course from three separate departments. Non-thesis students must take 21 hours of program courses, including at least one course from three different categories and at least one course from three separate departments.

LIST OF PROGRAM COURSES

Engineering Hydrology

1. *CIV ENG 6331 Advanced Hydraulics And Hydraulic Engineering* (LEC 3.0)
2. *CIV ENG 5338 Hydrologic Engineering* (LEC 3.0)
3. *CIV ENG 5330 Unsteady Flow Hydraulics* (LEC 3.0)
4. *CIV ENG 5331 Hydraulics Of Open Channels* (LEC 3.0)
5. *CIV ENG 5333 Intermediate Hydraulic Engineering* (LEC 3.0)
6. *CIV ENG 5337 River Mechanics And Sediment Transport* (LEC 3.0)
7. *CIV ENG 6338 Advanced Hydrology* (LEC 3.0)
8. *GEO ENG 5320 Groundwater Modeling* (LEC 3.0)
9. *GEO ENG 5331 Subsurface Hydrology* (LEC 3.0)
10. *GEO ENG 5332 Fundamentals of Groundwater Hydrology* (LEC 3.0)

Water Infrastructure and Remediation

1. *CIV ENG 5335 Water Infrastructure Engineering* (LAB 1.0 and LEC 2.0)
2. *CIV ENG 6340 Urban Hydrology* (LEC 3.0)
3. *CIV ENG 6335 Hydraulic Structures* (LEC 3.0)
4. *BIO SCI 6463 Bioremediation* (LEC 3.0)
5. *CHEM ENG 4210 Biochemical Reactors* (LEC 3.0)
6. *CHEM ENG 5110 Intermediate Chemical Reactor Design* (LEC 3.0)
7. *CIV ENG 5332 Transport Processes in Environmental Flows* (LEC 3.0)
8. *CIV ENG 5360 Water Resources And Wastewater Engineering* (LEC 3.0)
9. *ENV ENG 5630 Remediation of Contaminated Groundwater And Soil* (LEC 2.0 and LAB 1.0)
10. *ENV ENG 5635 Phytoremediation and Natural Treatment Systems* (LEC 3)
11. *ENV ENG 5619 Environmental Engineering Design* (LAB 1.0 and LEC 2.0)
12. *ENV ENG 6612 Biological Operations In Environmental Engineering Systems* (LEC 3.0)
13. *ENV ENG 6611 Physicochemical Operations In Environmental Engineering Systems* (LEC 3.0)
14. *GEO ENG 6237 Advanced Geological & Geotechnical Design For Hazardous Waste Mgt* (LEC 3.0)
15. *GEO ENG 5239 Groundwater Remediation* (LEC 3.0)
16. *GEO ENG 5381 Intermediate Subsurface Hydrology And Contaminant Transport Mechs* (LEC 3.0)

Water Resources and the Environment

1. *BIO SCI 4313 Introduction to Environmental Microbiology* (LEC 3.0)
2. *BIO SCI 6313 Environmental Microbiology* (LEC 3.0)
3. *BIO SCI 4383 Toxicology* (LEC 3.0)
4. *BIO SCI 4363 Freshwater Ecology* (LEC 3.0)
5. *BIO SCI 6363 Advanced Freshwater Ecology* (LEC 3.0)
6. *BIO SCI 6383 Advanced Toxicology* (LEC 3.0)
7. *CHEM ENG 5340 Principles Of Environmental Monitoring* (LEC 3.0)
8. *CHEM 4710 Principles Of Environmental Monitoring* (LEC 3.0)
9. *CHEM 5710 Environmental Monitoring* (LEC 3.0)
10. *ENV ENG 5605: Environmental Systems Modeling* (LEC 3.0)
11. *ENV ENG 5642 Sustainability, Population, Energy, Water, and Materials* (LEC 3.0)
12. *GEOLOGY 4431 Methods Of Karst Hydrogeology* (LEC 3.0)
13. *GEOLOGY 4411 Hydrogeology* (LEC 3.0)
14. *GEOLOGY 4451 Aqueous Geochemistry* (LEC 3.0)
15. *GEO ENG 5153 Regional Geological Engineering Problems In North America* (LEC 3.0)

Water Policy

1. *CIV ENG 5640 Environmental Law And Regulations* (LEC 3.0)
2. *CIV ENG 5650 Public Health Engineering* (LEC 3.0)
3. *POLY SCI 4500 Geopolitics and International Security* (LEC 3.0)
4. *POLY SCI 4320 Policy for Science, Technology, and Innovation* (LEC 3.0)
5. *ECON 4440 Environmental and Natural Resource Economics* (LEC 3.0)

5. Free elective credits

Thesis students must take 6 hours of additional coursework electives and Non-thesis students must take 9 hours of additional coursework electives.

6. Requirement for thesis, internship or other capstone experience:

A written thesis and formal thesis defense are required for thesis-based MS-degree students. There are no requirements for non-thesis students.

7. Any unique features such as interdepartmental cooperation:

As noted above, this is a highly unique program in that the cooperation stretches across seven separate programs and two colleges at Missouri S&T.

5.D. Program Goals and Assessment

We will adopt the Missouri S&T campus graduate learning outcomes (GLOs), which include the following:

1. Knowledge: An ability to apply knowledge of subject matter within their field of study
2. Communication: An ability to communicate effectively within their field of study.
3. Critical Thinking: An ability to engage in productive critical thinking within their field of study
4. Professional Development: An ability to develop professional within their field of study

These learning outcomes will be evaluated using a rubric applied to the written MS-thesis and the MS-thesis defense. The same GLOs for non-thesis students will be assessed within program coursework using existing assessment tools (quizzes, exams, presentations, etc.). Rubrics and measures will be established for several popular courses and data will be collected each semester by the administrative assistant assigned to the WSE program.

We expect to retain >90% of all WSE students who enter the program through graduation. Average graduation rates for full-time MS students will be 2 years. We project that 5 and 10 students will graduate from this program in years 3 and 5, respectively (Table 1C). The WSE program will not be relevant to achieving licensure as a professional engineer, geologist, or in other areas, as it is the undergraduate degrees that are important in these cases. Due to the high state and national demand for students with these skills, we anticipate a near 100% job placement rate.

5.E. Student Preparation

Students with undergraduate degrees from one of the seven participating programs (Biology, Chemistry, Chemical Engineering, Civil Engineering, Environmental Engineering, Geology and Geophysics, and Geological Engineering) or closely related degree programs will be able to succeed within the WSE MS-degree program. Entrance requirements will be the same as the university graduate student admission standards. The GRE exam will not be required for internal degree applicants.

5.F. Faculty and Administration

Although administered through the GGPE Department with oversight from the Department Chairs of GGPE (Borrok) and CAre (Burken), the WSE program will be independent of existing departments. Each of the participating departments will be

able to award the WSE degree. The GGPE department will handle admissions paperwork, the gathering of applications, assessments of student outcomes and learning objectives, student and employer surveys, and any internal reporting requirements. Drs. Borrok and Burken already have 50% administrative appointments and oversight of the WSE program will fall within these efforts. Additional duties will be managed with support from an additional administrative assistant who will be dedicated to the WSE program.

Other program duties will be managed by a committee of five faculty members, representing each of the five participating departments. Committee appointments will be made by the respective department chairs (or include them). This committee will meet to vote on accepting graduate students and assigning them among participating programs and advisors. The WSE committee will also decide on potential funding for MS thesis students. Graduate student assignments will be important, as credit for student numbers and advising will be distributed to the participating departments and programs. The committee will also work jointly on recruiting efforts and on any curriculum revisions.

For the MS-degree in WSE, minimum university graduate admission requirements will be adopted. Students desiring admittance to the program with insufficient engineering or scientific backgrounds will be required to take additional mathematics and/or technical electives to complete the program. Graduate student appointments will be managed by their program/department and students will be advised by the faculty within individual programs.

Instructional needs for the WSE program are not burdensome in that these courses are already taught within individual programs and can be easily co-listed to be affiliated with this new program. We anticipate only a modest (<10%) increase in existing course enrollments. All the courses will continue to be taught by full-time faculty. The names of the WSE faculty, their department and college affiliation, and expertise are presented in the table below. These are the faculty that will advise WSE students. We anticipate only modest increases in existing responsibilities, as WSE students can easily be integrated into existing research groups and labs.

List of Affiliated WSE Faculty

	Name	Department and College	Expertise
1.	Dr. David Borrok	Geosciences and Geological and Petroleum Engineering	Water quality, isotopes, aqueous geochemistry, water resources.
2.	Dr. Katherine Grote	Geosciences and Geological and Petroleum Engineering	Groundwater hydrology, agricultural systems, remote sensing and geophysics
3.	Dr. Ryan Smith	Geosciences and Geological and Petroleum Engineering	Groundwater resources and remote sensing, geophysics
4.	Dr. David Wronkiewicz	Geosciences and Geological and Petroleum Engineering	Aqueous geochemistry
5.	Dr. Cesar Mendoza	Civil, Architectural and Environmental Engineering	Hydraulics and open channel hydrology

6.	Dr. Joel Burken	Civil, Architectural and Environmental Engineering	Groundwater remediation and modeling, urban water systems
7.	Dr. Mark Fitch	Civil, Architectural and Environmental Engineering	Biological water and wastewater treatment, Sustainable water systems
8	Dr. Dev Niyogi	Biological Sciences	Aquatic ecosystem stress
9.	Dr. Melanie Mormile	Biological Sciences	Environmental microbiology
10	Dr. Honglong Shi	Chemistry	Analytical chemistry and drinking water research
11	Dr. Muthanna Al-Dahhan	Chemical and Biochemical Engineering	Water treatment
12	Dr. Fateme Rezaei	Chemical and Biochemical Engineering	Water treatment

5.G. Alumni and Employer Survey

As with our other programs, we frequently solicit feedback from graduating students and alumni and employers of our students using online survey instruments. We plan to survey all graduating WSE students. Our goal is to achieve and maintain a >90% satisfaction rate with our overall program. Surveys of employers will be done every 2 years to assess the performance of our students and to solicit feedback regarding their skills and career readiness that can be used to continually improve our program. Our goal is to achieve and maintain a >90% satisfaction rate with employers.

5.H. Program Accreditation

We are not seeking professional accreditation for the WSE program.

Executive Summary

B.S. in Education

The teacher shortage in our state was critical even before the COVID-19 pandemic; research indicates teacher quality is an essential variable in student success and preparation for college. As an institution with a heavy STEM emphasis, an education program at Missouri S&T provides needed teachers to schools in the state. Evidence of employer demand can be found in the [Missouri Department of Elementary and Secondary Education 2020 Teacher Shortage Report](#). The certification areas with the worse shortages include elementary (#2 on the list), middle school science (#7), middle school math (#8), and middle school language arts (#9), and middle school social studies (#16), all of which are emphasis areas in this proposal.

Teachers have been graduating from Missouri S&T since 2009; about 90 students are currently taking education courses or pursuing teacher certification at the university. This program has been successful for over ten years without a degree and even a department; we hope this degree will expand the program to produce more teachers for the south-central region of Missouri. A named degree program will help with recruitment externally and retention of internal students who do not match with another STEM field such as engineering.

A Bachelor of Science in Education is needed for recruitment of new students. A named degree will formalize the curriculum and allow the new Department of Teacher Education and Certification to manage the degree. Currently, students pursuing elementary or middle school certifications are in the Bachelor of Arts in Multidisciplinary Studies program; current students have concern that this generic degree makes them less marketable than others with an education degree. The proposed curriculum for this degree is streamlined, 121 credit hours in most cases, and designed to easily articulate with nearby community colleges. The Missouri Department of Elementary and Secondary Education has already approved the list of courses for the emphasis areas.

Education coursework has been offered at the institution for many years, even before students could complete on the S&T campus. The department offers at least ten courses every semester with enrollment ranging from 9 (for student teaching) to 28. This program has been viable even before establishing a named degree; a degree can only help with recruitment of new students. Recruitment of teacher education students will be focused on the south-central region of the state, where the need for teachers is great. The department has already had a sizable donation to the newly established Rural Teacher Scholarship Fund and hopes to create more partnerships with local school districts. Missouri S&T has invested in the department with the hiring of a chair in 2019 and two teaching professors for Fall 2020, as well as a shared hire with University of Missouri Extension. These new hires necessitated expanded office space, indicating the university's investment in the department and program.

No. 4

Recommended Action – B.S. in Education – Missouri S&T

It was recommended by Sr. Associate Vice President Steve Graham, endorsed by President of the University of Missouri Mun 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 the Missouri University of Science & Technology be authorized to submit the attached proposal for a Bachelor of Science in Education to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee: YES NO

Curator Hoberock

Curator Layman

Curator Snowden

Curator Wenneker

The motion _____.

Roll call vote of Board: YES NO

Curator Brncic

Curator Chatman

Curator Graham

Curator Hoberock

Curator Layman

Curator Snowden

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

New Degree Program Proposal:
Bachelor of Science in Education
Missouri University of Science & Technology

Contents

Executive Summary 5

1. Introduction 6

2. Fit with University Mission and Other Academic Programs 8

 2.A. Alignment with Mission and Goals 8

 2.B. Duplication and Collaboration Within Campus and Across System..... 9

3. Business-Related Criteria and Justification 10

 3.A. Market Analysis 10

 3.B. Financial Projections..... 13

 3.C. Business and Marketing Plan 17

4. Institutional Capacity..... 19

5. Program Characteristics..... 20

 5.A. Program Outcomes 20

 5.B. Program Design & Content..... 22

 5.C. Program Structure 23

 5.D. Program Goals and Assessment 30

 5.E. Student Preparation..... 32

 5.F. Faculty and Administration..... 32

 5.G. Alumni and Employer Survey..... 33

 5.H. Program Accreditation..... 33

References 33

(Some appendices are excluded from these materials for length and clarity and are available upon request.)

Executive Summary

B.S. in Education

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1. Introduction

For decades, students at Missouri S&T have enrolled in education courses to become certified secondary teachers. These graduates typically obtained jobs in rural school districts outside of Rolla and along the I-44 corridor to St. Louis. In 2013, the institution began offering elementary certification as a pathway in the Bachelor of Arts in Multidisciplinary Studies. This program required more STEM coursework, including computer science, than most other elementary programs in the state. In addition, the STEM emphasis of the campus means that the lower level science courses are taken by both majors and nonmajors. For example, there is only one General Chemistry (CHEM 13010) course offered at the 100 level, so students majoring in chemical engineering and chemistry take the same course as students majoring in English or history. This gives Missouri S&T teachers a strong STEM background, even if they are teaching elementary school. S&T's unique elementary education program also includes a Teaching STEM methods course with embedded Project Lead the Way Launch (PLTW) training, one of only two Missouri institutions to use this model. Multiple S&T alumni are currently teaching PLTW courses in elementary and high schools after their successful training at S&T. Since the original DESE approval of the program seven years ago, enrollment in the elementary pathway has grown to 42 students. For Spring 2021, nine students will graduate with elementary teacher certification.

Some of these students began as engineering majors and switched to teacher certification, allowing them to be retained at S&T and in the University of Missouri system. These students usually want to return to their hometown, which is a nationwide trend. These students want to be close to home on a small campus, and S&T fills that need. Without a teacher education program on campus, these students may have transferred or never attempted a career in education. The Missouri State Board of Education regularly hears reports on teacher recruitment and retention data, including surveys of students, parents, and teachers. A January 2020 survey indicated that 58% of students said that teaching was not presented as a career option. The outreach programs already conducted by the Department of Teacher Education and Certification help contribute to awareness of teaching as a profession in the rural schools of south-central Missouri.

Official statistics on teacher shortages actually understate the teacher shortage. In Missouri, teachers who receive their certification may teach in subject areas for which they have taken little-to-no coursework by simply passing an exam. While these "out-of-field" teachers help address the problem, it also means they are less qualified to provide the kind of high-quality, rigorous education desirable for student learning. At Missouri S&T, our teachers often graduate and work in rural areas where they need to teach multiple subjects. The rigorous STEM coursework makes them more prepared. While some reports indicate that teacher shortages may be cyclical, COVID-19 has the potential to decimate the teacher workforce. An annual survey by [EdWeek](#) indicated that one third of teachers were considering leaving their jobs in 2020, compared with a typical response of eight percent. Despite the circumstances, the

student teachers at Missouri S&T have been thriving in the current uncertain environment.

In 2018, S&T created a new Department of Teacher Education and Certification as a commitment of resources to fill the need for teachers in the region. The number of students seeking elementary certification with almost no advertising or recruitment demonstrates the demand that this program will meet. A named education degree program will help recruitment of new undergraduate students; currently, there is a lack of awareness that S&T even offers teacher certification. Despite this, about 90 students are pursuing teacher certification. For secondary teachers, the degree in the content area helps them be more competitive. However, current students with a Multidisciplinary Studies degree have concerns about the lack of a named degree and their ability to compete with students earning an education degree from another institution.

The Bachelor of Science in Education simply names what the institution is already offering. This allows the Department to make curricular decisions based on data and stakeholder feedback. The proposed degree formalizes the curriculum that is already approved with the Missouri Department of Elementary and Secondary Education. Offering these degrees would incur no additional cost and would streamline existing processes such as exempting requirements for the BA in Multidisciplinary Studies. The degrees can be completed in four years and articulate with surrounding two year colleges. The courses in this degree draw from existing classes offered on a regular rotation at S&T. The middle school emphasis areas draw upon not only education courses but also classes in other departments in CASB (College of Arts, Science, and Business) at S&T. A B.S. in Education will provide more visibility for the department's offerings and be more aligned with the degree other universities offer for teacher certification.

Even without the degree, the teacher education program at S&T is strong; 89% of principals reported that graduates' preparation was good or very good, according to the DESE First Year Teacher Survey. Graduates are highly sought after by principals in the area; their only request is that S&T send them more. Students have a high pass rate for the required, Missouri Content exam (MoCA); for example, in July 2020, when test centers reopened after Covid, 10 students took the MoCA and 9 passed on their first attempt.

Last year, 68 applicants were admitted for teacher education, an increase of 54.55% over the previous year, even with the pandemic. The two most popular programs were mathematics and elementary education, the BA in Multidisciplinary Studies currently in use. As of November 30, 2020, 47 students had already applied for Fall 2021, and 32 applicants have already been admitted, with elementary education using the BA in Multidisciplinary Studies being the most popular. These numbers demonstrate the interest in the program. Students who attend campus visits report applying to Missouri State, Southeast Missouri State, or Lindenwood in addition to S&T.

While the program does help retain students at the institution, education also attracts new applicants; for degrees with secondary education programs like applied mathematics, biology, and others, the teacher certification attracts students to campus. A new Global Engineering program, will populate the B.A. in Multidisciplinary Studies, so numbers in this degree should not suffer with the addition of the B.S. in Education.

The contact person for this proposal is Dr. Beth Kania-Gosche. Dr. Kania-Gosche is chair and professor of the department of teacher education and certification. She began in July 2019 and came to S&T with five years of experience as an associate dean at a large School of Education at a private institution. She is familiar with Missouri certification regulations and has already facilitated the approval of the middle school certification offerings by DESE. She has been a site visitor for both national accrediting agencies in education (CAEP and AAQEP), has worked on numerous DESE committees, and is current president of the Missouri Association of Colleges for Teacher Education.

Expenses for this position and two teaching professors were already budgeted when the new department was created. Very few new resources are needed to launch this degree program; the department has sufficient staffing and office space because courses are already running with healthy enrollments.

2. Fit with University Mission and Other Academic Programs

2.A. Alignment with Mission and Goals

The B.S. in Education degree program fits within the university mission and strategic plan. The mission statement specifically references serving our state, and Missouri, like almost all states, is in the midst of a teacher shortage crisis in rural areas. An investment in teacher education is an investment in the institution. Graduates of the program work in area schools to prepare students to then attend the university. High quality STEM high school and middle school teachers inspire students to pursue those career paths and attend S&T or other higher education institutions.

The S&T strategic plan recognizes this in the compact titled “Excellence in Engagement and Outreach.” The first objective is “inspire students to pursue careers in STEM disciplines,” and the first strategy specifies “inspire Missouri S&T students to become certified K-12 teachers particularly in underserved areas and in STEM disciplines.” The metric for this strategy is to grow enrollment, and the addition of the middle school programs and the named degree are designed to do just that.

In addition, this proposed degree fits with the strategic plan in other ways. For example, Strategy E in the Compact for Student Success is about shortening time-to-degree. The middle school programs offer another option for students pursuing secondary certification, which requires an entire degree in their content area while still maintaining a 3.0. The middle school programs require fewer content courses

because those graduates will teach at a lower grade level. This provides an option for completion for secondary students struggling to meet the 3.0 content GPA requirement for teacher certification. Previously, these students would be ineligible for student teaching if their content GPA fell below the benchmark or if they were unable to successfully complete a complex upper level course. These students could be effective teachers but may not be suited for the curriculum designed to propel undergraduates to graduate school. The middle school program is also a good option for transfer students who want to become teachers but still graduate in four years.

Collaboration with community colleges helps recruit students who used A+ money and helps keep the cost of a degree affordable, another element of the strategic plan. This degree program aligns with Strategy C in the Inclusive Excellence compact: “Encourage the development of new and existing curricular and co-curricular programs that promote academic and personal growth of traditionally underserved students.” Community colleges are a source of more diverse student populations, and those students with an associate degree have already demonstrated their abilities. The department chair has already successfully consulted with colleagues at East Central, State Fair, Metro, and Jefferson, and communication is ongoing with other potential community college partners.

2.B. Duplication and Collaboration Within Campus and Across System

Missouri S&T’s student population is ideal for attracting high quality STEM teachers. All other UM system institutions offer an education degree of some type; however, Rolla is near many rural school districts struggling to find teachers. The department chair has already communicated with administrators and faculty in Columbia and St. Louis about sharing online courses for students who need courses off the scheduled rotation. S&T will also offer a small number of asynchronous online courses beginning Spring 2020 which would be available for course sharing to other system students. In spring 2021, the department will pilot offer elementary reading methods courses as two, deliberately paired eight-week courses instead of two full semester courses. The department will also offer online asynchronous summer courses for the first time in Summer 2021.

A challenge for any course sharing in the UM System for education is that each institution has its own approved curriculum with DESE. Although the culminating credential is the same, each institution submitted a separate list of courses to the state for approval. While some courses are similar, others vary dramatically, making course sharing difficult. These course lists are available in a searchable directory on DESE’s website: <https://dese.mo.gov/educator-quality/educator-preparation/programs>. In addition, each university has different content courses across many departments, i.e. psychology; this makes sharing programs almost impossible without all parties rewriting curriculum to align.

In addition, field experiences, including student teaching, typically require faculty to observe students teaching in the classroom. Faculty housed at Rolla can travel to area

school districts with less mileage and time. While urban and suburban districts have the broadband to support virtual observations if needed, most rural school districts do not, requiring in person visits or recordings. In addition, these faculty make connections with the local schools when visiting, and the Department of Teacher Education and Certification is very active with many community outreach programs. With many schools moving to virtual or hybrid schedules, supervisors have to creatively work with student teachers given the current circumstances.

Articulation agreements for elementary certification already exist with some surrounding two-year colleges such as East Central and State Fair. S&T graduates are already working as elementary teachers in Missouri public schools along the I-44 corridor. Most students return to teach near their hometown (McCardle, 2019), and most students seeking teacher certification at S&T are from regional rural school districts; therefore, there is no overlap with other UM system campuses or other public colleges and universities. They like the small campus and would not be comfortable transferring to an urban campus like UMKC or UMSL or the large campus in Columbia. These students may not have pursued teaching at all if it was not offered at S&T. Offering teacher education at S&T is a commitment to the quality of the education and workforce of the south-central region of the state, where the need is great.

No existing programs will be deleted or placed on inactive status. The Bachelor of Arts in Multidisciplinary Studies will remain, and future plans include using that degree to develop a global engineering program. Some of the courses in this program are used by biology, chemistry, applied mathematics, physics, history, business, economics, and psychology for teacher certification.

3. Business-Related Criteria and Justification

3.A. Market Analysis

3.A.1. Need for Program

Elementary education is the highest teacher shortage certification area with 386 jobs across the state left vacant or filled by an unqualified applicant, according to [DESE's 2019 report](#), and rural school districts are having the most difficulty. According to the *Talent for Tomorrow* report issued by the Missouri, the demand for central region elementary teachers will be 2,159 jobs in the next five years. Last year, 1,717 elementary candidates graduated in the entire state, with many of these graduates concentrated in St. Louis and Kansas City. These data were reported prior to COVID-19; the pandemic will only exacerbate the teacher shortage.

The middle school emphasis areas are new to S&T, although no new courses are needed. The shortages in these areas are listed in the table below, all are from DESE's 2018-19 report and the federal Title II data on completion from 2017-18. As the number of graduates from teacher education programs falls nationally, recruitment of qualified candidates, particularly in STEM fields, becomes more pressing.

Table 3.A.1.1 indicates the annual shortage of teachers in 2018-19 compared to the statewide enrollment in programs. Note that this is enrollment over an entire program, not completers. This indicates the need for middle school teachers across the state; in a single year there are more vacant positions than enrolled students in STEM fields.

Table 1: Missouri Teacher Shortage Data

Certification	Annual Statewide Shortage (FTE)	Statewide Enrollment*
Middle School Science	132	117 (24 from ABCTE, 14 from DESE Temporary Authorization)
Middle School Math	127	140 (36 from ABCTE)
Middle School Language Arts	110	151 (44 from ABCTE)
Middle School Social Studies	84	119 (37 from ABCTE)

*As reported on Missouri Title II data from approved educator preparation programs

**ABCTE is a legislated alternative certification program in which students pass a test and take online modules. No student teaching or coursework is required.

[DESE's Equity Plan](#) Data Chart reports on the differences in schools in varying categories, including rural, high minority, and high poverty. Rural schools had the highest percent of less than qualified teachers at 16.7% and the highest percent of educators teaching “out of field” at 14.9%. Thus, the teacher shortages in Missouri often vary by the type of school, and Missouri S&T’s small size is attractive to rural high school students.

The American Physical Sciences Society for Physics (Marder, Brown, & Plisch, 2019) reported that half of STEM majors considered teaching, and that those students tended to underestimate teacher salaries. In a student population where more than 80% of degrees conferred are in the STEM fields, S&T could significantly contribute to eliminating the statewide STEM teacher shortage with focused recruitment and partnerships with rural high schools. The Rural Teacher Scholarship, established in summer 2020, will begin to attract students with this focus, and the department hopes to partner with S&T content areas for submissions of grants such as the NSF Noyce Teacher Scholarship program.

3.A.2. Student Demand for Program

Students in the existing pathways of elementary and secondary have often requested a middle school option for certification. This option is more flexible in regard to the DESE requirements for content courses. This also meets the need of students who love a specific content area but also want to teach younger students than high school. Only one course is exclusive to the middle school emphasis area; all other education and content courses are used by multiple degree programs. This efficiency allows the middle school emphasis areas to be academically and financially viable even with low enrollment in individual emphasis areas.

S&T's program allows students to return home for their student teaching semester. This allows them to save money and possibly teach in a school with a job opening the next year. The statewide student teaching evaluation instrument allows us to hire a university supervisor in the area if needed. The flexible choice for student teaching placement is appealing to current students.

The access to higher education that S&T provides to the south central region is essential. The Missouri Department of Higher Education noted in their review of academic programs in 2011 that they "identified high priority but low-producing programs in foreign languages, teacher education and STEM fields that should be strengthened for the state to fulfill projected work force needs, grow economically and compete globally" (p. 16). This degree proposal is following that recommendation.

Enrollment Projections Table

The degree uses existing courses, so students could switch degrees immediately once the degree is approved.

Table 2: Student Enrollment Projections (anticipated total number of students enrolled in program during the fall semester of a given year).

	2021	2022	2023	2024	2025	2026	2027
Full-time	28	45	81	96	105	112	112

We do not anticipate any part-time students seeking an undergraduate degree; this status is rare in our current student population. However, secondary students do take education coursework although they are not a part of the proposed degree. We are also in the process of submitting an undergraduate certificate program in Teaching and Learning. These additional programs will supplement the course enrollment in EDUC classes, although they do not count as completers because they earn a content degree.

Table 3: New Student Enrollment Projections (anticipated number of students enrolled in the program during the fall semester of a given year that are new to campus).

	2021	2022	2023	2024	2025	2026	2027
Full-time	8	23	41	63	79	89	89

Tables 2-3 provide enrollment projections across all of the degree program’s emphasis areas. Table 4, below, provides estimated degree conferrals across the different emphasis areas included in the degree program.

Table 4: Projected Number of Degrees Awarded

	2021	2022	2023	2024	2025	2026	2027	2028	2029
Middle School Science	0	0	0	0	2	4	6	9	10
Middle School Math	0	0	0	0	2	5	6	10	11
Middle School Language Arts	0	0	0	0	0	1	2	4	5
Middle School Social Studies	0	0	0	0	0	2	5	7	9
Elementary	3	5	7	9	10	12	12	15	18
Total Degree	3	5	7	9	14	24	31	45	53

This degree program is designed to be transfer-friendly, so it is anticipated accepted elementary students may not take four years to complete because they have completed hours at a community college.

3.B. Financial Projections

3.B.1. Additional Resources Needed

Very few new resources are needed to offer this degree. The courses will continue to be on the schedule, and students are already in the pipeline to become teachers. The department already had resources including a set of Chromebooks, iPads, Vex robots, and other educational materials. The department recently obtained more office space in Centennial Hall 215 for Fall 2020.

Financially, the B.S. degree in Education will bring in net income to the University because there are no new expenditures, and every enrolled student would pay tuition and fees. The Department and staff have already been established and would be in existence if the degree was not proposed. The Department has already been deemed financially viable with current enrollments, and the proposed degree can only increase visibility of the program.

Currently, a staff member functions as the advisor for secondary students and faculty advise elementary certification students. There are no teaching assistants, and students have direct access to faculty. Class enrollment generally is between 13-19 students, so there is room for higher enrollments without adding new sections. An example of the program growth and new, more efficient scheduling model is the enrollment of 28 students in EDUC 3216, Reading in the Content Area, taught by the chair for Spring 2021. This course is taken by all teacher education students, including secondary.

The new course described for the middle school program has already been developed; Dr. Michelle Schwartz received a CAFÉ grant for this work. A syllabus submission was required for DESE approval of the middle school certification program, so there is no need for resources to develop the course.

3.B.2. Revenue

The program will be run on the current budget model from the department's general revenue allocation. Departments do not receive funds based on student credit hour at the undergraduate level. These general revenue funds are distributed to the colleges.

The department also supports secondary students pursuing certification. These students take 33 credit hours of education coursework, although their degree is in the content area. Those students were not included in the enrollment projections above, except as noted. The consistent secondary student enrollments in the EDUC courses are why this proposed degree requires so few resources.

Potential sources of revenue include the National Science Foundation Noyce Scholarship program. This grant program is designed to recruit STEM majors into teaching using scholarships and stipends once they enter the teaching force. The department also submitted a proposal to the state grants titled MoExcels, which was focused on workforce development. Although the funds for these grants were eliminated with the current pandemic, if reinstated, these funds or similar workforce development grants may have revenue potential. As of December 1, 2020, the department was requested to resubmit the MoExcels proposal with any revisions for possible funding. The department has also been working with the College of Engineering and Computer Science on multiple NSF grants to involve teachers and preservice teachers in professional development focused on manufacturing and artificial intelligence.

3.B.3. Net Revenue

Table 5, below, provides estimates of net revenue. This program is projected to generate net revenue beginning in its initial year, with net revenue reaching \$300,567 per year by Year 5 following implementation.

Table 5: Expenses and Revenue

	Year 1	Year 2	Year 3	Year 4	Year 5
1. Expenses per year					
A. One-time					
<i>New/Renovated Space</i>	0	0	0	0	0
<i>Equipment</i>	0	0	0	0	0
<i>Library</i>	0	0	0	0	0
<i>Consultants</i>	0	0	0	0	0
<i>Other</i>	\$5,000	\$5,000	0	0	0
Total one-time	\$5,000	\$5,000			
B. Recurring					
<i>Faculty</i>	0	5,000	10,000	10,000	15,000
<i>Staff</i>	0	0	0	0	0
<i>Benefits</i>	0	0	0	0	0
<i>Equipment</i>	0	0	1,000	2,000	3,000
<i>Library</i>	0	0	0	0	0
<i>Other</i>	10,800	12,800	13,300	13,300	13,300
Total recurring	10,800	17,800	24,300	25,300	31,300
Total expenses (A+B)	\$15,800	\$22,800	\$24,300	\$25,300	\$31,300
2. Revenue per year					
<i>Tuition/Fees*</i>	94,565	165,354	284,615	344,068	383,851
<i>Institutional Resources</i>					
<i>State Aid -- CBHE</i>					
<i>State Aid -- Other</i>					
Total revenue	\$94,565	\$165,354	\$284,615	\$344,068	\$383,851
3. Net revenue (loss)	\$72,931	\$142,672	\$262,926	\$318,400	\$359,615
4. Cumulative revenue (loss)	\$72,931	\$215,603	\$478,529	\$796,930	\$1,156,545

*Based on new enrollments in B.S. in Education only; internal transfers not included.

3.B.4. Financial and Academic Viability

The elementary certification is already being offered as a Bachelor of Arts in Multidisciplinary Studies and has been since 2014. The courses are currently offered on a rotation because of the small student population. Currently, the schedule has room for additional students in the existing courses.

The department already has a chair and two staff to support students in the existing programs. The department supports the education emphasis in the business, biological sciences, chemistry, economics, English, history, mathematics, psychological sciences, and physics departments. These students were not included in enrollment numbers above because they are in the degree area of their content; however, they take 33 credit hours of education coursework.

Expenses and equipment are listed to cover purchase and maintenance of technology and hot spots for virtual observations, travel to student teaching and field experience sites, as well as mentor teacher training and stipends. As the number of completers rises, there is a small cost to supervising those students in their student teaching placements.

No state aid or faculty salaries are included in this table because current state funding covers all department salaries; no new faculty or staff are being requested. The amount listed for faculty in Table 5 is for adjunct professors to supervise student teachers and teach courses, as needed. While full time faculty current teach all courses, as enrollments rise, adjunct professors may be needed, particularly for student teaching supervision.

Table 6. Enrollment at the End of Year 5 for the Program to Be Financially and Academically Viable.

Enrollment Status	Full-Time	Part-Time*	Total
Number of Students	30	50	80

*Calculation includes students in secondary certification pathways that contribute revenue to the program.

Courses in this program also support education emphasis areas in other departments. Typically, about 60 students are enrolled in the secondary certification pathways. These students are counted as part time students in the calculation above, but these students were not included in previous tables of new students. The teacher education program attracts students who want to be secondary teachers; without this program, those students would not choose to attend Missouri S&T.

3.C. Business and Marketing Plan

3.C.1. Marketing Plan

The department had set aside \$5,000 for marketing and promotion of the new degree programs, including recruitment travel, but the availability of these funds and ability to travel may be impacted by COVID-19. The department chair has already worked with the marketing department to create a new flyer and video. These are easily edited to include the new degree programs. The department chair has partnered with admissions to visit regional college fairs at rural schools to increase awareness of the program. The department chair is also coordinating with two year community colleges including East Central, State Fair, and Ozark Technical College to arrange virtual classroom visits and attend transfer fairs. The department S&T faculty and students attend the state conference for Future Teachers of America, and the department has reached out to area high school FTA chapters to offer students and faculty as potential speakers for local events. The department advisory board has organized two virtual recruitment events for December 2020, and marketing was sent to all community colleges in the area.

The department will capitalize on existing S&T initiatives such as the Expanding Your Horizons conference for middle school girls and the Teaching with Technology conference offered to K-12 educators and higher education faculty in March. The department chair is developing partnerships with area school districts to begin “Grow Your Own Teacher” programs, following the recommendations of DESE and the national organization AACTE. The department works closely with the South Central Regional Center for Professional Development for distribution of advertisement of course offerings, workshops, and speakers.

An active social media presence and updated website will assist with awareness of the new department, and news releases such as the recent one announcing the approval of middle school programs will continue. The department participated in research with the Dean for Impact organization, along with UMSL, and is now a member of the American Association of Colleges for Teacher Education (AACTE). These steps, along with state, regional, and national presentations by department faculty, help build awareness that teacher education is an option at S&T, which is often known for STEM, specifically engineering. The department and its student group frequently participate in campus fairs and other activities to bring awareness to the campus community.

The department chair has presented to the S&T professional advisors on staff for Freshmen Engineering students. Admissions has made a point to include a teacher education alum on a panel for potential new students, and the chair met with all admissions counselors and coaches in the athletic department to describe the program offerings of the department. These internal awareness opportunities have already resulted in visits from potential student athletes and questions from applicants answered quickly by the department chair because they were forwarded from admissions. These small steps have resulted in 95 applications and 65

admissions for Teacher Education and Certification for Fall 2020, a 40% increase over the past three years despite the COVID-19 crisis. The department is on a similar pace for Fall 2021, despite the uncertainties of the pandemic.

Institutional advancement recently partnered with the department to create a “Rural Teacher Scholarship” fund. This fund has already had a donation of \$25,000. This fund complements two other scholarships established specifically for students seeking teacher certification.

With the STEM emphasis at Missouri S&T, the newly established department of Teacher Education and Certification, in partnership with other content departments, would have the capability to apply for grants such as the NSF Noyce Teacher Scholarship. The department chair has already worked with engineering faculty on an ERC grant with an outreach component for high school and middle school teachers.

3.C.2. Student Success Plan

Students in certification programs can access all campus support services including the writing center, tutoring, etc. Students in certification programs have high pass rates on state required exams. The department has purchased study guides for each Missouri content exam. A donor recently funded the testing and background check fees for students in the program.

Since the program is small and the courses offered on a rotation, students form a natural cohort. The current students communicate through informal channels using GroupMe and other technology. The department also has a Canvas community for all students in the program. This allows for announcements, advising files, teaching resources, professional development opportunities, and other resources to be shared with students in the program. Since students use Canvas for courses, this lets them access the resources when needed rather than searching through emails. This reserves the department website for recruitment rather than information for current students.

The staff advisor monitors midterm grades and lists of dropped courses. She contacts students who have not enrolled every semester, and she has a four year plan on file for each student in the program. The staff advisor meets with every student for advising each semester, and she has an individual orientation meeting with each new student to review the program requirements. She also works closely with content area faculty to advise secondary students. If students are approaching the GPA threshold for either content or cumulative, she will offer alternatives such as grade replacement. Because the courses in teacher education are on a rotation for more efficient scheduling, she may offer course sharing options for students who are off rotation.

3.C.3. Transition Plan

Dr. Kania-Gosche is primarily responsible for the program. She has created a curriculum map for the programs, in collaboration with other faculty and content faculty. All documents created or modified by her, including handbooks, syllabi, MOUs with school districts, etc. are accessible to other members of the department, including staff. The data from first year teacher surveys and any other assessments are also shared with faculty during regular meetings for program improvement. All documents, including a curriculum map and all recruitment materials, are kept in an institutional, shared Google drive that all full-time faculty and staff can access. Decisions are made collaboratively with faculty as much as possible, and minutes are kept at meetings to document decisions and discussions. Prior to Dr. Kania-Gosche's arrival, an interim chair ran the department for the first two years. While not ideal, the department still functioned.

3.C.4. Exit Strategy

Elementary teacher certification has been offered on campus for the past six years and has been determined to be viable. Teacher certification in secondary areas is typically over 60 students and has remained steady for the past ten years. However, if needed, course sharing with other UM System schools could be used if courses were not offered. All UM system campuses have student teaching supervisors that could potentially supervise student teachers remotely if capacity allowed.

4. Institutional Capacity

The department currently consists of five faculty and two staff, and three courses in the program are taught by a full-time psychology faculty member. If needed, the department could employ adjunct instructors; adjunct professors are typically educators who work during the day and bring current practices from the field into the classroom. With a small student population, education courses are offered on a rotation, but students have the option of taking online courses from other UM system campuses if necessary. For courses with a field experience component, enrollment caps may be necessary because the professor must visit schools and observe students teaching.

The department already purchased a library of curriculum materials and technology tools for use in the classroom. The department also has access to resources at the South Central Regional Center for Professional Development including technology equipment, professional development. S&T students and faculty can attend workshops at no cost.

Education courses are typically offered in Centennial Hall because of furniture purchased from a CAFÉ grant for a research study by Dr. Michelle Schwartz. This also avoids professors having to carry robots, STEM materials, chromebooks/iPads,

or other materials needed for class across the campus, particularly in the winter months. Prior to Fall 2020, these classrooms provided the necessary space, although other classrooms on campus are available if needed.

The faculty capacity is described in that section of this document. Two new NTT faculty were hired for Fall 2020, demonstrating the university commitment to the department. This allows the department to teach all courses with full time faculty members. The department faculty do not burden the existing resources on campus, and, in fact, they supplement the educational expertise in CAFÉ. For example, Dr. Kania-Gosche has presented at the Graduate Teaching Assistant workshops on formative assessment for student engagement, and she has also assisted in training for the peer tutors on S&T's campus.

All faculty in the department are skilled in using technology to deliver instruction. Dr. Kania-Gosche has previous experience teaching online with Canvas and assisting faculty with transitioning to Canvas from a previous course management system. Four faculty members in the department have enrolled in the ACUE cohort to enhance their skills in online teaching, which they can then translate to the K-12 environment and include in their courses. As experienced teachers, all faculty have knowledge and awareness of best practices in online education. Dr. Kania-Gosche and Dr. Schwartze have presented at various conferences about technology integration; two recent conference sessions included Breakout EDU and Flipgrid which they have both used successfully in their courses.

5. Program Characteristics

5.A. Program Outcomes

The following outcomes mirror the Missouri Teacher Standards that are used in K-12 schools across the state for evaluation of practicing educators. Several of these standards, including standards 1 and 4, have been modified to reflect the STEM emphasis of S&T.

Missouri S&T education program graduates will . . .

1. create learning experiences that make the central concepts, structures, and tools of inquiry of the discipline(s) of subject matter, particularly STEM fields, meaningful and engaging for all students.
2. provide learning opportunities that are adapted to diverse learners and support the intellectual, social, and personal development of all students.
3. develop, implement, and evaluate curriculum based upon student, district and state standards
4. use a variety of instructional strategies and resources to encourage students' critical thinking, problem solving, and performance skills with emphasis in STEM

5. create a learning environment that encourages active engagement in learning, positive social interaction, and self-motivation.
6. model effective verbal, nonverbal, and media communication techniques with students, colleagues and families to foster active inquiry, collaboration, and supportive interaction in the classroom.
7. monitor the performance of each student through formative and summative assessment strategies, and devises instruction to enable students to grow and develop, making adequate academic progress.
8. continually assess the effects of choices and actions on others and seek out opportunities to grow professionally.
9. have effective working relationships with students, parents, school colleagues, and community members

Students in this program will graduate meeting all the requirements for Missouri teacher certification including passing the Missouri Content exam. Historically, students in this program have high pass rates on these assessments. DESE provides all educator preparation programs with job placement data for public Missouri schools. Fifty-four teachers who graduated from S&T since 2010 were employed in public Missouri schools in 2019-20. This also demonstrates the gender diversity this department offers the S&T campus, which is heavily skewed toward men. However, these data indicate high percentages of women in biology and math.

Table 7 Program Completer Missouri Teaching Job Placement 2010-2019

Certification Area	Female	Male	Grand Total
BIOLOGY 9-12	9	0	9
CHEMISTRY 9-12	1	0	1
ELEMENTARY ED 1-6	7	2	9
ENGLISH 9-12	10	0	10
MATHEMATICS 9-12	10	4	14
SOCIAL SCIENCE 9-12	3	8	11
Grand Total	40	14	54

The elementary program has a unique component in the STEM Methods course. Elementary students will also earn Project Lead the Way (PLTW) Launch teacher training. This training would cost a school district \$800, but Dr. Michelle Schwartz is a certified trainer. The content from the PLTW training is embedded within the STEM Methods course, and students do not pay any fees.

Learning outcomes for the program are based on the Missouri teaching standards which are used by principals to evaluate practicing teachers in the state. The Missouri

teaching standards can be cross-walked to the national standards. These standards are the basis for the first year teacher survey and employer survey issued by DESE annually; results are available to institutions in late summer. The appendix of this document displays S&T's results.

The teacher shortage is not unique to Missouri, and graduates of this program can apply for reciprocal licensure in another state. With the teacher shortage, licensure is usually a matter of taking that state's exam. A survey of alumni in spring revealed graduates in Utah, Texas, Washington, West Virginia, and Georgia, among others.

5.B. Program Design & Content

The B.S. in Education follows the basic structure and requirements for any B.S. degree on the Missouri S&T campus. The courses required for this degree align with the competencies mandated by DESE as well as the framework of the exams needed for certification. Whenever possible, we chose courses that aligned with existing programs in the content areas so that students had options for courses to meet requirements. Any course substitutions must be approved through the Department of Teacher Education and Certification to ensure adherence to DESE requirements. These requirements are publicly available on DESE's website and updated for any curriculum changes.

Students must apply for professional standing in the department when they have 60 credit hours. Professional standing requires a fingerprint background check as part of a substitute teacher application to a school district, an interview with the department chair, and successful completion of the first 12 hours of education coursework including one field experience course.

As with all teacher education programs, the final semester in the program is student teaching. Students must have all course requirements complete and have passed the appropriate [Missouri Content Assessment](#) to be eligible for student teaching. Students must have a 2.75 cumulative GPA or the potential to earn this by the end of student teaching. A 3.0 GPA in the content area is also required for student teaching.

The requirements for each emphasis area are listed in the following tables. All of the education emphasis areas, including those in other departments, include the following courses (prerequisites are noted in parentheses):

- EDUC 1040 Perspectives in Education, 2 (education emphasis declared)
- EDUC 1104 School Organization and Administration, 2 (EDUC 1040)
- EDUC 1164 Teacher Field Experience I, 2 (EDUC 1040)
- EDUC 1174 Teacher Field Experience II, 2 (EDUC 1040, 1104)
- EDUC 2102 Educational Psychology, 3 (PSYCH 1101)
- EDUC 3216 Teaching Reading in the Content Area, 3 (EDUC 1040)
- EDUC 4310 Psychology of the Exceptional Child, 3 (PSYCH 1101)

EDUC 4298 Student Teaching Seminar, 1 (Prerequisites: Meet all requirements for student teaching and concurrently be enrolled in student teaching)

EDUC 4299 Student Teaching, 12 (Prerequisites: Professional standing and arrangements made previous semester)

This allows us to streamline the course offerings, which also gives students the flexibility of taking their first 12 hours of coursework before deciding on a specific grade level. These courses are also required for secondary teacher certification.

5.C. Program Structure

The program is designed as a primarily face-to-face delivery model, with a few appropriate courses offered asynchronously online. If necessary, the department can pivot courses to synchronous online; this was done successfully in March 2020 with little differences in course evaluations or grade distributions. These online asynchronous courses include Children's Literature and Assessment for Student Learning. The program uses existing coursework in both education and other content departments, requiring only one new course for middle school programs. Two online asynchronous summer courses will be offered in 2021; funding to pay faculty is based on course enrollment, following the College of Arts, Science, and Business funding model. If students are not enrolled, the courses will be canceled because no funds will be available to pay instructors. These courses have already been developed because they were needed for DESE approval, as such no faculty stipends or additional resources are devoted to this in the budget.

The curriculum is designed with research-informed strategies for student retention. The first course, EDUC 1040 Perspectives in Education, has no prerequisites. Students can enroll in this course their first semester on campus. This and the first field experience course, EDUC 1104, which is taken the following semester, help students determine early if education is the best fit for their major. EDUC 1104 involves students observing in a school environment as well as other educational experiences such as the Applied Language institute on campus, after school activities, camps, robotics events, and other diverse experiences such as the parochial school next to campus. Students must have a cleared background check to enroll in any field experience course.

Each methods course involves a field experience in a local elementary or middle school where students teach a lesson after observing and working with teacher throughout the semester. This allows them to gain experience teaching each subject before entering student teaching. A more sustained field experience course, EDUC 1164, helps students participate in full school days prior to student teaching; ideally this course is taken the semester before student teaching if schedules allow.

The program is designed with the last semester as student teaching, with no additional courses taken at that time to help students be successful. The programs

articulate with area two year community colleges including State Fair, Ozark Technical College, and East Central. These transfer guides are listed on [S&T's website](#). The new degree proposal will require no new negotiated transfer agreements; we only need to change the name of the degree at the top.

5.C.1. Program Structure Form

The advising forms for each emphasis area appear in the following tables. The program course requirements will be re-examined regularly based on assessment data and offerings by content departments. Note that because of S&T's STEM focus and smaller size, content STEM courses are often taken by both majors and nonmajors. Although a nonmajor course may be listed in the catalog for transfer student equivalencies, these courses are not offered on the campus. For the elementary emphasis, students are required to take computer science, three science courses, and two math courses, at a minimum. This content is in addition to two math methods courses, a science methods course, and a unique STEM methods course with embedded Project Lead the Way Training. This means S&T elementary students take at least 10 more credit hours in combined STEM and STEM education coursework than other elementary programs.

The middle school programs were designed to use existing courses in various departments. These courses were chosen based on the assessment framework for the content exam in the appropriate area and consultation with content area faculty. Many of these courses overlap with requirements for the secondary teacher certification. General education courses may be substituted as determined by the department chair, as described in existing S&T policy. Specific curricular overviews are provided on the following pages.

Table 8: Elementary Requirements (121-126 hrs.)

	HRS		HRS
GENERAL EDUCATION:		PROFESSIONAL REQUIREMENTS:	14
COMM SKILLS	9	EDUC 1040*	2
ENG 1120	3	EDUC 1174*	2
ENG 1160	3	PSYCH 2300*/ED 2102*	3
SPEECH 1185	3	PSYCH 3310*	3
HUMANITIES	12	PSYCH 4310*/ED 4310*	3
		EDUC 4298*	1
Literature	3	CLINICAL EXP	16
Art 1180 or Music 1150	3	EDUC 1104*	2
Philosophy 1105	3	EDUC 1164*	2
Humanity Elective	3	EDUC 4299*	12
SOCIAL SCI	18	DEGREE	33
PSYCH 1101	3	EDUC 3530 SS*	3
ECON 1100 or 1200	3	EDUC 3430 C Lit*	3
History 2110	3	EDUC 3220 Sci*	3
Hist 1100 or 1200 or 1300 or 1310	3,3	EDUC 3215*	3
Pol Sci 1200	3	EDUC 3216*	3
MATH/SCIENCE	19-24	EDUC 3217*	3
Biology 1113	3	EDUC 3218*	3
Lab	1,2	EDUC 3203*	3
PHYSICS 1145 or 1505	3	EDUC 3221*	3
Comp Sci 1570, IS&T 1551 or 1971/1981 or 1970/1980 or 1972/1982*	3 or 2, 1	EDUC 3222*	3
		EDUC 3340*	3
Math 1103*	3		
Math 1120 or 1140*	5,3		
Geology 1110 or Chem 1310 & 1319	3 or 4.1		

Table 9: Middle School English Emphasis Requirements (122-125 hrs.)

The middle school language arts emphasis uses existing courses in the English and Technical Communications department. Students will be able to earn not only a B.A. in Education but also minor in Creative Writing and Literature.

	HRS		HRS
GENERAL EDUCATION:		PROFESSIONAL REQUIREMENTS:	
		35	
COMM SKILLS	9	EDUC 1040*	2
ENG 1120*	3	EDUC 1174*	2
ENG 1160*	3	EDUC 3216*	3
SPEECH 1185	3	English 3170*	3
HUMANITIES	12	EDUC 3280*	6
ART 1180, MUSIC 1150, THEATER 1190	3	EDUC 4298*	1
		PSYCH 2300*/EDUC 2102*	3
ENG-LITERATURE	3	PSYCH 3310*	3
Philosophy 1105 or 1115	3	PSYCH 4310*/EDUC 4310*	3
Humanity Elective	3	EDUC 3335*	3
SOCIAL SCI	12	EDUC 3215	3
HIST 1100 or 1200 or 1300 or 1310	3	EDUC 3340*	3
POL SCI 1200	3	CLINICAL EXP:	16
PSYCH 1101	3	EDUC 1104*	2
ECON 1100 OR 1200	3	EDUC 1164*	2
Math & Science	14-17	EDUC 4299*	12
	3 or 5	English (Literature Minor)	12
Math 1103 or 1120 or 1140		Literature Elective*	3
BIOLOGY 1113 & 1219	3,2	Literature Elective (2000 or 3000 level)*	3
Geo 1110 or 1120 or Physics 1505 or 1605 or Chem 1310	3 or 4	Literature Elective (2000 or 3000 level)*	3
		Literature Elective (2000 or 3000 level)*	3
IS&T 1551 or Comp Sci 1500 or 1570 or 1971/1981 or 1970/1980 or 1972/1982	3	English (Creative Writing Minor)	12
		English 1170*	3
		English 2171 or 2172*	3
	3,3		
Eng 3301 or 3302 or 3303*			

Table 10: Middle School Science Course Requirements (121-123 hrs.)

The middle school science emphasis uses courses from a variety of STEM disciplines and includes at least six hours of math and statistics. For middle school general science emphasis, DESE would not accept a computer science course as a science content course. This may be a revision pursued at a later date. The education STEM methods course, which emphasizes integrated rather than isolated content skills and includes PLTW certification, is also required, in addition to two science methods courses, EDUC 3280 (6 credit hours) and EDUC 3220 (3 credit hours). This is above and beyond the three-hour science methods course required by DESE.

	HRS		HRS
GENERAL EDUCATION:		PROFESSIONAL REQUIREMENTS:	35
COMM SKILLS	9	EDUC 1040*	2
ENG 1120	3	EDUC 1174*	2
ENG 1160	3	EDUC 3216*	3
SPEECH 1185	3	English 3170*	3
HUMANITIES	12	EDUC 3280*	6
ART 1180, MUSIC 1150, THEATER 1190	3	EDUC 4298*	1
		PSYCH 2300*/EDUC 2102*	3
ENG-LITERATURE	3	PSYCH 3310*	3
Philosophy 1105 or 1115	3	PSYCH 4310*/EDUC 4310*	3
Humanity Elective	3	EDUC 3335*	3
SOCIAL SCI	12	EDUC 3203	3
HIST 1100 or 1200 or 1300 or 1310	3	EDUC 3340*	3
POL SCI 1200	3	CLINICAL EXP:	16
PSYCH 1101	3	EDUC 1104*	2
ECON 1100 OR 1200	3	EDUC 1164*	2
Science	31	EDUC 4299*	12
BIOLOGY 1113 or 1213*	3	Math	6 or 8
Biology 1219*	2	Math 1103, 1120 or 1140	3,5
Biology 1173*	3	Stats 1115, 3113 or 3115	3
Geology 1110	3		
Geology 1120	3		
Physics 1505 or 1145*	3		
History 3530*	3		
Chemistry 1310*	4		
Chemistry 1319*	1		
EDUC 3203	3		
EDUC 3220	3		

Table 11: Middle School Social Studies Emphasis Course Requirements (122-125 hrs.)

For the middle school social studies emphasis, students will earn not only the B.S. in Education but also a minor in psychology and a minor in history. The listed content courses are in addition to the economics and political science general education requirements of the degree.

	HRS		HRS
GENERAL EDUCATION:		PROFESSIONAL REQUIREMENTS:	
		35	
COMM SKILLS	9	EDUC 1040*	2
ENG 1120	3	EDUC 1174*	2
ENG 1160	3	EDUC 3216*	3
SPEECH 1185	3	English 3170*	3
HUMANITIES	12	EDUC 3280*	6
ART 1180, MUSIC 1150, THEATER 1190	3	EDUC 4298*	1
		PSYCH 2300*/EDUC 2102*	3
ENG-LITERATURE	3	PSYCH 3310*	3
Philosophy 1105 or 1115	3	PSYCH 4310*/EDUC 4310*	3
Humanity Elective	3	EDUC 3335*	3
SOCIAL SCI	12	EDUC 3530	3
History 2110*	3	EDUC 3340*	3
POL SCI 1200*	3	CLINICAL EXP:	16
PSYCH 1101	3	EDUC 1104*	2
ECON 1100 OR 1200*	3	EDUC 1164*	2
Science	14-17	EDUC 4299*	12
BIOLOGY 1113 & 1219	3,2	History Minor/Psych Minor	24
Geo 1110 or 1120 or Physics 1505 or 1145 or Chem 1310	3 or 4	History 1100 or 1200*	3
		History 1300 or 1310*	3
Math 1103, 1120 or 1140	3 or 5	American Hist Elective*	3
IS&T 1551 or Comp Sci 1500 or 1570 or 1971/1981 or 1970/1980 or 1972/1982*	3 or 2,1	World Hist Elective*	3
		World Hist Elective*	3
		EDUC 3530	3
		History Elective	3
		Psych 4600	3

Table 12: Middle School Math Emphasis Course Requirements (120-125 hrs.)

For middle school mathematics emphasis, computer science is included as a content course, in part because Missouri includes this subject as a math course in graduation requirements. The highest math taught in middle school is algebra, but students in S&T's program take courses including Calculus II. Both the Calculus for Engineers and the Calculus with Analytic Geometry courses are included to provide options for students wanting to switch into teaching from engineering. Providing these options will aid in student retention and time-to-graduation so they do not have to retake another calculus course to teach in middle school.

	HRS		HRS
GENERAL EDUCATION:		PROFESSIONAL REQUIREMENTS:	35
COMM SKILLS	9	EDUC 1040*	2
ENG 1120	3	EDUC 1174*	2
ENG 1160	3	EDUC 3216*	3
SPEECH 1185	3	English 3170*	3
HUMANITIES	12	EDUC 3280*	6
ART 1180, MUSIC 1150, THEATER 1190	3	EDUC 4298*	1
		PSYCH 2300*/EDUC 2102*	3
ENG-LITERATURE	3	PSYCH 3310*	3
Philosophy 1105 or 1115	3	PSYCH 4310*/EDUC 4310*	3
Humanity Elective	3	EDUC 3335*	3
SOCIAL SCI	12	EDUC 3203	3
HIST 1100 or 1200 or 1300 or 1310	3	EDUC 3340*	3
POL SCI 1200	3	CLINICAL EXP:	16
PSYCH 1101	3	EDUC 1104*	2
ECON 1100 OR 1200	3	EDUC 1164*	2
Science	11 or 12	EDUC 4299*	12
BIOLOGY 1113 & 1219	3,2	Math Emphasis	25-29
Geo 1110 or 1120	3	EDUC 3222/Math 3922*	3
Physics 1505 or 1145 or Chem 1310	3,4	Math 1103*	3
		Math 1120 or 1140*	3 or 5
		Math 1160*	2
		Math 1208 or Math 1214*	4 or 5
		Math 1215 or Math 1221 or Math 1212*	4 or 5
		IS&T 1551 or Comp Sci 1500 or 1570 or 1971/1981 or 1970/1980 or 1972/1982*	3 or 2,1
		Stats 1115, 3113 or 3115*	3

Residency Requirements, if any: students are required to complete at least 60 hours in residency at Missouri S&T; this is a requirement for all students, not just for this degree.

Requirements for thesis, internship, or other capstone experience

Student teaching (EDUC 4299) is required of all students seeking teacher certification. Students must earn a grade of B or better to be recommended for certification.

Any unique features such as interdepartmental cooperation:

Multiple courses are taught in other departments such as Psychological Sciences and English.

5.D. Program Goals and Assessment

This degree proposal is for middle school and elementary certification programs. While Missouri S&T has healthy enrollments in many secondary teaching STEM areas, those students are not included in these goal projections because they will not have a degree in education. Annually, DESE sends placement data with the courses taught by each S&T alumnus; out of state and private school teachers are more difficult to track beyond self-reported employment.

The B.S. in Education program goals are as follows:

- 80% of students who take the first three education courses as a declared B.S. in Education (EDUC 1040, 1174, and 1104) complete the degree.
- 80% of students will pass the Missouri Content Assessment on the first attempt.
- 95% of graduates are employed in schools or attending graduate school one year after completion.
- 50% of graduates are employed as Missouri public school STEM teachers (middle school science or math).
- 25% of graduates with teaching jobs in Missouri public schools are teaching Project Lead the Way courses.

The program outcomes align with the Missouri Teaching Standards. These are the standards by which practicing teachers in the state are assessed by their principals.

Missouri S&T education program graduates will . . .

1. create learning experiences that make the central concepts, structures, and tools of inquiry of the discipline(s) of subject matter, particularly STEM, meaningful and engaging for all students.
2. provide learning opportunities that are adapted to diverse learners and support the intellectual, social, and personal development of all students.

3. develop, implement, and evaluate curriculum based upon student, district and state standards
4. use a variety of instructional strategies and resources, emphasizing STEM activities, to encourage students' critical thinking, problem solving, and performance skills
5. create a learning environment that encourages active engagement in learning, positive social interaction, and self-motivation.
6. model effective verbal, nonverbal, and media communication techniques with students, colleagues and families to foster active inquiry, collaboration, and supportive interaction in the classroom.
7. monitor the performance of each student through formative and summative assessment strategies, and devises instruction to enable students to grow and develop, making adequate academic progress.
8. continually assess the effects of choices and actions on others and seek out opportunities to grow professionally.
9. have effective working relationships with students, parents, school colleagues, and community members

All Missouri educator preparation programs are assessed annually by DESE through the Annual Performance Report. The data points include the GPA, Missouri Content Assessment, student teaching evaluation rubric scores, first year teacher surveys, and first year principal surveys. The last three data sets are aligned with the Missouri Teacher Standards. Department faculty examine survey data and student teaching evaluation scores annually for trends. Survey data can also be compared to the state mean. The appendix includes data from the alumni and employer survey for the past several years.

The department chair also interviews student teachers each semester to gather qualitative data for program improvement. The chair also has as an advisory council for the department; students were chosen to create a diverse group with varying backgrounds including transfer students, first semester students, and different content areas.

Every syllabus in Teacher Education and Certification offers alignment to the Teacher Standards, and a curriculum map is being developed by the faculty to determine where each goal is taught and how it is assessed. These data will be collected in Foliotek, the online portfolio management system used by the Department.

5.E. Student Preparation

Students must meet general university requirements for admission. To be admitted into the program (called professional standing), students should obtain a substitute teaching certificate from DESE which includes an FBI fingerprint background check. Students must interview with faculty to be accepted into professional standing. This interview focuses on their previous experience with adolescents and children in teaching-related roles.

Students need a cleared background check from the Family Care Safety Registry to enter a school for field experiences. To student teach, students must pass the Missouri Content Assessment, complete all education and content coursework with a 3.0 GPA, and hold a 2.75 cumulative GPA. Students are not permitted to take any other courses their student teaching semester, and they may student teach at any Missouri public school that will accept them and has an available cooperating teacher meeting the DESE requirements.

5.F. Faculty and Administration

No additional faculty are required at this time for the degree because of hires made for 2020-21. The faculty include the chair, three non-tenure track teaching professors, and a shared faculty with University of Missouri Extension. Cross-listed education/psychology courses are taught by a full time psychology NTT professor. Dr. Michelle Schwartze has expertise in middle school and mathematics. A new hire, Dr. Mary Gillis, will be responsible for student teaching seminar, EDUC 1174, and secondary methods. All faculty will supervise student teachers as needed.

A faculty member with expertise in literacy at the elementary level was hired for 2020-21. This position was especially needed with the recent emphasis on dyslexia and high number of literacy courses required for elementary certification. Currently these courses are being offered on a rotation, once every two years. This faculty member also has a background in special education and will teach the course in exceptional child. As the program grows, the department will need to offer these courses more frequently.

In this department, faculty need PK-12 teaching experience in addition to a graduate degree in the field. Adjunct professors may have a graduate degree if they are teaching undergraduate courses. Previous adjunct professors include the local superintendent and practicing teachers for the secondary/middle school methods courses, as well as two staff from the Regional Center for Professional Development. In 2020-21, the department anticipates needing no adjunct professors because of the additional capacity from the new hires, with the possible exception of student teaching supervision in spring 2021.

5.G. Alumni and Employer Survey

The state already administers an alumni and employer survey for those working in public Missouri schools. S&T receives aggregated, anonymous data annually. These data are a part of the Missouri Educator Preparation Annual Performance Report and have been psychometrically tested and found to be sound (DESE, 2015).

Results from S&T's surveys indicate that employers and alumni are satisfied with the preparation they received from the program. 92% of alumni and 89% of principals report S&T's teacher preparation as "good" or "very good." 94% of principals rated S&T alumni as being effective or highly effective on their teacher evaluations. Detailed data from these surveys can be found in the appendix.

5.H. Program Accreditation

DESE has already approved the elementary and middle school program curricula, and S&T is listed as an approved provider on their website. Every teacher preparation program in the state receives an annual report card that serves as state accreditation approval. S&T does not currently have enough completers to generate a report (Fall 2019), but this will change in subsequent years as our population grows.

Currently, the S&T education certification programs are not nationally accredited. There are two options at present: the more established Council for Accreditation of Educator Preparation and the newer Association for Advancing Quality in Educator Preparation. DESE has a partnership agreement with both organizations; however, the state of Missouri does not require national accreditation for teacher certification programs.

While the department has the capacity to pursue national accreditation, the expense, annual dues in addition to at least \$10,000 the year of a visit, is not feasible with the current budget reductions. In five years, based on enrollment and budget feasibility, the department may begin the process for AAQEP accreditation.

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Appendix – Comparison Institutions

Not all states offer middle school as a separate teaching certification; in some states the secondary certification includes these grade levels.

Comparison Institution	Education Degrees Offered
University of Missouri-Kansas City	BA in Elementary Education, BA in Middle School Education https://education.umkc.edu/academics/undergraduate-programs/middle-school/ MAT
University of Missouri-Columbia	B.S. in Education with emphasis in elementary, yearlong student teaching B.S. in Education with emphasis in middle school mathematics, language arts, science, or social studies
University of Missouri-St. Louis	B.S. In Education in Elementary Education with emphasis in TESOL (Teaching English to Speakers of Other Languages) or special education. B.S. in Education in Middle School Education with emphasis in science, mathematics, language arts, or social studies. Link to Degree Offerings
Missouri State	B.S. in Early Childhood Education (birth-grade3) B.S. in Elementary Education and accelerated master’s program. B.S. in Middle School Education Link to Degree Offerings
Truman State	Masters of Arts in Education in elementary education. Certification Program Info

Saint Louis University	B.A. in Education with emphasis in early childhood or elementary education. Link to Degree Offerings
Colorado School of Mines	Partnership with University of Northern Colorado Teacher Residency/NSF Noyce Scholarship funding Post-baccalaureate certificate https://www.mines.edu/teacherprep/getting-started/
California Tech	No education department found.
Carnegie Mellon	No education department found.
Georgia Tech	No education department found.
MIT	Teacher Education Program offers licensure for students who have completed STEP courses and bachelor's degree. https://education.mit.edu/teacher-licensure/
Michigan Tech	Program offers teacher certification with completion of major in the typical secondary education content areas. No elementary ed program. https://www.mtu.edu/cls/undergraduate/certification/majors-minors/
Worcester Polytechnic Institute	Teacher prep program, but no education degree. https://www.wpi.edu/academics/undergraduate/teacher-preparation-program
Case Western Reserve	Primary major and licensure, but no education degree. https://artsci.case.edu/teacher-education/programs/

Drexel	<p>BS in Elementary Education (part-time or full-time option)</p> <p>Options for emphasis in PreK-4, PreK-4 Special Education, middle level (4-8) math and english, middle level science and english, and middle level math and science.</p> <p>https://drexel.edu/soe/academics/undergraduate/Degrees/BS-in-Elementary-Education/</p>
Iowa State	<p>BS in Elementary Education (K-6 in the elementary classroom and k-8 in a chosen endorsement area).</p> <p>https://www.education.iastate.edu/find-majors/elementary-education/</p>
Montana Tech	No elementary education program.
SIU Edwardsville	<p>BS in elementary education (1-6)</p> <p>https://www.siue.edu/academics/undergraduate/degrees-and-programs/elementary-education/</p>
Kansas State University	<p>BS in Elementary Education (certification K-6)</p> <p>https://coe.k-state.edu/academics/bachelor/elementary.html</p>
University of Kansas	<p>BS in Elementary Education.</p> <p>https://ct.ku.edu/academics/teacher-education/elementary-education/bachelors-degree/overview-benefits</p>
University of Arkansas	<p>B.S.E in Elementary Education (K-6)</p> <p>https://catalog.uark.edu/undergradcatalog/collegesandschools/collegeofeducationandhealthprofessions/elementaryeducationel/</p>

AUDIT, COMPLIANCE AND ETHICS COMMITTEE

Jeff L. Layman, Chair

Julia G. Brncic

Maurice B. Graham

Phil H. Snowden

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:

1. 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.
2. 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.
3. 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.

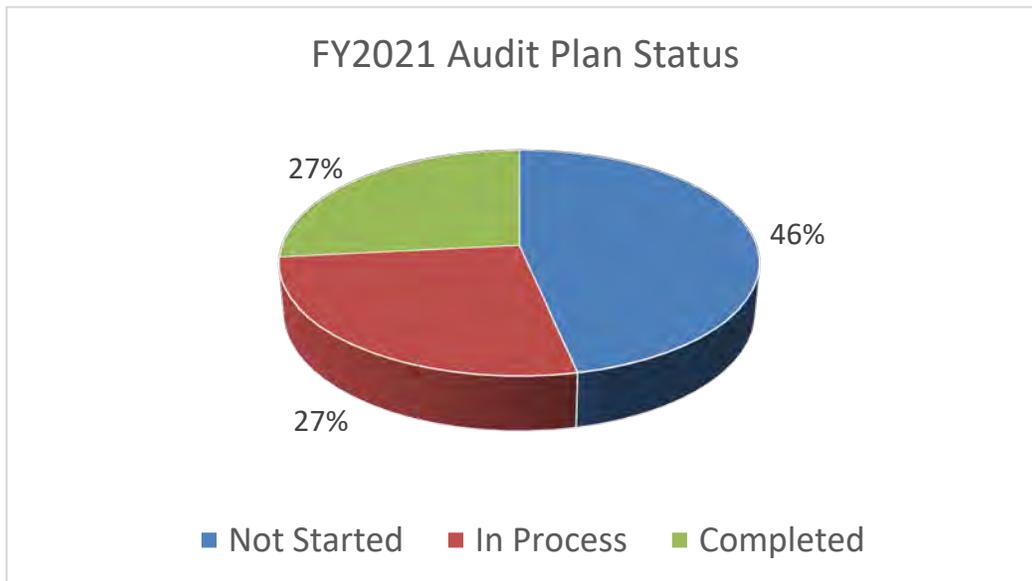
Approved by the Board of Curators: April 9, 2020

Audit, Compliance and Ethics Quarterly Report UM

Status of the FY2021 Annual Audit Plan

- Five audits completed
- Three consulting engagements completed
- Eight audits/consulting projects in process
- Fourteen audits/consulting projects not started

The following graph represents the status of the FY2021 Audit Plan.



Audit Performance

The overall objective of our audit and compliance plans continue to be aligning strategically with a focus on high risk areas and compliance gaps. Audit and compliance staff remain available to be redeployed for:

- Gap analysis
- Understanding workflow
- Assisting in re-engineering of processes

Since the September 2020 meeting of the Audit Committee, Internal Audit completed five audits and six investigations.

Internal Audit Assurance Reports	Report Risk Rating
Conflict of Interest Process, MU, August 2020	1 2 3 4 5
Data Center Operations, MU, September 2020	1 2 3 4 5

There is a time-lag between when field work is completed and when a report is issued to provide appropriate time for agreed upon action plans to be written.

The assurance report includes an executive summary with our assessed level of risk, as well as a summary of issues and management's action plan. An executive summary of this assurance audit is included for your information. The full audit reports are available upon request from the Office of Internal Audit and Consulting Services.

Criteria Used for Assessment of Risk:

- 5 **Extreme** – Very significant impact to the Institution, campus, or unit. Significantly material in terms of financial impact, external compliance violation, adverse publicity, significant or pervasive weakness in control environment, significant inefficiencies, etc. Typically requires campus and UM System administration along with Board attention to resolve.
- 4 **High** – Major impact to the Institution, campus, or unit. Material in terms of financial impact, external compliance violation, adverse publicity, significant or pervasive weakness in control environment, significant inefficiencies, etc. Typically requires campus and/or UM System administration to resolve.
- 3 **Medium** – Moderate in terms of impact to the Institution, campus, or unit. Individual instance or an aggregate of low risk items considered moderate in terms of financial impact, compliance violation, adverse publicity, weakness in control environment, efficiency, etc. Typically requires leadership attention for the selected audit area to resolve with some input from campus and/or UM System administration.
- 2 **Low** – Minor in terms of impact to the Institution, campus, or unit. Relatively immaterial in terms of financial impact, no external compliance violation, little adverse publicity, minor inefficiencies, etc. Typically limited to leadership of the selected audit area to resolve.
- 1 **Negligible** – Incidental or no impact to the Institution, campus, or unit. Immaterial or no financial impact, no external compliance violation, no adverse publicity, minor inefficiencies, etc. Typically requires little or no action to resolve.

February 4, 2021

**Internal Audit Summary Report
MU, Conflict of Interest Process
August 2020**



Background

Academic universities benefit from participation in outside activities which can enhance research, teaching, and funding. These outside activities and/or outside financial interests can pose conflicts of interest if not properly identified or managed.

MU manages the conflict of interest disclosure process through the Conflict of Interest (COI) Office within the Office of Research and Economic Development. The COI Office works closely with the Conflict of Interest Committee to analyze potential conflicts and manage outside interests. The COI Office utilizes the eCompliance information system as the key method for collecting disclosures and tracking outside interests.

Issues Summary

1. The processes for reviewing and managing disclosed conflicts are inconsistent, not aligned with those having the authority to ensure compliance, and behind in establishing oversight management plans.
2. New outside interests are not always disclosed at the point they arise placing the university at risk of losing funding.
3. The university does not have a process for new employees to receive training on COI disclosure requirements, and the eCompliance system does not send new employees disclosure notifications at the point of hire.

Management Action Plan Summary

1. The process for developing and managing oversight management plans has been revised so supervisors are responsible for these activities with assistance from subject matter experts.
2. For high risk conflict of interest areas, oversight management plans will be implemented at the front-end of the research engagement.
3. Annual conflicts of interest and commitment training will become part of the mandatory compliance and new hire training.
4. A “New Hire Notification” process to complete the disclosure form has been implemented. Internal Audit will validate it is working as intended.

Risk Rating Rationale

Managing conflicts to reduce risk is the intended outcome of a conflict of interest process. Unidentified and unmanaged risks could lead to loss of research funding and increased legal exposure.

February 4, 2021

**Internal Audit Summary Report
MU, Data Center Operations
September 2020**



Background

A data center is a specialized facility for housing information technology- (IT) and telecommunications (telecom) -related systems, equipment, and infrastructure. Typical data center features include continuous monitoring of IT and telecom system status; continuous monitoring of utility services and environmental conditions; fire suppression customized for the environment; redundant utility and communication connections; large cooling systems, and; physical security measures such as cameras, card swipes and access lists.

The approximately 6,000 square foot Data Center is operated by the MU Division of Information Technology (DoIT) and houses critical infrastructure and systems that support not only the MU campus but also core services used by the entire University system. A small number of non-University organizations have also contracted with the University to house their own separate systems in the facility.

Issues Summary

1. The MU Data Center (MUDC) has Disaster Recovery/Business Continuity (DR/BC) plans, but, as with many other departments throughout the University, they have not been updated recently. There are many dependencies between the various departments in DoIT, as well as MU and UM System departments, so it would not be effective or efficient for the MUDC DR/BC plans to be updated independently.
2. Documentation of the MUDC policies, procedures and significant operational events should be updated and/or improved to reflect current state and to facilitate easier access to key data and metrics.

Management Action Plan Summary

1. The UM System Emergency Management Office will lead and coordinate enterprise DR/BC activities. This is included on the Enterprise Risk Tracker maintained by Ethics, Compliance and Audit Services.
2. Management will document all critical equipment and systems change and maintenance activities. Management will also review and update all policies, procedures and corresponding revision dates.

Risk Rating Rationale

Improving departmental documentation will help ensure consistent operations as well as helping to minimize the disruption of personnel changes. This can be addressed by departmental leadership. The broader issue of DR/BC plans will be addressed across the UM System.

February 4, 2021

Validation Work Performed

Analysis of MUHC Rate Setting Methodology for the UM Benefits Health Plans

The Office of Ethics, Compliance and Audit Services was asked to review the methodology used by MU Healthcare (MUHC) and University Physicians (UP) to set the rates for services provided to enrollees of the UM Benefits health plans (the PPO, Healthy Savings and Custom Network Plans) to validate if discounts are consistent with contractual obligations. During the engagement, the methodology to calculate discounts was changed to a simpler process that can be more easily verified by all parties involved.

We concluded that the proposed methodology for setting the University rate schedules is simpler and more transparent, with the potential of discounts retrospectively validated by the third-party administrator.

UMSL Audits Related to Grant Funding

Two audits were performed for the Children's Advocacy Center and Behavioral Health to validate the appropriate use of funds received from two counties in the St. Louis greater metropolitan area.

February 4, 2021

Audits and Consulting Engagements Currently in Process

Audit Area	Overall Objective	Status	Risk Area(s)
MUH – EMR Extension to Lake Regional	Organized Health Care Arrangement (OHCA) post-implementation review	Fieldwork	Compliance
MS&T – Lab Safety	Determine if adequate controls are in place to provide safe working conditions for faculty, students and staff who work in labs which house hazardous chemicals.	Fieldwork	Compliance
System – Benefits payroll process	ADDED - Test controls over the benefits payroll process. This audit was the result of a consulting engagement to map the benefits payroll process for HR and finance and evaluate controls.	Fieldwork	Operations
MOREnet	ADDED - Compliance audit of the E-Rates program.	Planning	Compliance
System – COVID Relief and GEER Funds compliance support	In collaboration with the system controller’s office, developing and providing compliance guidance for the CFR and GEERs funding.	Ongoing	Compliance
MUH – Revenue Cycle Cash Reconciliation Process	As part of the revenue cycle implementation project, evaluate the cash reconciliation process changes to accommodate the shift to the Cerner admissions/registration module.	Reporting	Operations

In addition, two investigations and two assurance audits under attorney client privilege are in process.

Foundational Elements of the UM System Ethics and Compliance Program

The following foundational elements were presented at the June 2020 Audit, Compliance and Ethics Committee as priorities for FY2021. Ethics and Compliance continues to balance responding to emerging compliance issues and concerns with establishing the foundational elements.

Establish the system-wide audit and compliance committee

This committee will oversee initial work to establish the system-wide code of conduct, compliance education and training, and core compliance policies. To fulfill its responsibilities the committee will receive periodic reports from compliance functions, audit reports and risk assessment results. The committee will play a key role in resolving compliance concerns that impact the system and are challenging to resolve at a unit level. The Chief Audit and Compliance Officer will provide the committee, once appointed, with a draft charter defining purpose, roles and responsibilities, authority, and frequency of meetings for the committee to modify and finalize.

Status: Work is in progress to establish this committee by April 2020.

Develop and implement the code of conduct

A system-wide code of conduct will establish every day behavior expected to support our mission and values. It is a statement for ourselves and to the public about what we stand for, our values and how we conduct ourselves. It is the ethical foundation for our success in achieving our mission and living our values. Content will be the same across each university. The graphical design, mission, vision and values will vary to reflect the uniqueness, look and feel of each university.

Status:

- **Graphic design for the University of Missouri – Columbia and code content for all universities has been developed with first revision changes submitted.**
- **Vetting of content will begin with subject matter experts, faculty and staff in February at all universities.**
- **Rollout is on target for implementation by end of summer 2021.**

Engaging Compliance Professionals in a Collaborative Network

Working with compliance professionals across the system, an assessment will be completed gauging the strengths and opportunities for improvement using the Seven Elements of an Effective Compliance Program. This assessment will also include understanding how changes to regulations are tracked and adjustments to procedures and practices are implemented (regulatory change management). These working relationships

February 4, 2021

and assessments will provide guidance for achieving economies of scale by working collaboratively across units to establish consistent policies, practices, monitoring, investigations, discipline and reporting of metrics to gauge effectiveness. The three priority areas of focus are:

Research Compliance and Grant Management

This is a priority area of focus because of the importance of research to the strategic direction of the UM System. Collaborative work has begun in this area with a recognition that we have an opportunity to approach research compliance consistently across the UM System. The work in this area will provide the opportunity to:

- Understand the highest risk areas and how we are addressing concerns
- Validate the regulatory change management process for research
- Standardize operating practices in regulatory areas across the system
- Continue to build on collaborative relationships to extend expertise across the system
- Explore providing consistent compliance education and training for those involved in research activities across the system
- Develop metrics and reporting that provides transparency into the number of compliance concerns, types and substantiation rate for leadership and the Audit, Compliance and Ethics Committee of the Board.

Status: Export control expertise has been extended to all universities in the UM System. Efforts are shifting to understanding the highest risk areas and how the UM System is addressing these, the gaps, and the best approach to drive change and improve compliance.

Data Management Program

This is a priority area because protecting sensitive information is important to our business, faculty, staff, students, and patients. Safeguarding of sensitive information is impacted by multiple regulations, such as Gramm-Leach-Bliley Act (GLBA), Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA), General Data Protection Regulation (GDPR), and the California Consumer Privacy Act (CCPA).

This assessment work will allow us to establish an overall data management program that will encompass the most stringent regulations applicable to the UM System and continue to build on collaborative relationships to extend expertise across the system. We will develop an understanding of:

- How we ensure compliance with each regulation
- The regulatory change management process

February 4, 2021

- Similarities and differences in operating practices across the system and opportunities for standardization
- Opportunities to provide consistent compliance education and training for those staff with responsibilities in these areas
- Benchmarks and metrics that will provide insight into effectiveness and areas for improvement

Status: A team of auditors will begin the data management gap analysis in February.

Fostering Early Reporting of Issues, Prompt and Fair Resolution and a Non-Retaliatory Environment

The early reporting of issues is the best defense against a “bad actor” continuing his/her damaging behavior for years. To instill this type of culture, employees must feel safe and protected from non-retaliation and issues investigated promptly and fairly.

The UM System has multiple reporting avenues available. Bringing together the professionals that field concerns and reports, conduct the investigations and provide guidance on discipline we can:

- Assess our current approaches and identify opportunities to strengthen our culture to safeguard against retaliation, develop trust and encourage reporting of issues
- Ensure we have a strong and effective retaliation prevention and response system
- Discuss how to engage managers in supporting staff who voice concerns
- Develop metrics and reporting that provides transparency into the number of reported concerns, types and substantiation rate for leadership and the Audit, Compliance and Ethics Committee of the Board.

Status: The Hotline Investigation Committee continues to escalate issues for evaluation and resolution that do not violate policy or regulations, but are concerning from a behavioral and culture perspective.

Additional Work Involving Ethics and Compliance

Protection of Minors on Campus

To protect minor children (under the age of eighteen) who participate in activities and programs on university land and facilities, or under the authority and direction of the university, the University of Missouri System developed a Policy for Minors in University of Missouri programs and the infrastructure necessary to support implementation of this policy.

The policy establishes requirements for faculty, staff, students, student employees, appointees and volunteers who work in activities and programs with minors when

February 4, 2021

conducting youth programs sponsored by or on the premises of the University of Missouri to:

- Register youth programs through the Youth Program Registry
- Require and secure appropriate background checks
- Ensure annual training is completed so adults and youth leaders working with minors understand appropriate conduct and reporting requirements

The elements of this program have been developed by a committee consisting of the Office of the General Counsel, Risk Management, UM System Title IX/Equity, DoIT, and UM System Ethics, Compliance and Audit Services. Input was obtained from IFC, Athletics departments at all four universities and Extension 4H.

The Youth Program Registry developed by DoIT automates registration, background check requests and tracking, and annual training completion rates. The system has reporting capabilities as well.

Status: Presented to the Council of Chancellors February 1, 2020 to determine the accountability structure.

UM System Enterprise Risk Tracker

The purpose of the enterprise risk tracker is to capture, and assign accountability for issues identified in individual audits that require resolution at a higher level than the area in which the issue was surfaced. This is a new tool for escalation of these enterprise issues to leadership so appropriate accountability can be assigned. Resolution of these issues are typically a longer time horizon than audit issues resolved by the unit.

1. Disaster Recovery/Business Continuity (DR/BC) This is an essential function for any business. It is often set aside when resources are needed for more immediate operational concerns. DR/BC plans have dependencies across departments and functions within an organization, requiring a coordinated approach and leadership input as to risk tolerance, expected time frames for full recovery, etc.

Engagement Identifying the Risk: MU Data Center Audit, September 10, 2020

Accountable position: Director of Emergency Management, UM System

2. Conflict of Commitment Guidance The university lacks documented guidance for how much time faculty may spend on outside ventures and other personal activities that may detract from his or her primary responsibility to the institution. Clearer guardrails would facilitate more consistent evaluation of potential conflicts of commitment and provide guidance upfront for faculty and supervisors.

Engagement Identifying the Risk: MU Conflict of Interest Process, August 14, 2020

Accountable position: TBD Assessment of current activities to develop guidance is still in process.

February 4, 2021

University of Missouri System

Board of Curators

February 4, 2021

Audit Committee

Internal Audit, Compliance and Ethics Report
UM



Continued Strategic Alignment of Audit & Compliance Plans

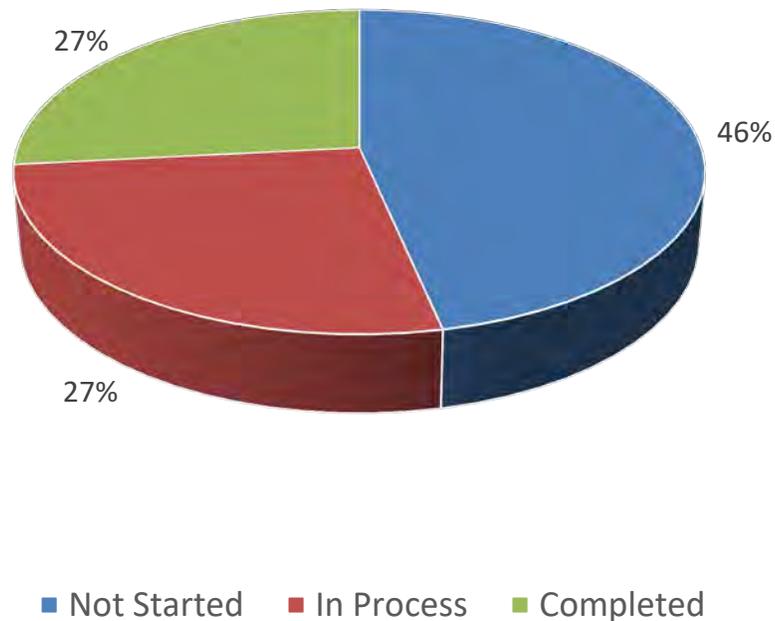
Stay focused on high risk areas and compliance gaps

Remain available to be redeployed for:

- Gap analysis
- Understanding workflow
- Assisting in re-engineering processes

Summary of Internal Audit Activity

FY2021 Audit Plan Status



Since September 2020:

- Completed five internal audits and six investigations
- Finalizing two internal audit reports
- Five internal audits and one consulting engagement in process
- Actively working two investigations

Conflict of Interest Process MU



Summary Observations

1. Establishment and monitoring of oversight management plans is behind and not fully aligned with those who have authority to ensure compliance.
2. New outside interests are not always disclosed at the point they arise

Management Actions

1. Development and oversight of management action plans are now the responsibility of supervisors with assistance from subject matter experts
2. Oversight management plans will be implemented at the front-end of high risk research engagements
3. Annual conflicts of interest and commitment will be part of mandatory compliance and new hire training

Data Center Operations MU



Summary Observations

1. Outdated disaster recovery/business continuity plans
2. Opportunity to update and improve policies, procedures and significant operational events

Management Actions

1. Disaster recovery/business continuity will be addressed at the system level
2. Management will document critical equipment, systems change and maintenance activities, and review and update all policies and procedures

UM System Ethics and Compliance Program

System-wide Audit & Compliance Committee

- Work in process to establish this committee by April 2021

Code of Conduct Development

- Graphic design for MU developed and draft content for all universities will be vetted with subject matter experts, faculty and staff beginning in February
- The graphic design will be adapted to each university
- On target for implementation by end of summer 2021

UM System Ethics and Compliance Program

Protection of Minors on Campus

- Recommendations for final program design and structure presented to the Council of Chancellors on February 1, 2021
- The youth program registry automates registration, background check requests and tracking, and annual training completion rates. The system has reporting capabilities

Questions?

University of Missouri System Reporting Hotlines Annual Report 2020

The University of Missouri System first implemented a third-party-hosted hotline for reporting financial fraud in December 2007, expanding it to include additional reporting categories in support of healthcare compliance requirements in January 2011. In late 2018, the hotline was rebranded as the ***Integrity and Accountability Hotline***, reaffirming the University System commitment to institutional accountability, transparency, and the protection of the university community. A separate ***Bias Reporting Hotline*** was launched in August 2020 at Mizzou and the health system, then expanded to all university locations as of early December.

Although the Integrity and Accountability Hotline includes a bias reporting category for allegations of discrimination, exclusion, harassment, bullying, retaliation and retribution, the Bias Hotline was established to increase institutional awareness for reporting and tracking these issues specifically. Bias-related reports received through either System hotline are managed by the same process. In addition to these System hotlines, individuals may report bias and other various concerns to direct supervisors, Human Resources offices, Police/Security services, hospital compliance, and Equity/OCR/Title IX offices.

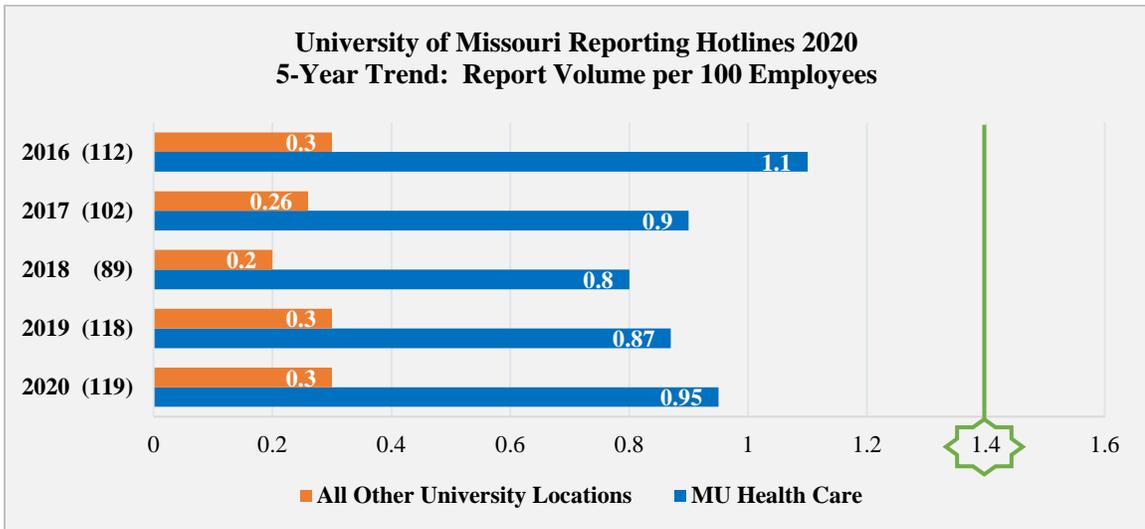
This annual report incorporates information only from the UM System hotlines, as well as mail/email reports that were received by System administration. In CY20, the Integrity and Accountability Hotline received a total of 101 reports (7 bias reports), and the Bias Reporting Hotline received 18 reports. Of these 119 reports, eighty-four (84) reports were received via the web, 31 via phone, and 4 via mail/email. As of 12/31/20, 101 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 its culture, the 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. (The most recent benchmarks available are for CY19; CY20 data will be published by Navex in April 2021). To provide a better understanding of University program history and performance, we have included five years of data to illustrate trends.

Report Volume per 100 Employees

This metric enables organizations to compare total numbers of unique reporter contacts. The benchmark for this metric has been steady at 1.4 reports per 100 employees for the past four years. MU Health Care is consistently identified as the location for at least 50% of the reports to the hotline; therefore, results were graphed to demonstrate this breakdown. All other locations include MU, Missouri S&T, UMKC, UMSL and UM System Administration.

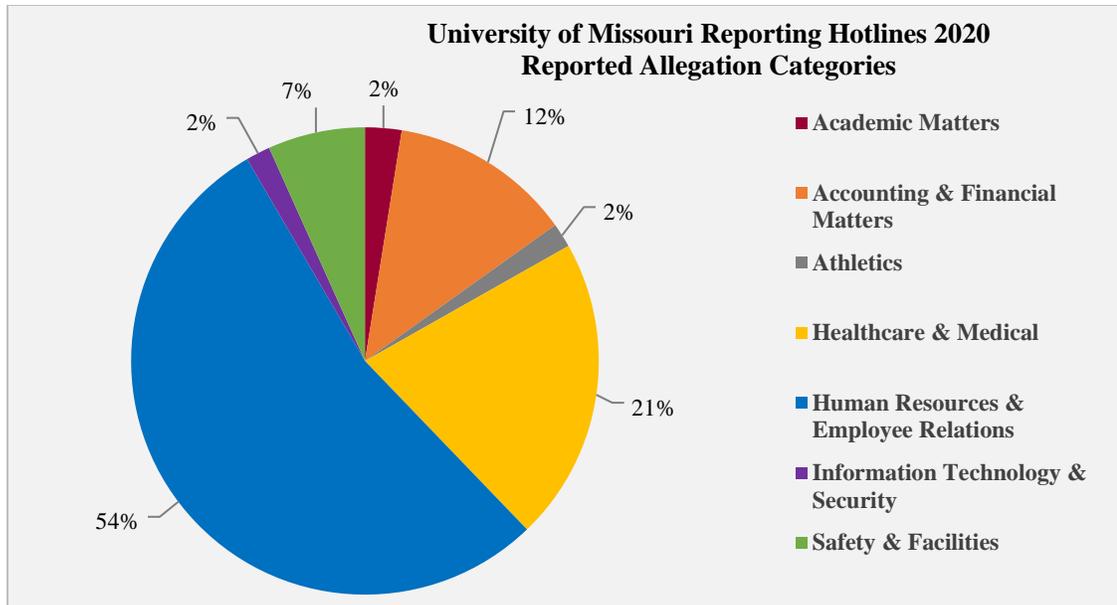
February 4, 2021



Report Allegation Categories

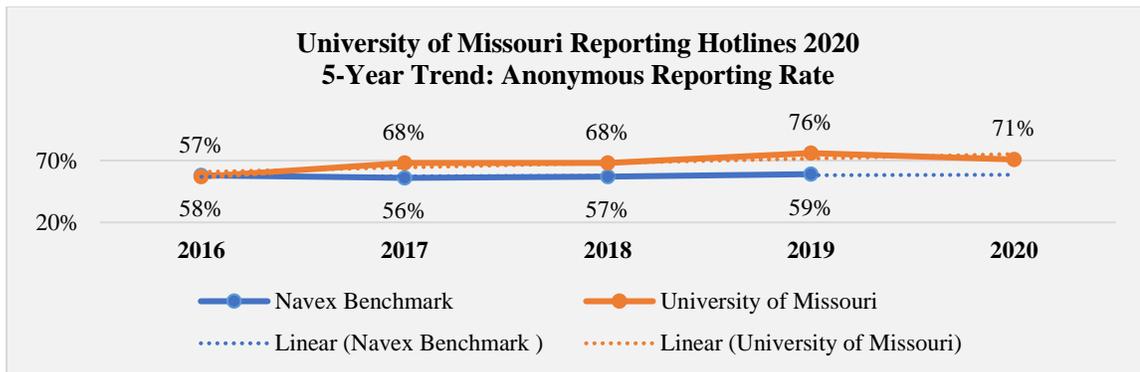
The kinds of reports an organization receives are an indication of where the organization may need to devote resources, and can provide a potential measure of the effectiveness of efforts directed towards previously identified areas of concern. The top three reporting categories in 2020 were Human Resources and Employee Relations (HR), which includes bias incidents; Healthcare and Medical; and Accounting and Financial Matters.

Forty-five percent (45%) of the HR reports involved MU Health Care, followed by 28% at MU, and 11% at UMSL. Overall, 30% of reported HR matters were substantiated, and 23% were pending resolution at year end. The highest percentage of reports in the Healthcare and Medical category were attributed to HIPAA-related issues (44%), followed by Patient Care/Patient Rights concerns (24%); 20% of reports in the Healthcare category were substantiated, and no cases were pending at year end. Thirty-three percent (33%) of reports in Accounting/Finance were substantiated, with 7% pending resolution at year end.



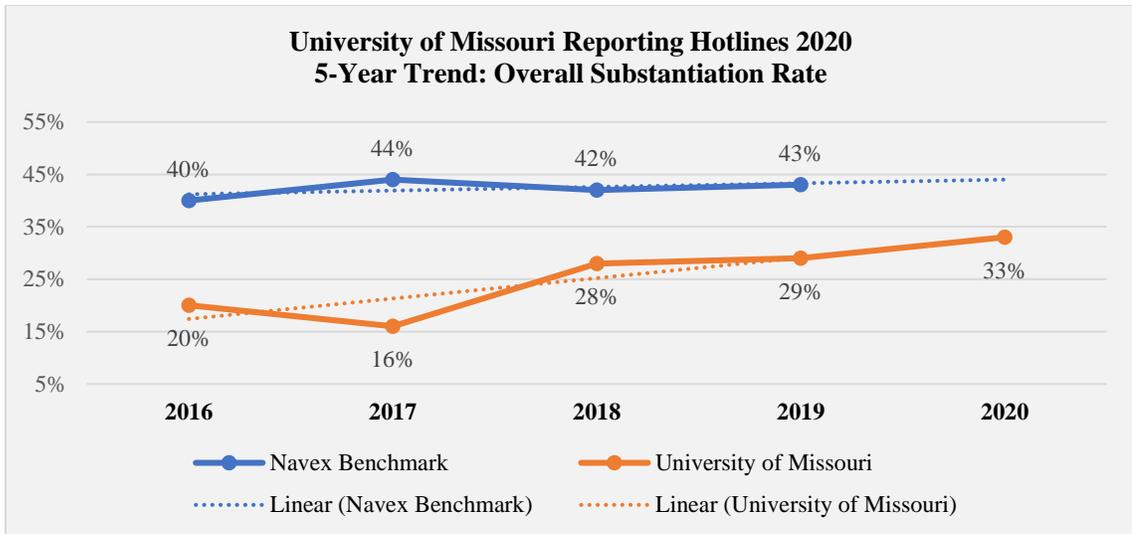
Anonymous vs. Named Reporters

Anonymous report metrics reflect the percentage of reporters who chose to withhold their identity. A lower rate of anonymous reporting is typically considered a positive indicator of trust in the institution and hotline investigation processes.



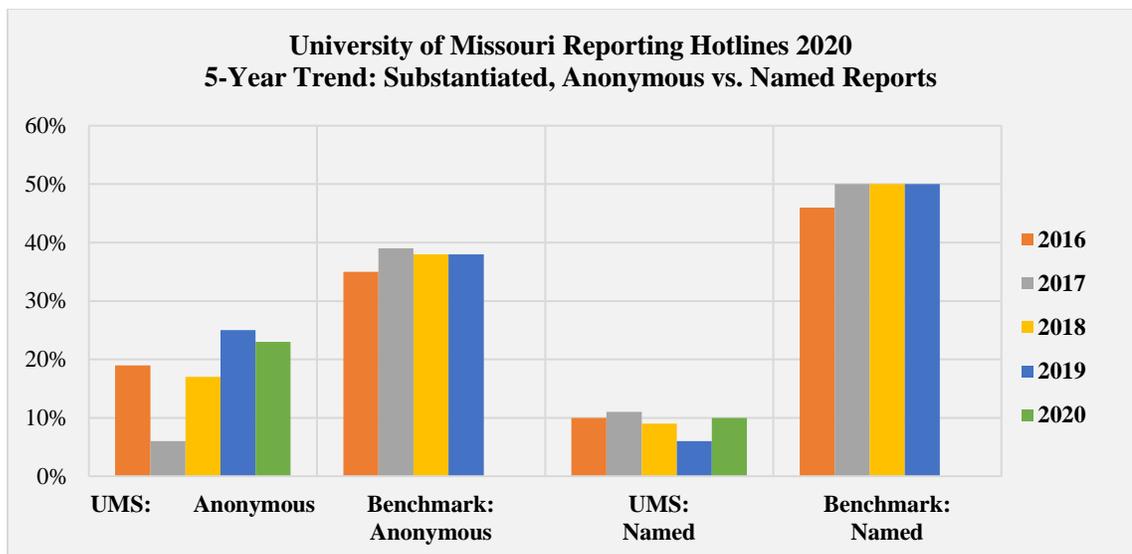
Substantiated Reports

The overall substantiation rate reflects the percentage of allegations which were investigated and proven to be, at least in part, factual as reported. A high substantiation rate reflects a well-informed employee base making high-quality reports, coupled with effective investigation processes. Benchmark substantiation rates have been relatively steady over time. University substantiation rates, though below benchmarks, are trending consistently higher in recent years.



Substantiated Anonymous vs. Named Reports

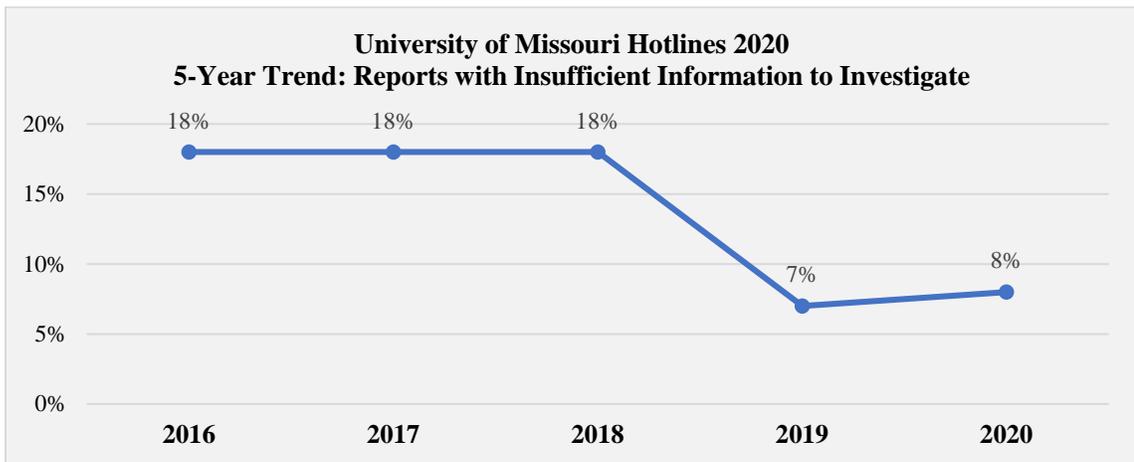
There is often reluctance to take anonymous reports seriously; however, anonymous reporters can provide valuable and important insights into obscure or previously unknown legal, regulatory and compliance issues in an organization. Named reports allow investigators to gather additional information directly from the reporter, which can improve the effectiveness of an investigation and may result in higher substantiation rates. We have also been successful in utilizing a “chat” tool within the EthicsPoint case management platform, which allows investigators to communicate with anonymous reporters to gather additional important details while allowing those reporters to maintain their anonymity. Although the University lags well behind benchmarks in this area, our ability to obtain more actionable information through the chat tool, as well as having a trained investigator on the team, is helping us improve substantiation rates, especially with reports filed anonymously.



February 4, 2021

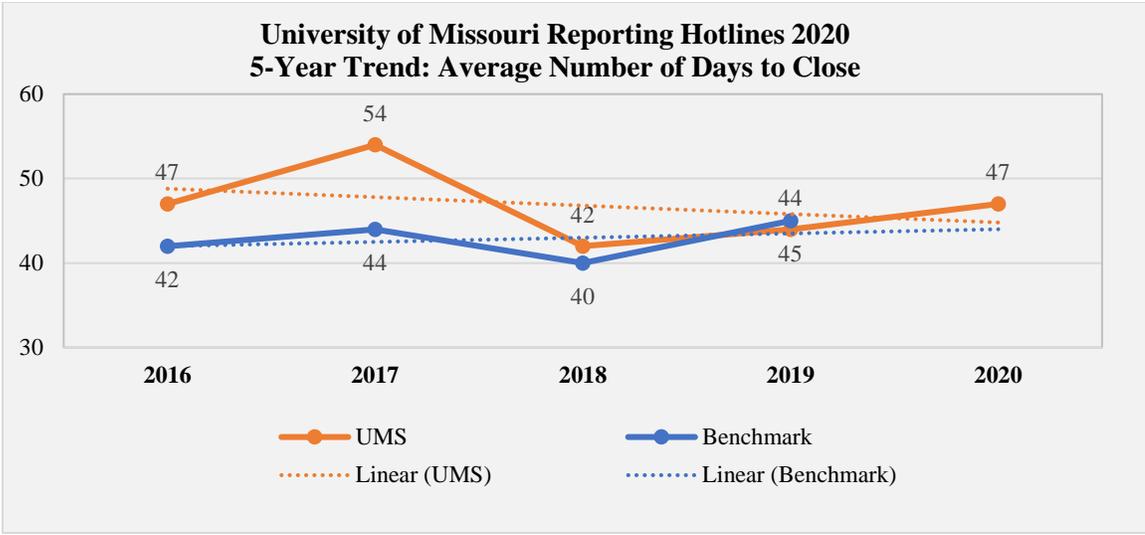
Insufficient Information

Reports that do not contain enough information to complete a credible investigation are deemed “insufficient information.” There is no benchmark metric for this category of report; however, internal tracking showed a significant increase in these types of reports at the University over several years, particularly those received from anonymous reporters. Significant improvement in this metric has been noted since 2018, meaning more specific and actionable information is being received from reporters. Similar to the improvements noted in substantiation rates, we believe the enhanced reporting and communication functionality of the EthicsPoint platform and the addition of a trained investigator to the team has contributed to progress with this metric.



Case Closure Time

Case closure time is the number of calendar days it takes to complete an investigation and close the case. It is vital that organizations complete investigations in a timely fashion to demonstrate that concerns are important and seriously considered, and to cultivate a sense of trust with employees. Organizations that significantly or consistently exceed the best-practice average 30-day case closure time are encouraged to review case handling and investigation procedures, and consider where gaps in available resources may need to be addressed. 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. Our goal is to consider each report and allegation individually, to devote the appropriate resources necessary to conduct a thorough, high-quality investigation, and to reach resolution on reported matters as timely as possible.



Conclusions and Opportunities for Improvement

2020 Hotline Highlights:

- Continuing commitment to improve the quality of investigations, resulting in consistent progress in overall and anonymously reported substantiation rates
- Effective use of platform tools to improve reporter engagement to reduce the number of cases with insufficient information to investigate
- A slight increase in average number of days to close cases

The benchmarks in this report measure the effectiveness of an organization’s approach to surfacing and resolving issues reported through a hotline system. The following objectives and tactics are how the UM System will continue improving how issues are surfaced and resolved through all reporting channels. This improved transparency will allow leadership to continue reinforcing an environment of integrity and accountability.

Objective	Tactics
Improve employee awareness and responsibility to report issues	<ul style="list-style-type: none"> • Code of Conduct/Standards • Annual mandatory compliance education • Continued communications from leadership
Educate managers on how to respond to issues raised directly with them	<ul style="list-style-type: none"> • Annual mandatory compliance training • Targeted education in collaboration with the UM System Hotline Investigations Committee, HR and Title IX functions
Ensure a disciplined and consistent approach to investigating, analyzing, and resolving reported issues	<ul style="list-style-type: none"> • Add more investigators • Annual report to leaders of substantiated issues, concerns that are not necessarily policy or regulatory violations, and trends across time to supplement their understanding of concerns across their organization.

External Auditor's Report
UM

At the February 4, 2021 Board of Curators meeting, Rachel Dwiggin, Partner with BKD, LLP will present a summary of the FY 2020 Financial Statement Audit, NCAA Agreed Upon Procedures, and the audit scope for fiscal year 2020.

The University of Missouri 2020 financial statement audit was completed on November 16, 2020. 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 2020 were completed by the January 15th deadline. The reports are available upon request.

The Fiscal Year 2021 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, 2021.

February 6, 2020

University of Missouri System

Report to the Board of Curators, Audit Committee and Management

November 16, 2020

Results of the 2020 financial statement audit and other required
communications



February 4, 2021



Contents

2020 Audit Results

Summary of Our Audit Approach & Results.....	2
Significant Estimates	3
Opinion	3
Required Communications.....	4

Appendix

Management Representation Letter & Schedule of Uncorrected Misstatements	Attachment
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November 16, 2020

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 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, 2020. 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, 2020, 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

BKD’s 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.

Areas of Audit Emphasis

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

Risk Area	Results
<ul style="list-style-type: none"> • <i>Management override of controls</i> – The risk that management may override existing and functioning accounting controls is an inherent risk to the System. 	<ul style="list-style-type: none"> ➡ No matters are reportable.
<ul style="list-style-type: none"> • <i>Revenue recognition</i> – The risk that revenue is improperly categorized or recorded in the improper period. This risk includes timing of recognition of tuition and fee revenue and the consideration of the allowance for doubtful accounts. 	<ul style="list-style-type: none"> ➡ No matters are reportable.
<ul style="list-style-type: none"> • <i>Revenue recognition (health system)</i> – The risk that revenue is improperly categorized or recorded in the improper period. This risk includes consideration of the allowance for doubtful accounts, contractual allowances and consideration of amounts due to/from third-party payers. 	<ul style="list-style-type: none"> ➡ No matters are reportable.
<ul style="list-style-type: none"> • <i>Valuation of investments</i> – The assumptions and methods used by management to value difficult-to-value investments, such as alternative investments and the related derivative instrument liabilities. 	<ul style="list-style-type: none"> ➡ No matters are reportable.
<ul style="list-style-type: none"> • <i>Net position classification</i> – The risk that management has improperly classified ending net position. 	<ul style="list-style-type: none"> ➡ No matters are reportable.

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:

- **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.
- **Allowance for Doubtful Accounts** – Primary collection risks related to patient accounts receivable include uninsured patients and patient balances where the insurance payer did not pay the entire balance. Management’s estimate for allowance for doubtful accounts is based on historical collection, payer mix and anticipated trends. Similar to third-party reimbursements, management assumptions about the economy and types of payers affect the estimation of allowance for doubtful accounts.
- **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.
- **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 claim facts, historical claim reporting and actuarial assumptions.
- **Defined Benefit Pension and Other Postemployment Benefit Plan Assumptions** – Assumptions are based on actuarial valuations based on age of participants, past history of the System and expected future return on investments.

Opinion

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

We have issued an unmodified opinion as to whether the business-type activities and the fiduciary activities of the System, as of and for the year ended June 30, 2020, 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 Responsibility Under 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

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>Significant Accounting Policies</p> <p>Significant accounting policies are described in <i>Note 1</i> of the financial statements.</p>	<ul style="list-style-type: none"> • GASB Statement No. 84, <i>Fiduciary Activities</i>, was adopted during the fiscal year ended June 30, 2020
<p>Alternative Accounting Treatments</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"> • No matters are reportable

Area	Comments
<p>Management Judgments & Accounting Estimates</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"> • Refer to Significant Estimates section of this report
<p>Financial Statement Disclosures</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"> • Fair Value of Assets and Liabilities • Retirement, Disability and Death Benefit Plan • Other Postemployment Benefits
<p>Audit Adjustments</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. Some adjustments proposed were not recorded because their aggregate effect is not currently material; however, they involve areas in which adjustments in the future could be material, individually or in the aggregate.</p>	<p>Areas in which adjustments were proposed include:</p> <p><u>Proposed Audit Adjustments Recorded</u></p> <ul style="list-style-type: none"> • No matters are reportable <p><u>Proposed Audit Adjustments Not Recorded</u></p> <p>See attached 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>
<p>Auditor’s Judgments About the Quality of the System’s Accounting Policies</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"> • No matters are reportable

Area	Comments
<p>Other Information in Documents Containing Audited Financial Statements</p> <p>The audited financial statements are included in the System’s annual report. As part of our procedures, we 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"> • No matters are reportable

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.

BKD, LLP

Kansas City, Missouri
November 16, 2020

November 16, 2020



BKD, LLP

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

We are providing this letter in connection with your audits of our financial statements as of and for the years ended June 30, 2020 and 2019. We confirm that we are responsible for the fair presentation of the financial statements 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.

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 engagement letter dated January 8, 2020 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 internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.
3. We acknowledge our responsibility for the design, implementation and maintenance of internal control to prevent and detect fraud.
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.

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Page 2

- (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.
 - (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 entity procedures with respect to:
 - (a) Misappropriation of assets.
 - (b) Misrepresented or misstated assets, liabilities 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:
 - (a) Fraudulent financial reporting or misappropriation of assets involving management or employees who have significant roles in internal control.
 - (b) Fraudulent financial reporting or misappropriation of assets involving others that could have a material effect on the financial statements.
 9. We have no knowledge of any allegations of fraud or suspected fraud affecting the University of Missouri System ("System") received in communications from employees, customers, regulators, suppliers or others.
 10. We have disclosed to you the results of our assessment of the risk that the financial statements may be materially misstated as a result of fraud.
 11. We have disclosed to you the identity of the entity's related parties and all the related party relationships and transactions of which we are aware. 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 it 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 us.
 12. Except as reflected in the financial statements, there are no:

February 4, 2021

- (a) Plans or intentions that may materially affect carrying values or classifications of assets and liabilities.
 - (b) Material transactions omitted or improperly recorded in the financial statements.
 - (c) Material gain/loss contingencies requiring accrual or disclosure, including those arising from environmental remediation obligations.
 - (d) Events occurring subsequent to the balance sheet 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 System is contingently liable.
13. 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.
14. We have no reason to believe the System 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.
15. 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.
16. 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
17. 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.

Page 4

- (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.
18. Except as disclosed in the financial statements, we have:
- (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.
19. 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 for malpractice claims are sufficient for all known and probable potential claims.
20. 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.
21. We have notified you of any instances of noncompliance with applicable disclosure requirements of the SEC Rule 15c2-12 and applicable state laws.
22. 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) 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.
 - (c) We understand that your audit does not represent an opinion regarding the enforceability of any collateral pledges.

February 4, 2021

23. With respect to any nonattest services you have provided us during the year, including agreed-upon procedures in connection with the 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 that 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.
24. We acknowledge that we are responsible for compliance with applicable laws, regulations and provisions of contracts and grant agreements.
25. 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.
26. We have identified and disclosed to you any violations or possible violations of laws, regulations and provisions of contracts and grant agreements whose effects should be considered for recognition and/or disclosure in the financial statements or for your reporting on noncompliance.
27. 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.
28. We have a process to track the status of audit findings and recommendations.
29. 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.
30. With regard to federal awards programs, 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.

31. The financial statements disclose all significant estimates and material concentrations known to us. Significant estimates are estimates at the balance sheet date which 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 which 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.
32. 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.
33. 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.
34. 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.
35. 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.

Page 7

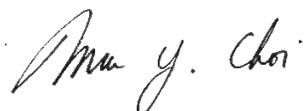
- (e) All items required to be disclosed, including disputed costs that are being claimed to establish a basis for a subsequent appeal, have been fully disclosed in the cost report.
- (f) Recorded allowances for third-party settlements are necessary and are based on historical experience or new or ambiguous regulations that may be subject to differing interpretations

36. 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.
- (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.

37. We acknowledge the current economic decline continues to present difficult circumstances and challenges for the higher education industry. Some institutions are facing declines in the fair values of investments and other assets, declines in the volume of business, constraints on liquidity and difficulty obtaining financing. 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 and allowances for accounts and notes receivable, etc. that could negatively impact the System.. We acknowledge that you have no responsibility for future changes caused by the current economic environment and the resulting impact on the System's financial statements. Further, management and the Board are solely responsible for all aspects of managing the System, including questioning the quality and valuation of investments and other assets, reviewing allowances for uncollectible amounts and evaluating capital needs and liquidity plans.

38. In regards to the Master Strategic Alliance Agreement between Siemens Medical Solutions USA, Inc. and us, there currently are no assets in the "Healthcare Innovation Fund."



Dr. Mun Y. Choi
President



Ryan Rapp
Vice President for Finance and
Chief Financial Officer

February 4, 2021

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	1,498,746	4,620	1,503,366	0.31%
Non-Current Assets & Deferred Outflows	8,392,773	(4,170)	8,388,603	-0.05%
Current Liabilities	(1,292,804)	(12,618)	(1,305,422)	0.98%
Non-Current Liabilities & Deferred Inflows	(3,591,972)	4,170	(3,587,802)	-0.12%
Current Ratio	1.16		1.15	-0.60%
Total Assets & Deferred Outflows	9,891,519	450	9,891,969	
Total Liabilities & Deferred Inflows	(4,884,776)	(8,448)	(4,893,224)	0.17%
Total Net Position	(5,006,743)	7,998	(4,998,745)	-0.16%
Total Revenue	(3,657,691)	10,357	(3,647,334)	-0.28%
Total Expense	3,731,414	4,295	3,735,709	0.12%
Change in Net Position	73,723	14,652	88,375	19.87%

Misstatements within Notes to the Financial Statements

February 4, 2021

Description	Financial Statement Line Item	Factual (F), 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				Change in Net Position	Net Position
			DR (CR)	DR (CR)	DR (CR)	DR (CR)				DR (CR)	DR (CR)
Aggregation of GAAP Exceptions		F	1,520	0	(9,518)	0	(254)	4,295	3,957	(7,998)	7,998
	Current Assets		1,520							(7,998)	
	Current Liabilities				(9,518)						7,998
	Revenue					(4,574)					
	Operating Expenses						12,572				
	PY Turnaroud					4,320	(8,277)	3,957			
Record present value of lease obligation for Siemens.		F	0	(4,170)	0	4,170	0	0	0	0	0
	Capital Lease Obligation					4,170					
	CIP			(4,170)							
Reclassify patient refunds		F	3,100	0	(3,100)	0	0	0	0	0	0
	Patient receivables		3,100								
	Accounts payable				(3,100)						
PY Turnaroud of Unrealized Gains on alternative investments		F	0	0	0	0	10,611	0	(10,611)	0	0
	Change in Net Position						10,611			No turnaround	
	Net Position								(10,611)		
			0	0	0	0	0	0	0	0	0
			0	0	0	0	0	0	0	0	0
Total passed adjustments			4,620	(4,170)	(12,618)	4,170	10,357	4,295	(6,654)	(7,998)	7,998
										Impact on Change in Net Position	14,652
										Impact on Net Position	7,998

SCHEDULE OF UNCORRECTED MISSTATEMENTS (NOTES TO THE FINANCIAL STATEMENTS)

Uncorrected and/or Omitted Disclosure (Include Guidance Reference)	Misstatement Type	Quantitative Amount(s)	Relevant Financial Statement Line(s)
1 Client omitted disclosure on the revision of an immaterial change to the PY Cash flow statement	Omitted	~44.3MM	NA- only affects supplemental cash flow- "accounts payable incurred with the purchase of capital assets"

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.

Pension & OPEB

QUANTITATIVE ANALYSIS

	Before Misstatements	Misstatements	Subsequent to Misstatements	% Change
Total Assets & Deferred Outflows	4,157,255		4,157,255	
Total Liabilities & Deferred Inflows	(463,145)		(463,145)	
Total Fund Balance	(3,694,110)		(3,694,110)	
Additions	(205,134)	2,965	(202,169)	-1.45%
Deductions	306,863		306,863	
Change in Net Position	101,729	2,965	104,694	2.91%

February 4, 2021



University of Missouri System

Board of Curators

Rachel Dwiggins, CPA

OPEN – ACE – INFO 3-22

February 4, 2021 **BKD**
CPAs & Advisors

OUR GOALS FOR TODAY

1

2020 Audit Results

2

NCAA Agreed-Upon Procedures Results

3

2021 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

- 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

Risk Area	Results
Management override of controls	No matters are reportable.
Revenue recognition	No matters are reportable.
Revenue recognition (health system)	No matters are reportable.
Valuation of investments	No matters are reportable.
Net position classifications	No matters are reportable.

Significant Estimates

- Third-party Reimbursement
- Allowance for Doubtful Accounts
- Valuation of Investment Securities
- Accruals
 - › Malpractice Claims
 - › General Liability Claims
 - › Health Claims
 - › Workers' Compensation Claims
- Defined Benefit Pension & Other Postemployment Benefit Plan Assumptions
- Provider Relief Fund recognition

REQUIRED COMMUNICATIONS

- Communicated during planning

Area	Comments
Significant Accounting Policies	Described in Note 1 of the financial statements. GASB 84 was adopted during fiscal year 2020.
Alternative Accounting Treatments	No matters are reportable.
Financial Statement Disclosures	<ul style="list-style-type: none">Fair Value of Assets and LiabilitiesRetirement, Disability & Death Benefit PlanOther Postemployment Benefits
Auditor's Judgments About the Quality of the System's Accounting Policies	No matters are reportable.

REQUIRED COMMUNICATIONS – CONT.

Area	Comments
Audit Adjustments	<p>Proposed audit adjustments recorded:</p> <ul style="list-style-type: none">• None <p>Proposed audit adjustments not recorded:</p> <p><u>System:</u></p> <ul style="list-style-type: none">• Change in fair value of alternative investments – prior year turnaround• Reclassify patient refunds and third party settlements• Present value of lease obligation• Aggregate of other immaterial items <p><u>Pension Trust Funds</u> (Aggregate Remaining Fund opinion unit):</p> <ul style="list-style-type: none">• Change in fair value of alternative investments – prior year turnaround

OTHER DELIVERABLES

Issued

- › Financial Statements of Capital Region Medical Center
- › Report on Debt Compliance of Capital Region Medical Center
- › NCAA Agreed-Upon Procedures (Columbia and Kansas City campuses)

To be Issued

- › 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

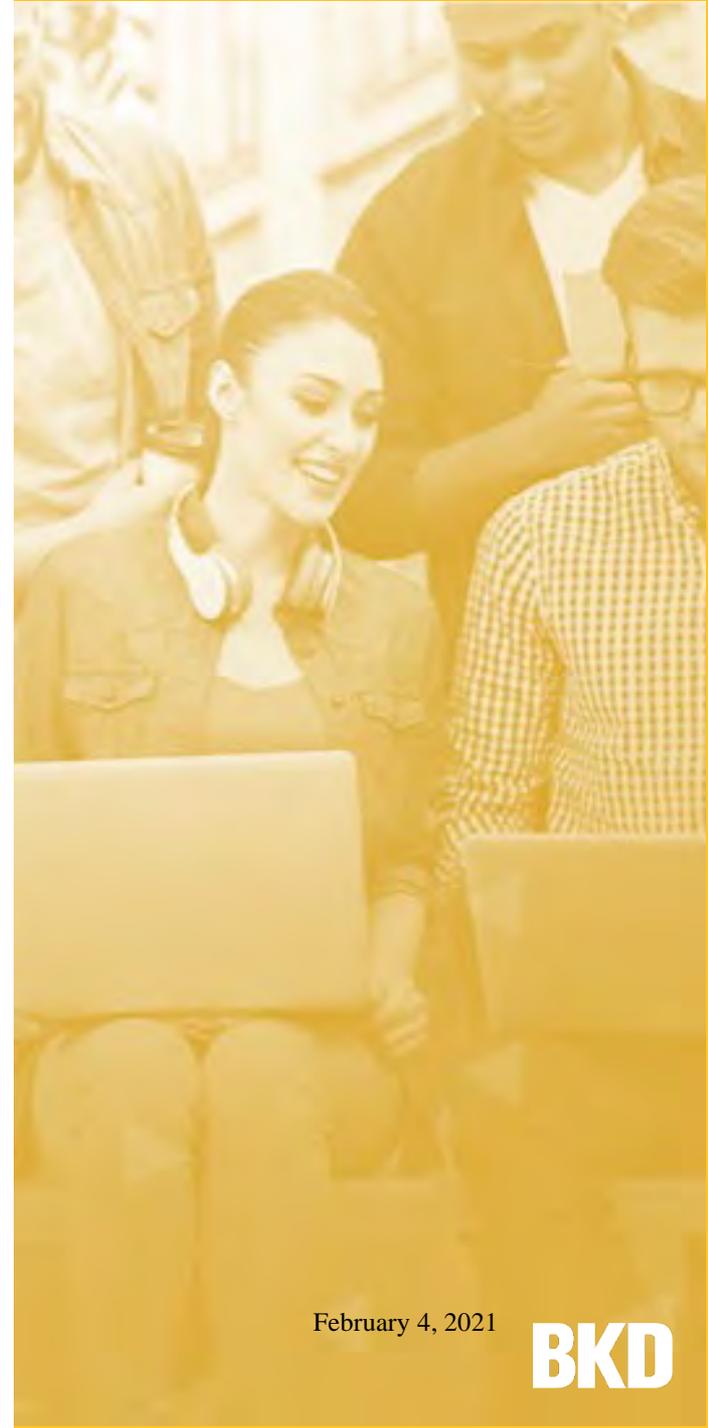
Performed for Columbia and Kansas City campuses in 2020 (St. Louis and S&T was performed in 2018)

2021 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
 - › St. Louis
 - › Rolla



AUDIT TIMELINE

Preliminary audit work

- › Pre-audit planning meeting – Spring 2021
- › Interim procedures, risk assessment & other planning – May 2021
- › Student financial aid testing – July 2021

Final audit work

- › Fieldwork procedures – August/September/October 2021
- › Issuance of financial statement audits – October 2021
- › Additional federal program testing – October 2021 – January 2022

NCAA procedures – November/December 2021

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

- › Valuation of investments
- › Revenue recognition
- › 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. 89, Accounting for Interest Cost Incurred before the End of a Construction Period

- Interest is expensed in the period incurred vs. capitalized

GASB No. 90, Majority Equity Interests

- The System is in the process of evaluating any potential impact

APPENDIX – BKD AUDIT PERSONNEL & ROLES

Name	Role	Contact Details
Rachel Dwiggin	Lead Engagement Partner	Phone: 816.489.4033 E-mail: rdwiggin@bkd.com
Fred Helfrich	Healthcare Engagement Partner	Phone: 314.802.0127 E-mail: fhelfrich@bkd.com
Mary McKinley	Concurring Review Partner	Phone: 502.963.0854 E-mail: mmckinley@bkd.com
Jean Nyberg	Engagement Partner for CRMC	Phone: 417.865.8701 E-mail: jnyberg@bkd.com
Michael Flaxbeard	Engagement Senior Manager for the System	Phone: 816.221.6300 E-mail: mflaxbeard@bkd.com



Questions?

OPEN – ACE – INFO 3-41

February 4, 2021

BKD
CPAs & Advisors



Thank You!

OPEN – ACE – INFO 3-42

February 4, 2021

BKD
CPAs & Advisors

Engagement of Independent Auditors and Related Fees
UM

The Vice President for Finance and CFO recommends that BKD LLP be employed to provide audit services to the University of Missouri for fiscal year 2021 for fees of \$555,698 plus expenses not to exceed \$67,000. The total fees and expenses of \$622,698 represent a 11% decrease in fees and expenses for normal audit services over the prior fiscal year. The decrease is a result of competitively bidding the contract. The Board previously approved the award of the contract to BKD at the October meeting in closed session.

Fiscal year 2021 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 Circular A-133; financial statements of Capital Region Medical Center; and, minimum agreed-upon procedures required by the NCAA for the Intercollegiate Athletics Departments of the Columbia, Kansas City, Rolla and St Louis campuses.

Fees for required NCAA Athletic Department minimum agreed upon procedures increased by \$15,592 mainly due to the inclusion of the UM-St. Louis and Missouri S&T athletic departments in the scope. The NCAA requires that 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 2018 and are required in fiscal year 2021.

February 4, 2021

University of Missouri System

Fiscal year ended June 30, 2021

	Fees				Expenses				Total Fees & Expenses FY 2020	Total Fees & Expenses FY 2021
	6/30/2020 Fees	New Contract Rate	Known scope change	Total Fees FY 2021	6/30/2020 Expenses	New Contract Rate	Known scope change	Total Expenses FY 2021		
Combined financial statements of the University of Missouri System	\$ 268,147	\$ (46,072)	\$ -	\$ 222,075	\$ 37,996	\$ 4	\$ -	\$ 38,000	\$ 306,144	\$ 260,075
Compliance audit of the University of Missouri System in accordance with OMB Uniform Guidance	\$ 150,901	\$ (28,838)	\$ -	\$ 122,063	\$ 13,028	\$ (2,028)	\$ -	\$ 11,000	\$ 163,928	\$ 133,063
Financial statements of the University Health System	\$ 86,849	\$ (8,099)	\$ -	\$ 78,750	\$ 8,685	\$ 15	\$ -	\$ 8,700	\$ 95,535	\$ 87,450
Financial statements of the Capital Region Medical Center	\$ 82,507	\$ (3,757)	\$ -	\$ 78,750	\$ 7,599	\$ 1	\$ -	\$ 7,600	\$ 90,106	\$ 86,350
Minimum agreed-upon procedures required by the NCAA for the Intercollegiate Athletics Departments of the Columbia, Kansas City, Rolla and St Louis campuses	\$ 36,911	\$ (9,881)	\$ 27,030	\$ 54,060	\$ 3,256	\$ (2,256)	\$ 700	\$ 1,700	\$ 40,168	\$ 55,760
Total	\$ 625,315	\$ (96,647)	\$ 27,030	\$ 555,698	\$ 70,565	\$ (4,265)	\$ 700	\$ 67,000	\$ 695,880	\$ 622,698

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 \$210.00. 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 American Recovery and Reinvestment Act of 2009 (ARRA) 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 Vice President Rapp, endorsed by President Choi, moved by Curator _____, seconded by Curator _____, that the following action be approved:

that the Vice President for Finance be authorized to employ the firm of BKD LLP to provide audit services to the University of Missouri for fiscal year ending June 30, 2021 for fees of \$622,698.

Roll call vote of Committee: YES NO

Curator Brncic
Curator Graham
Curator Layman
Curator Snowden

The motion _____.

Roll call vote: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

No. 2

Recommended Action - Resolution for Executive Session of the Audit Committee, February 4, 2021

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 4, 2021, 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 (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 Graham

Curator Layman

Curator Snowden

The motion _____.

February 4, 2021

HEALTH AFFAIRS COMMITTEE

David L. Steelman, Chair

Maurice B. Graham

Robin R. Wenneker

Michael A. Williams

Ronald G. Ashworth (non-curator member)

John R. Phillips (non-curator member)

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.

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:

1. 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.
2. 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.

3. 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.

Approved by the Board of Curators: April 9, 2020

University of Missouri



Board of Curators

Health Affairs Committee Meeting

**Thursday, January 28, 2020
1:00 P.M.**

This Committee Meeting is being held in conjunction with the February 4, 2021 Board of Curators Meeting.

Originating:

From remote locations via conference telephone and Zoom webinar.

Please click the link below to join the webinar:

<https://umsystem.zoom.us/j/92081758249>

Or Telephone:

Dial US: +1 646 876 9923

Webinar ID: 92081758249

AGENDA

PUBLIC SESSION – 1:00 P.M.

Call to Order – Curator Steelman

Roll Call of the Committee

Information

1. Executive Vice Chancellor Report (Dr. Rick Barohn)
2. School of Medicine Report (Dr. Steve Zweig)
3. MU Health Care Report (Jonathan Curtright)
4. Chief Quality Officer Report (Dr. Bob Pendleton)
5. Quarterly Financial Report, MU Health (written report only)
6. Quarterly Compliance Report, MU Health (written report only)

Action

1. Minutes Approval, November 12, 2020 Health Affairs Committee Meeting

Recess

EVC Report

January 28, 2021

Richard J. Barohn, MD
Executive Vice Chancellor for Health Affairs
Executive Director, NextGen Precision Health



MU Health Care | NextGen Precision Health | School of Medicine

NextGen Precision Health Construction Update



On time and on budget!



Opening October 19, 2021

NextGen Scientists | First Wave of Occupancy

Cancer and Immunology



**EMMA
TEIXEIRO**



**DIANA
GIL PAGES**



**ADAM
SCHRUM**



**KEVIN
STAVELEY-O'CARROLL**



**ERIC
KIMCHI**



**GUANGFU
LI**



**HAVAL
SHIRWAN**



**ESMA
YOLCU**

Cardiovascular and Metabolic Disorders



**LUIS
MARTINEZ-LEMUS**



**JAUME
PADILLA**



**CAMILLA
MANRIQUE ACEVEDO**



**CRAIG
EMTER**

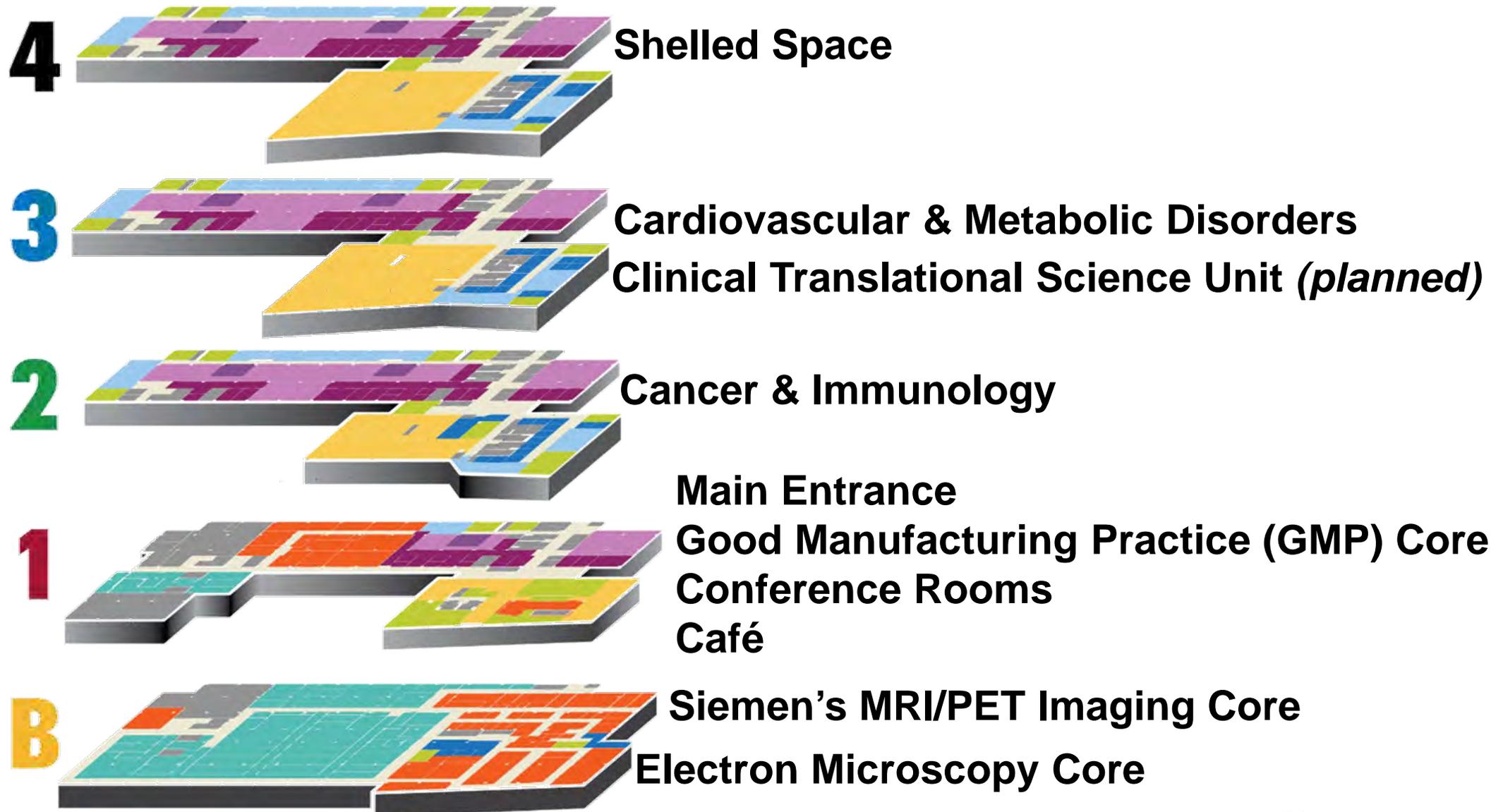


**SCOTT
RECTOR**



**ELIZABETH
PARKS**

First Wave of Occupancy



NextGen Precision Health Discovery Series

Monthly virtual seminars for the systemwide community

February 10, 2021

“NextGen Precision Health: Where are we now? Where are we going?”

Speaker: Richard J. Barohn, MD

If you have ideas for speakers or topics, or would like more information, please reach out to senior director of education programs Mary Hindle at hindlem@health.missouri.edu or 573-884-6705.



COVID-19 Vaccine Administration

5,485*

employees of MU Health Care and the School of Medicine have received the first dose of the Pfizer vaccine

*Number of vaccinations as of Jan. 20, 2021.



Pediatric infectious disease specialist Christelle Ilboudo, MD, was the first in line to receive the vaccine from MU Chief Nursing Officer Mary Beck, DNP, RN.

COVID-19 Vaccine Administration

State vaccination phases

1A: Health care workers ✓

1B: Progression through tiers depends on vaccine availability: First responders & emergency (**Tier 1, week of Jan. 18**); high-risk (**Tier 2, week of Jan. 25**); critical infrastructure (**Tier 3**)

2: People at increased risk of acquiring or transmitting; limited access to routine vaccination services

3: All Missouri residents

Centralized vaccination site for the city

1K vaccinations per day

Early February target



Faurot Field

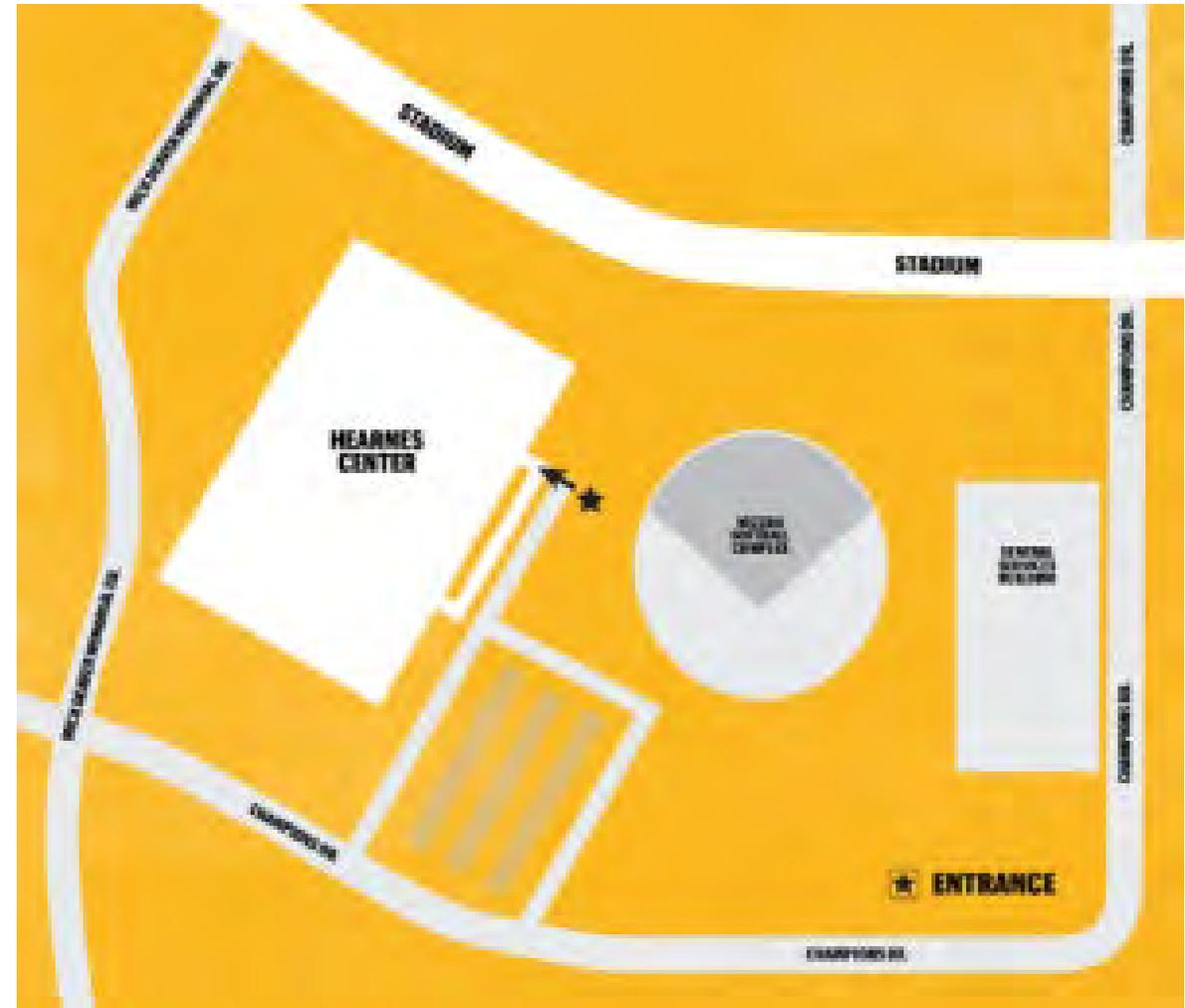
Launched online survey for the public

COVID-19 Arrival Testing for Students

6,300

students required to be tested
for spring 2021 semester

Located at Hearnes Center



Questions?

Dean's Report

January 28, 2021

Steven Zweig, MD
Dean of MU School of Medicine



University of Missouri

MU Health Care | NextGen Precision Health | School of Medicine

RISE-UP (Research Investment Strategic Enhancement - University Partnership)



Create a high-performing governance structure and operations structure to achieve strategic research priorities.



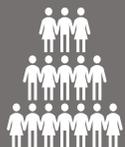
Accelerate speed and fidelity of research hires.



Support NextGen column-based hiring process that cuts across departments and schools to build new or add to existing research strengths including “cluster” hiring plans.



Promote recruitment of senior clinical and/or research administrators with strong leadership skills.



Advance process in collaboration with key campus research leaders (Provost, EVC , VCR, NGPH leaders, other deans, etc.)

Strategy

- Interdisciplinary groups of leaders responsible for key recruitments
 - Cluster hiring in areas of cancer, cardiovascular, neurosciences, reproductive biology
 - National search firms for important leaders such as Director of Hematology/Oncology and Chair of Obstetrics, Gynecology and Women's Health
 - Working closely with MU Health Care and MU campus partners
 - Advancing clinical translation with key recruits in informatics, population health and clinical trials to complement biomedical research

SOM Finances: Second Quarter FY21

	FY2021 Dec YTD Actuals	FY2021 Dec YTD Budget	Variance	FY2020 Dec YTD Actuals
Net Clinical Revenue	126,936,814	119,866,940	7,069,874	125,610,933
Grants & Contracts	31,442,870	26,523,817	4,919,053	26,447,566
Other Income	3,879,473	2,719,448	1,160,025	4,142,170
Gifts / Endowment Income	3,992,507	3,134,899	857,608	3,275,794
State Approp / Tuition & Fees	18,173,397	17,974,362	199,036	20,189,365
MUHC Support	35,594,335	33,904,901	1,689,433	35,491,767
Total Revenues	220,019,396	204,124,366	15,895,029	215,157,596
Salary & Wages	136,445,132	135,199,566	(1,245,565)	136,605,600
Benefits	31,577,308	33,956,051	2,378,743	29,141,959
Operating Expenses	39,782,373	31,088,313	(8,694,060)	35,695,895
Student Aid	1,602,492	1,013,389	(589,103)	1,467,339
F&A	5,483,990	5,545,229	61,239	5,023,539
Total Operating Expenses	214,891,295	206,802,548	(8,088,747)	207,934,332
Net Income	5,128,100	(2,678,182)	7,806,283	7,223,264

Questions?

CEO Report

January 28, 2021

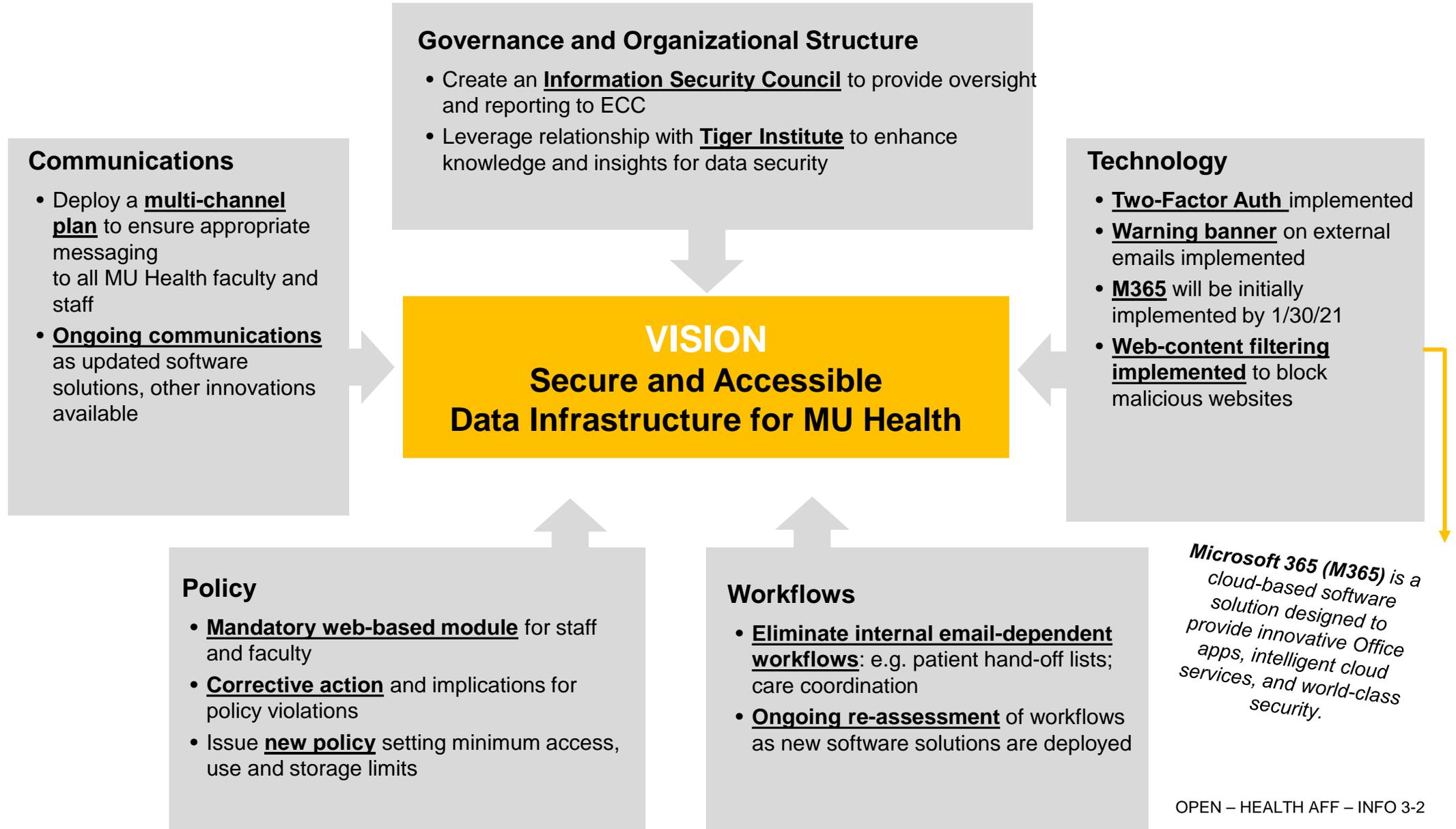
Jonathan Curtright
Chief Executive Officer



University of Missouri

MU Health Care | NextGen Precision Health | School of Medicine

MU Health Data Security Task Force: Work Group Recommendations



MU Health Care Organizational Structure

Executive Vice Chancellor for Health Affairs
Richard Barohn, MD

Jonathan W. Curtright
Chief Executive Officer

- Portfolio:**
- Corporate Partnerships
 - Jefferson City Strategy
 - Development
 - HNM and MPACT
 - Network development
 - Office of General Counsel
 - Strategic Communications
 - MU Health Strategic Planning
 - Compliance

Mary Beck, DNP, RN
Chief Nursing Officer

- Amy Trueblood, RN
 - Julia Settles, MD, JD
 - Directors of Nursing (Matrix)
 - Colleen McNally
 - Deb Deeken, RN
- Strategic Project:**
- COVID-19 ICS
 - Magnet Status (CRMC and MU Health Care)
- Portfolio:**
- MU Psychiatric Center
 - Prof. Nursing Practices
 - Medical Liability
 - Accreditation
 - Risk Management
 - Liaison to academic programs

Steve Whitt,
Chief Clinical Officer

- Stephanie Cordray
 - Bob Schaal
 - Jim Stannard, MD
 - Matt Waterman
 - Calvin Posley, RN
 - ACMO's
 - Medical Directors
 - Deb Koivunen, MD
- Strategic Project:**
- Jefferson City Strategy (Gaspere Calvaruso)
- Portfolio:**
- Ambulatory Services
 - MOI
 - Ellis Fischel
 - Procedural Services
 - GME Programs
 - Clinical Service Lines
 - Sr. Dean for Clinical Affairs

Keri Simon
Interim Chief Hospital Operations Officer

- Roger Higginbotham
 - John Hornick, RN
 - Misty Jones, RN
 - Kelly Reilly
 - Bridgette Robbins, RN
 - Sandy Harryman, RN
 - Christina Vollrath, RN
- Strategic Project:**
- Children's Hospital Project
- Portfolio:**
- Hospital Operations (UH, WCH)
 - Facilities Planning & Ops
 - Acute Care & Trauma Service Line

Beth Alpers, RN
Interim Chief Human Resources Officer

- Jason Miller
 - David Gaus
 - Lacy Lugo
 - Nikki McGruder
- Function**
- Human Resources
 - Diversity/Inclusion
 - Title IX
 - Recruitment
 - Talent Development

Kay Davis, RN
Chief Financial Officer

- Teresa Brooks
 - Paula Littleton
 - David Parker
 - Vince Cooper
 - John Mikesic
 - Shelley Naydyhor
- Strategic Projects:**
- Custom Networks
 - Gov't Payer Strategy
- Portfolio:**
- Budget & Accounting
 - Financial Analytics
 - Revenue Cycle
 - Business Planning
 - Managed Care
 - Supply Chain
 - Network development

Robert Pendleton, MD
Chief Quality Officer (Whitt)
Health Care Strategy (Curtright)

- Kevin Gwin
 - Susan Heimsoth
 - Koby Clements
- Strategic Projects:**
- Vizient Performance
 - Health System Strategy
- Portfolio:**
- Value-Based Care
 - Quality and Safety
 - Data Analytics
 - Patient Experience

Bryan Bliven
Chief Information Officer

- TI Directors
 - Sean Rivera
 - Belynda Imhoff
- Strategic Projects:**
- Data Security
 - Corporate Partnerships (Cerner, Siemens)
- Portfolio:**
- Tiger Institute
 - Data Security
 - LRHS, CRMC IT
 - Clinical Engineering

Marty McCormick
Executive Director, Marketing and
Community Engagement

- Heather Lockard
 - Laura Schemel
 - TBN Director, Community Engagement
 - Prairie Dog
- Portfolio:**
- Strategic Planning
 - Health System Marketing
 - Advertising
 - Community philanthropy
 - Brand Management
 - Employer Branding

Brad Myers, Pharm D
Executive Director, Pharmacy and Lab Services

- Pharmacy Directors
 - Laboratory Directors
- Portfolio:**
- Laboratory Operations
 - Pharmacy operations
 - Retail Pharmacy
 - 340B Program

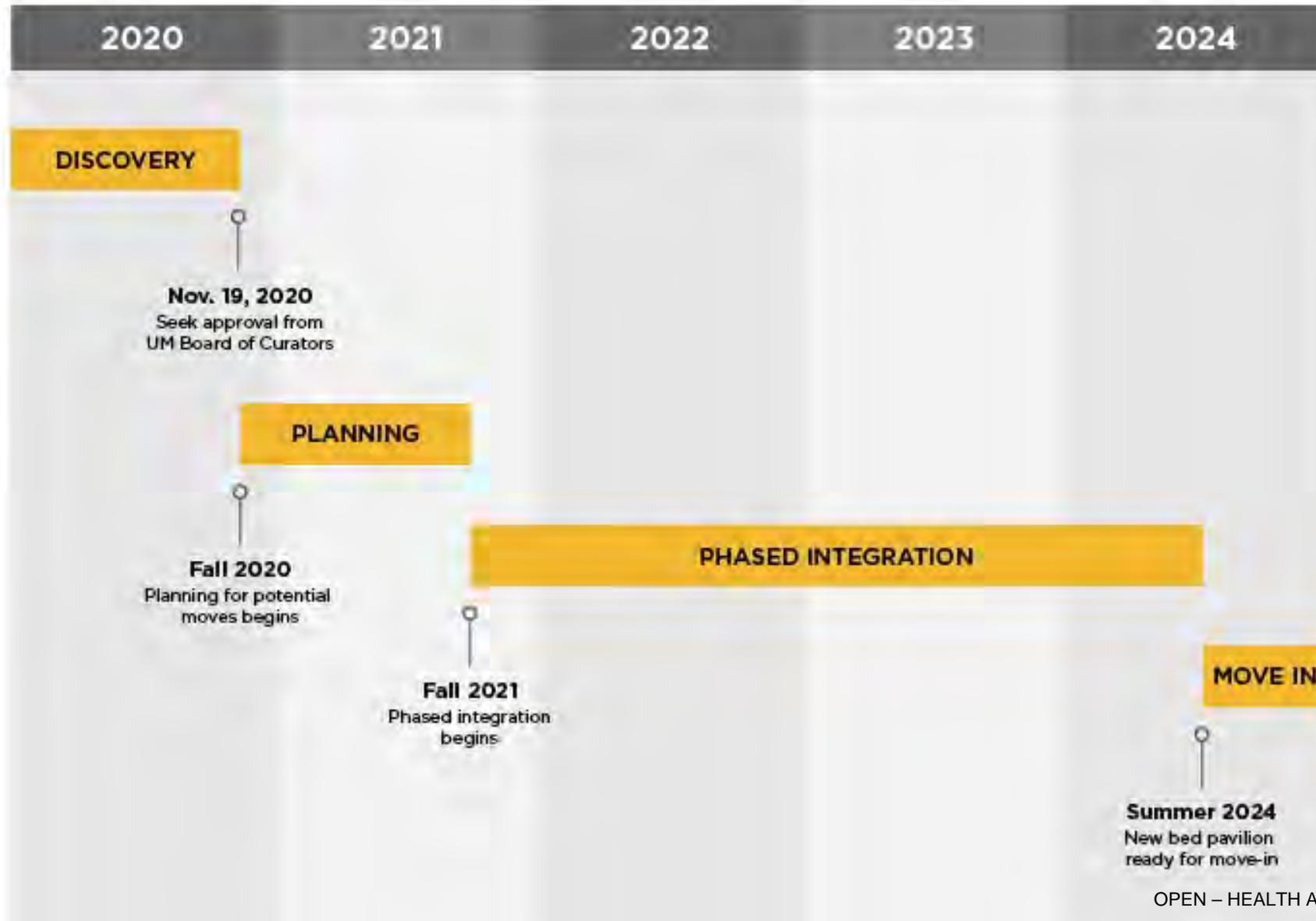
Gaspere Calvaruso
President, CRMC

- CMRC Leadership Team
- Strategic Project:**
- Jefferson City Strategy (Dr. Whitt)
- Portfolio:**
- CRMC Operations
 - CRMC Board
 - HNM Chair

Clinical Integration Update



Clinical Integration Timeline



Clinical Integration Updates

Phase I - Fall 2021

- Consolidation of I/P Peds and PICU, Children's Procedure Suite, Cancer and Blood Disorder Unit, I/P and O/P Pediatric Surgeries, Emergency Department, and most Pediatric Clinics
- LOTS of work and moving parts over the next 6-12 months building out additional clinical space to accommodate Phase 1 Consolidation
- Goal of minimizing temporary spend that does not have long-term use / value

Phase II - Summer 2024

- Design groups kicked off mid-December, 2020
- Site work begins February 2021; Construction begins May 2021
- Construction complete and occupancy by Summer 2024

Crucial for Success

- Keeping teams within scope, well-thought-out but rapid decision making, strong communication, leader alignment

Our Collective Building

40+ project teams

300+ people

Design Development: Workshops 4-6, February - April

Mock-ups and virtual reality



* photos pre-pandemic

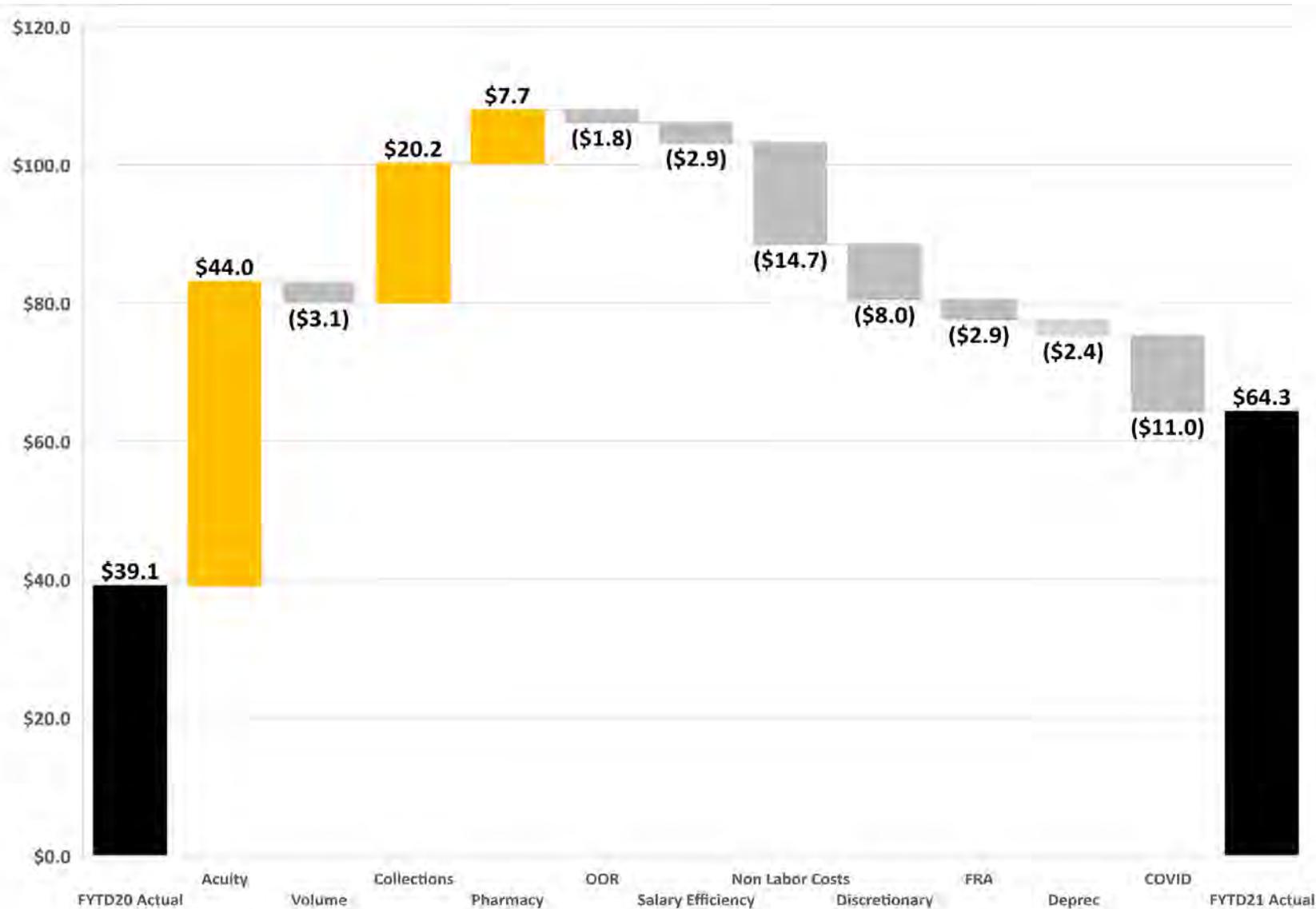
Improving Access through Clinical Care



Located near Battle High School at 7115 E. St. Charles Road

- **Battle Avenue Medical Building now open**
- **Brings much-needed access to health care to the north side of Columbia**
- **Primary care services for the entire family**
- **Continued access to care**
 - **Opening new Mizzou Urgent Care location at 2003 W. Broadway, Suite 100 in March 2021**
 - **Plans for new Boonville clinic**

Operating Income - Fiscal Year to Date 21



- While volume was slightly lower, operating revenue increased due to higher complexity of patients and more favorable collections
- Volume adjusted costs were unfavorable due to COVID-related expenses, higher agency costs, and supply expense related to more complex patients

Our New Chief Quality Officer

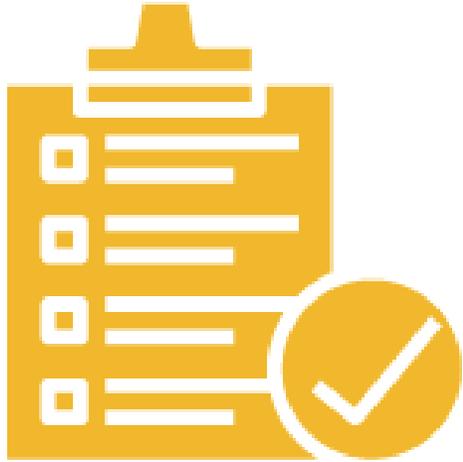
Dr. Robert Pendleton joined in November as chief quality officer

- Served as chief medical quality officer at University of Utah Health since 2012
- Top 10 in Vizient (2012-2019)
- Top 10 in Vizient ambulatory quality ranking (2015-2019)
- CMS 4 or 5-Star
- IBM Watson Top 100 Hospital in the Country (2017 and 2019)
- Health Grades Top 5



Robert Pendleton, MD

Under Dr. Whitt's Leadership ...



- Vizient Ranking – improved from **45th** to **23rd**
- **4-star Ranking** for Hospital Patient Satisfaction from Centers for Medicare & Medicaid Services
- Launched tiered huddles
- New data analytics dashboard



Questions?

Chief Quality Officer Report

January 28, 2021

Robert Pendleton, MD
Chief Quality Officer

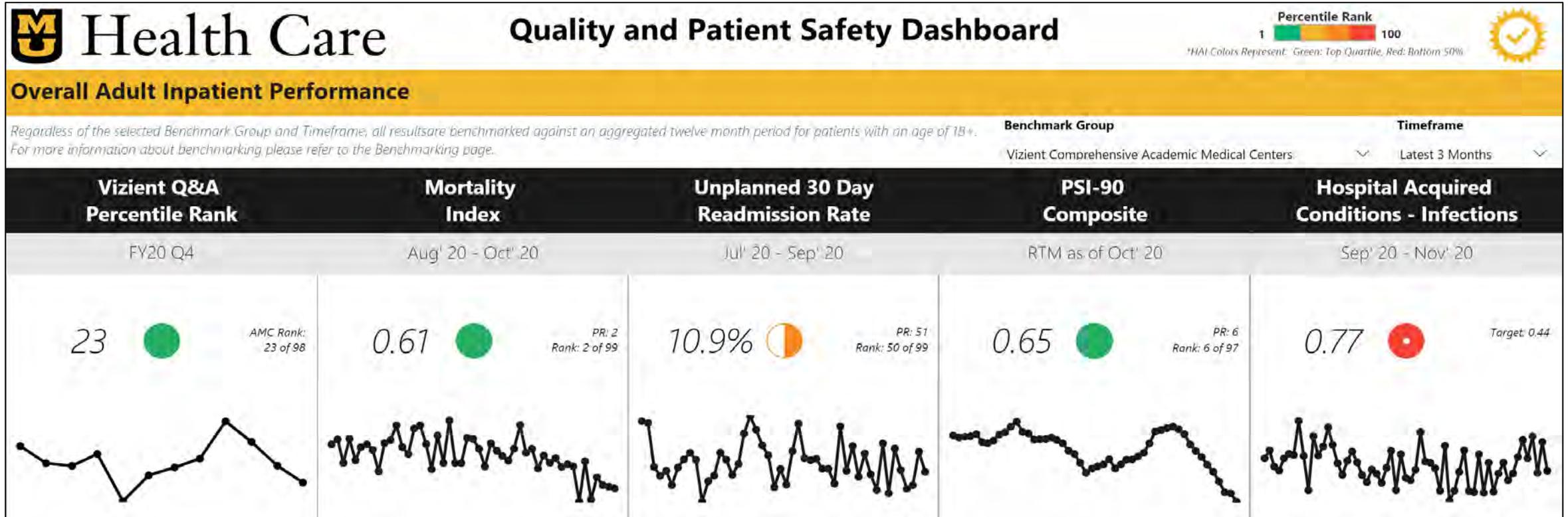


MU Health Care | NextGen Precision Health | School of Medicine

Quality Update - Save and Improve Lives



Operating Metrics - Quality and Safety



- Patients who come to MU Health Care are 40% more likely to survive serious illness than expected
- Patients who come to MU Health Care are 23-35% less likely to suffer a serious complication than expected

Questions?

**University of Missouri Health Care
Health Affairs Committee**

**Financial Report
Fiscal Year 2021, December Year-to-Date**

Consolidated Financial Results (\$000's)	Actual	Forecast	Prior Year
Net Revenues	\$ 608,037	\$ 576,131	\$ 551,247
Operating Expenses	(543,761)	(534,211)	(512,129)
Operating Income	64,276	41,920	39,117
Non-operating Revenues, Net	2,055	(9,526)	(13,263)
Change in Net Assets/Net Income	\$ 66,332	\$ 32,394	\$ 25,854

Overview

Year-to-date financial performance for Net Income is favorable to forecast by \$33.9M. Net revenues per adjusted patient day are 12.1% higher than prior year, offsetting the 8.7% increase over prior year in operating expenses per adjusted patient day. The focus on aligning operating expenses in relation to patient revenue and volume is reflected in favorable operating performance. COVID-19 continues to impact day-to-day operations by impacting clinical staffing and supplies in areas such as ICU and other operations. MUHC leadership continues to work with the State of Missouri, hospital advocates and supply chain providers to ensure resources are available to support the continued response to the pandemic. Governmental support of our COVID related operating expenses is strong. To date MUHC received \$47.8M in CARES funding from the Department of Health and Human Services and State of Missouri to offset expenses for COVID-19 initiatives. As of December 2020, \$25.6M in expenses is attributed to operating expenses and capital investments for COVID-19 initiatives.

Performance Updates

- Case Mix Index of 2.0 is 8.7% higher than forecast and 7.0% higher than prior year
- Average Daily Census is 2.0% lower than forecast and 4.9% lower than prior year
- OR Cases are .9% lower than forecast and 3.0% lower than prior year
- Clinic visits are .8% higher than forecast and 1.0% higher than prior year

Ratios and Benchmarks

The impacts of the re-emergence and continued response to COVID-19 is positively reflected in the financial ratios and benchmarks below. Operating Margin, Annualized Return on Total Assets, Cash to Total Debt, Debt to Capitalization and Maximum Annual Debt Service Coverage are favorable to Moody's A rated medians, while Net Days Revenue in AR and Days Cash on Hand is unfavorable to Moody's A rated medians.

Financial Ratios and Benchmarks	Actual	Forecast	Prior Year	Moody's A-Rated
Operating Margin	9.6%	6.3%	6.0%	2.7%
Annualized Return on Total Assets	9.2%	3.0%	4.0%	4.4%
Cash to Total Debt	178.9%	159.7%	192.5%	137.9%
Debt to Capitalization	24.9%	28.0%	24.1%	30.9%
Maximum Annual Debt Service Coverage	7.6	4.2	4.3	4.7
Days Cash on Hand	206.3	196.2	200.4	215.1
Net Days Revenue in AR	46.7	49.7	50.7	46.2

Memo

To: Board of Curators – Health Affairs Committee
University of Missouri System

From: Jennifer May
MU Health Chief Compliance Officer

Date: January 28, 2021

Re: Quarterly Compliance Update

I. Corporate Integrity Agreement Update

A. Reporting Period 4

- i. Annual Report submitted September 30, 2020 (receipt verified)
- ii. Covered dates July 1, 2019 – June 30, 2020
- iii. MU Health repaid all identified overpayments from the Claims Review
- iv. As of the date of this report, no comments received from the OIG Monitor

B. Reporting Period 5

- i. Timeline runs from July 1, 2020 through June 30, 2021
- ii. Final year of the five-year agreement, term ends June 30, 2021
- iii. Final annual report will be submitted no later than October 1, 2021
- iv. Training modules are live and staff are in process to complete by April 30, 2021
- v. Claims review selection process will begin in February 2021
- vi. Barring any requests from the OIG for additional materials, Clauses VII: OIG Inspection, Audit and Review Rights; X: Breach and Default; and XI: Effective and Binding Agreement, are set to expire on or about January 29, 2022 (based on submission date of final report)
- vii. OIG has one year to initiate any Validation Review of the final Claims Review, which option shall expire on or about October 1, 2022 (based on submission date of final report)

II. Data Security Task Force

- A. In response to the recent breach incidents, MU Health established a Data Security Task Force to review the information security posture and recommend tools to ensure an efficient and secure environment for protected health information (PHI) within MU Health (clinical practice, research, and education). The Data Security Task Force was created under the leadership of EVC Dr. Barohn, and was led by Jonathan Curtright, MU Health Care CEO, and Dr. Steven Zweig, Dean of the MU School of Medicine.

- B. The Task Force was divided into five work teams. These groups completed and submitted recommendations to President Choi and EVC Barohn in December 2020. Summaries of the recommendation from each work team are as follows:
- i. Organizational Structure: create an Information Security Council to provide oversight and reporting to the Executive Compliance Committee; leverage the relationship with the Tiger Institute to enhance knowledge and insights for data security
 - ii. Technology: implementation of two-factor authentication and warning banners on external emails; complete initial implementation of Microsoft 365 by January 30, 2021; expand web-content filtering to block malicious websites
 - iii. Workflows: eliminate internal email-dependent workflows where possible; ongoing re-assessment of workflows should continue as new software solutions are deployed
 - iv. Policy: distribute a mandatory web-based training module on data security in email; establish corrective actions and implications for policy violations; issue a new policy setting minimum access, use and storage limits
 - v. Communications: deploy a multi-channel plan to ensure appropriate messaging of data security needs to all MU Health faculty and staff; ensure ongoing communications as updated software solutions and other innovations become available

III. Compliance Program Update Summary

- A. The MU Health Compliance Program remains focused on the following goals for FY21:
- i. Implementation, Education and Review of Data Security and Integrity Enhancements
 - ii. Continued Development of Reporting and Monitoring Tools for all areas of the Program
 - iii. Ensure alignment of Program Priorities in support of the MU Health Strategic Plan
- B. Risk review and oversight activities continue to increase in all areas
- i. Reviews, audits, and inquiries are trending up year over year.
 - ii. The increased activity in the audit space is directly related to the increased communication the OCC team receives from our staff. Items reviewed range from simple validation of compliance with a particular rule or policy to investigative inquiries on complex topics. The increase year over year in inputs, particularly direct queries, suggests that MU Health staff are comfortable communicating with the OCC for questions, concerns and opportunities for collaboration on strategic needs. This in turn allows for heightened visibility into potential risk areas and presents opportunities to appropriately educate and mitigate risk enhancing the likelihood of strategic goal success.

No. 1

Recommended Action - Minutes, November 12, 2020 Health Affairs Committee Meeting

It was moved by _____ and seconded by _____, that the minutes of the November 12, 2020 Health Affairs Committee meeting, held in conjunction with the November 19, 2020 Board of Curators Meeting, be approved as presented.

Roll call vote of Committee: YES NO

Mr. Ashworth

Curator Graham

Mr. Phillips

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

February 4, 2021

GENERAL BUSINESS (continued)

UNIVERSITY OF MISSOURI – COLUMBIA CAMPUS HIGHLIGHTS
PRESIDENT CHOI & PROVOST RAMCHAND

There are no materials for this information item.

February 4, 2021

OPEN – GB – INFO 5-1

STRATEGIC THEME DISCUSSION –
ADVANCING RESEARCH

There are no materials for this information item.

February 4, 2021

OPEN – GB – INFO 6-1

GOOD AND WELFARE OF THE BOARD

There are no materials for this information item.

No. 2

Recommended Action – Resolution for Executive Session of the Board of Curators Meeting February 4, 2021

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 4, 2021 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; and
- **Section 610.021 (14), RSMo**, relating to matters identified in that provision, which include records which are protected from disclosure by law.

Roll call vote of the Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

February 4, 2021