

**Board of Curators Meeting
February 6, 2020
Public Session**



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.

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.

Strategic Investments

The UM System is providing up to \$260M in strategic investments to support financially viable, mission-centric projects that will offer a positive return on investment and help the University move toward excellence. Investments in support of the Missouri compacts will be made over a five-year period. For a list of investments, visit <http://umurl.us/stratinv>.

UNIVERSITY OF MISSOURI



BOARD OF CURATORS MEETING AGENDA

Thursday, February 6, 2020
Columbia, Missouri

All public session meetings to be held in North 201 A and B conference rooms at the Memorial Student Union, University of Missouri – Columbia campus, 518 Hitt Street, Columbia, Missouri unless otherwise noted.

Board Committee meetings were held January 29 and 30, 2020 in conjunction with the February 6, 2020 Board meeting.

BOARD OF CURATORS MEETING

10:00 A.M. PUBLIC SESSION - Call to Order

General Business

Information

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

Action

1. Amendment Collected Rules and Regulations 10.050, Standing Committees

Information

4. Review Consent Agenda

Consent Agenda

Action

1. Minutes, November 21, 2019 Board of Curators Meeting
2. Minutes, November 21, 2019 Board of Curators Committee Meetings
3. Minutes, December 10, 2019 Board of Curators Special Meeting
4. Minutes, January 16, 2020 Board of Curators Executive Committee Meeting
5. Amendment Collected Rules and Regulations 230.070, Education Assistance Program for University Employees

6. Amendment Collected Rules and Regulations 530.010, Retirement, Disability and Death Benefit Plan, and Additional Retirement Plan Amendments
7. Amendment, Collected Rules and Regulations 340.010, Family and Medical Leave
8. Amendments to Collected Rule and Regulation 310.015, Procedures for Review of Faculty Performance
9. Amendments to Collected Rule and Regulation 300.020, Faculty Bylaws of the University of Missouri – Kansas City
10. Amendments to Collected Rule and Regulation 320.090, Emeritus Designation

10:45 A.M. FINANCE CHAIR REPORT

(Curators Steelman, Chatman, Sundvold, Williams)

Finance Committee Chair Steelman to provide an overview of information item.

Information

1. Update on Debt Issuance, UM

11:00 A.M. ACADEMIC, STUDENT AFFAIRS AND RESEARCH AND ECONOMIC DEVELOPMENT CHAIR REPORT

(Curators Chatman, Layman, Snowden, Sundvold)

Academic, Student Affairs and Research and Economic Development Committee Chair Chatman to provide an overview of action item.

Action

1. New Degree Proposal, B.S. in Fitness Programming and Management, MU

11:10 A.M. AUDIT CHAIR REPORT

(Curators Layman, Graham, Steelman)

Audit Committee Chair Layman to provide an overview of information and action items

Information

1. Internal Audit and Consulting Quarterly Report, UM
2. Integrity and Accountability Hotline Annual Report 2019 - UM
3. External Auditor's Report, UM (Rachel Dwiggins, BKD)

Action

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

11:25 A.M. HEALTH AFFAIRS CHAIR REPORT

(Curators Graham, Steelman, Williams, Mr. Ashworth, Mr. Phillips)

Health Affairs Committee Chair Graham to provide an overview of information and action items.

Information

1. School of Medicine Report
2. MU Health Care Report
3. NextGen Update
4. MU Health Care Technology Update
5. Quarterly Financial Report, MU Health
6. Quarterly Compliance Report, MU Health

Action

1. Minutes Approval, November 13, 2019 Health Affairs Committee Meeting

11:35 A.M. Break

**11:45 A.M. Luncheon by Invitation for the Board of Curators, President,
University of Missouri System Leaders, University of Missouri –
Columbia Faculty and Student Leaders**

Location: North 214 B and C, Memorial Student Union

1:00 P.M. PUBLIC SESSION

General Business

Information

5. University of Missouri – Columbia Campus Highlights – Chancellor Cartwright
6. Strategic Theme Report – Next Gen (President Choi and Chancellors) / eLearning (Gunkel)
7. Good and Welfare of the Board

Action

2. Resolution for Jamie L. Farmer
3. Resolution for Executive Session of the Board of Curators Meeting, February 6, 2020

3:00 PM Press Conference with Board of Curators Chair and UM System President (time is approximate)
Location: North 214A, Memorial Student Union

3:15 PM AUDIT COMMITTEE – EXECUTIVE SESSION
(time is approximate)
Location: North 204, Memorial Student Union

The Audit Committee will hold an executive session of the meeting on February 6, 2020, 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 Committee.

3:45 P.M. BOARD OF CURATORS MEETING-EXECUTIVE SESSION (time is approximate)
Location: North 204, Memorial Student Union

The Board of Curators will hold an executive session of the February 6, 2020 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 9, 2020 | Missouri University of Science and Technology |
| June 18-19, 2020 | University of Missouri System, Columbia, Missouri |
| September 23, 2020 | Special Finance Committee Meeting, UMKC |
| September 24, 2020 | University of Missouri – Kansas City |
| November 19, 2020 | 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.

Amendment Collected Rules and Regulations 10.050, Standing Committees

Executive Summary

Changes are recommended to Collected Rules and Regulations 10.050 regarding the standing committees of the Board of Curators. The proposed changes include:

- Add language to give the Board Chair authority to temporarily appoint new Curators to standing committees with the permanent appointments subject to the approval of the full Board at the next regular Board meeting; and
- Add language for the temporary appointment of a committee chair when the chair is not available for a meeting; and
- Dissolve the External Affairs, Marketing and Advancement Committee and have reports or matters presented, as needed, to the Board of Curators as general business items during their meetings. The UM System President will continue to convene an UM Council for Advancement regarding these matters and report to the Board as needed; and
- Add language regarding the oversight of athletics to the Academic, Student Affairs, Research and Economic Development Committee; and
- Combine the Governance and Compensation and Human Resources Committees; and
- Delete the language describing the responsibilities in more detail and liaisons for each committee from the collected rule and regulation. The recommendation is that Committee Charters be developed separately that contain this information and would be reviewed by the Board annually.

Board materials include a redlined copy of the proposed amendments as well as a new clean version.

No. 1

Recommended Action – Amendment Collected Rules and Regulations 10.050, Standing Committees

It was recommended by Chair Brncic, moved by Curator _____, and seconded by Curator _____, that the following action be approved:

that the Collected Rules and Regulations 10.050, Standing Committees be amended as indicated in the attached documents.

| Roll call vote of the Board: | YES | NO |
|------------------------------|-----|----|
| Curator Brncic | | |
| Curator Chatman | | |
| Curator Graham | | |
| Curator Layman | | |
| Curator Snowden | | |
| Curator Steelman | | |
| Curator Sundvold | | |
| Curator Williams | | |

The motion _____.

Chapter 10: Board of Curators

10.050 Standing Committees

Bd. Min. 11-10-67, p. 33,579; Amended 8-6-71, p. 35,988; Amended 5-23-03; Amended 9-9-04; Amended 3-23-06, Amended 7-21-06, Amended 10-6-06, Amended 4-6-07, Amended 6-1-07, Amended 2-6-09, Amended 9-24-10, Amended 5-19-11, Amended 4-15-16, Amended 9-15-16, Amended Bd. Min. 2-1-18-; Amended Bd. Min. _____.

The Chair of the Board of Curators, subject to the approval of the Board, shall appoint the following standing committees: ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE; AUDIT, COMPLIANCE AND ETHICS-COMMITTEE; GOVERNANCE AND COMPENSATION AND HUMAN RESOURCES COMMITTEE; EXTERNAL AFFAIRS, MARKETING AND ADVANCEMENT COMMITTEE; FINANCE COMMITTEE; GOVERNANCE, RESOURCES AND PLANNING COMMITTEE, and HEALTH AFFAIRS COMMITTEE. In the event a new Curator(s) takes office prior to the next regular Board meeting, the Board Chair has the authority to temporarily appoint the new Curator(s) to standing committees. Their permanent appointment shall be subject to the approval of the Board at the next regular Board meeting. The Board Chair shall designate one member of each committee as committee chair. The Chair of the Board shall consider in making such appointment that no committee should be left without continuity. If a committee chair is unavailable for a meeting, they shall have the ability to designate a temporary appointment as committee chair or the Board Chair may designate the temporary appointment if the committee chair is unable to.

~~A.~~ Academic, Student Affairs, Research and Economic Development Committee

~~The Academic, Student Affairs, Research and Economic Development Committee may have referred to it matters relating to curricula, faculty, students, research and economic development and intercollegiate athletics.~~

- ~~1. The Vice President for Research and Economic Development and the Senior Associate Vice President for Academic Affairs or some other person(s) designated by the President, and the Student Representative shall be ex officio members of this Committee and be responsible for transmitting Committee recommendations.~~
- ~~2. Academic and student affairs matters considered by the Committee may include, but are not limited to reviewing, implementing and monitoring strategies and policies regarding educational and instructional quality; student and faculty welfare; alignment of the University's academic mission with resources; academic programs and degrees; articulation and the transfer of students to and among member institutions; admission requirements, student services, academic standards, and requirements for graduation; distance learning, telecommunicated education and applications of educational and information technology in support of teaching, learning, research and creative activities; oversight of athletic programs; campus management of faculty workloads to assure equity, efficiency and effectiveness in the disposition of faculty efforts; learning climate, working climate and support mechanisms for faculty, staff and students; and faculty, staff and student conduct.~~

~~A. Research and economic development matters considered by the Committee may include, but are not limited to reviewing, implementing and monitoring strategies and policies regarding the University's overall contribution to the economic development of the state and to support professional development, outreach, and research at all University institutions within the context of their unique missions; aligning the~~

~~University's research mission with its resources; the University's role in enhancing its research enterprise and bolstering the state's economy (such matters may include the advancement and growth of basic, applied, and clinical research; technology transfer; entrepreneurship; industry partnerships; and the development of intellectual capital for the benefit of the state); highlighting successful research and economic development efforts, partnerships, and innovations involving University institutions; and reporting on and ensuring accountability for research and economic development activities at University institutions.~~

~~3.~~

~~B.~~ **Audit, Compliance and Ethics Committee -**

~~1.B.~~ The Audit Committee will assist the Board of Curators in fulfilling its oversight responsibilities relating to: the integrity of the University's financial statements, the systems of internal control, the performance of the University's independent auditors and internal audit function, the independent auditor's qualifications and independence, and the University's compliance with legal and regulatory requirements.

- ~~a.~~ The University Chief Audit Officer or some other person(s) designated by the President shall be an ex officio member of the Committee.
- ~~b.~~ The Audit Committee shall be the Board Committee on audit.
- ~~c.~~ The Audit Committee shall meet four times per year to consider business related to its audit function. Sufficient opportunity for the internal and independent auditors to meet with the Committee should be provided. At least annually, the Audit Committee, as part of its audit function, shall meet solely with the independent auditor and the internal auditor.
- ~~d.~~ The Audit Committee in its audit role may investigate any matter brought to its attention with full access to all records, facilities, and personnel of the University and the authority to engage other individuals as necessary to carry out its duties.
- ~~e.~~ The responsibilities of the Audit Committee in its audit function include, but are not limited to, a review of the internal audit plan, a review of audits completed, a review of annual audited financial statements, and recommending to the full Board of Curators the appointment of the University's independent and internal auditors.
- ~~f.~~ The Audit Committee may establish processes, procedures, and regulations governing their oversight of the internal and external audit process.

~~C.~~ **Governance, Compensation and Human Resources Committee --**

~~E.~~ The Governance, Compensation and Human Resources Committee will help the Board function effectively, efficiently and with integrity and may have referred to it matters relating to the compensation, benefits and other human resource functions of the University and associated programs and policies.

- ~~1.~~ The Associate Vice President and Chief Human Resources Officer of the University of Missouri or some other person(s) designated by the President of the University shall be an ex officio member of this Committee.
- ~~2.~~ The Compensation and Human Resources Committee shall be the Board Committee for executive compensation based on established individual dollar threshold and multi-year contract arrangements; Retirement Disability and Death Benefits Program and other retirement programs; medical plan and all

~~other benefit programs of the University; human resource and labor policy; and attendant financial considerations associated with these programs with the exception of the Retirement Trust. The Compensation and Human Resources Committee has broad responsibility for oversight in matters involving personnel and compensation throughout the University. The President or some other person(s) designated by the President of the University shall regularly consult with the Committee in the following areas:~~

- ~~a. Multi-year employment contracts and extensions;~~
- ~~b. Compensation and salary levels for General Officers, faculty, and staff;~~
- ~~c. Performance and annual review protocols;~~
- ~~d. Market and wage comparator groups;~~
- ~~e. Evaluating benefits, retirement, and post-retirement plans; and~~
- ~~f. Promulgating employee recruitment, hiring, and termination policies.~~

~~D. **External Affairs, Marketing and Advancement Committee**—The External Affairs, Marketing and Advancement Committee shall be the Board Committee on external affairs and private philanthropy and shall be responsible for review of University of Missouri System, including each campus, activities and efforts that affect public perception and private support of the entire University System and its mission.~~

- ~~1. The University Executive Director for the joint Office of Strategic Communications and Marketing or some other person(s) designated by the President shall serve as an ex officio member of the Committee.~~
- ~~2. The Committee shall coordinate policy and planning relative to institutional relations with outside constituencies in conjunction with the President of the University and the office of Strategic Communications. This may include activities pertaining to government affairs, alumni and donor affairs, community relations, parent organizations and the media.~~
- ~~3. The Committee shall support long-range planning efforts of the Board by developing plans aimed toward elevating the status of public higher education to all local, state and federal constituencies and agencies, and the general public.~~
- ~~4. The Committee shall assist the Board and administration with articulating the mission of the University, its resource and revenue requirements to all local, state and federal constituencies and agencies, and the general public.~~
- ~~5. The Committee shall assist the Board and the University administration (the University System and each of its campuses), in establishing and maintaining such development and fund-raising policies, procedures and programs as are deemed appropriate to obtain donor financial support for the University as a whole and each of its campuses in order to fulfill identified financial goals necessary for the University to accomplish its mission. The Committee shall assist the Board in identifying ways to participate and encourage active participation of the Board and its individual members in the development activities of the University.~~

~~E.D. **Finance Committee** - The Finance Committee may have referred to it matters relating to the fiscal, ~~and~~ accounting and fundraising functions of the University and associated programs and policies.~~

- ~~1. The Vice President for Finance of the University or some other person(s) designated by the President of the University shall be an ex officio member of this Committee. The Vice President for Finance shall be responsible for transmitting Committee recommendations.~~

- ~~2. The Finance Committee shall be the Board Committee on investments.~~
~~—The Finance Committee shall be the Board Committee on physical facilities and management services. The Finance Committee may have referred to it matters relating to the planning, building, maintenance and operation of the physical facilities of the University, and the purchasing of equipment and supplies utilized by the University.~~

~~3.~~

~~F. Governance, Resources and Planning Committee~~

- ~~1. The Governance, Resources and Planning Committee shall consist of three curators. The Board Chair and the President of the University shall serve as ex officio members of the committee. Ordinarily, not more than two of the three committee members shall be new in any given year. When possible, the immediate past Chair of the Board should serve as Chair of the Committee.~~
- ~~2. The Committee shall have a broad mandate from the Board to work with the Board Chair and the President of the University to help the Board function effectively, efficiently and with integrity. Its responsibilities shall minimally include:~~
- ~~a. ensuring that a substantive orientation process is in place for all new Board members;~~
 - ~~b. overseeing, or determining with the Board Chair and President, the timing and process of periodic Board self-assessment;~~
 - ~~c. encouraging Board members to participate periodically in in-service education opportunities;~~
 - ~~d. 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; and~~
 - ~~e. 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.~~
- ~~3. In addition, the Committee shall engage in activities and meaningful work with the University of Missouri administration to: (1) assist the Board of Curators in securing adequate public resources for the University of Missouri to respond to its challenges and responsibilities as Missouri's major public research university; and (2) to provide oversight and guidance for the University of Missouri's academic and financial planning, both short and long term. In assisting the Board of Curators and the University of Missouri to secure adequate public resources, the Resources and Planning Committee will monitor and recommend changes, as appropriate, in policies and procedures related to:~~
- ~~a. support from the taxpayers of Missouri, as recommended by the Governor and appropriated by the General Assembly;~~
 - ~~b. federal support for the University of Missouri's research and other educational programs and for student financial aid at both the undergraduate and graduate levels.~~
- ~~4. The Committee's role in planning includes leadership leading to the annual establishment and assessment of goals and priorities for the University of Missouri System and its campuses and the intermediate-term strategic planning (three to five year time horizon) and longer term environmental~~

~~forecasting for the University of Missouri System and its campuses, all intended to assist the University of Missouri in establishing current and future needs of the University of Missouri and systems or means to accomplish the future ambitions of the University of Missouri.~~

~~G.E. **Health Affairs Committee** The Health Affairs Committee will assist 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. The Health Affairs Committee shall receive and review regular reports from University of Missouri Health Care ("MU Health Care") and the MU School of Medicine's faculty practice plan ("University Physicians").~~

- ~~1. The Health Affairs Committee shall include curators and may include additional non-curator members appointed by the Board Chair, subject to approval of the Board. The Board Chair, subject to approval of the Board, shall determine the number of curators and non-curator members to appoint to 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. Committee members may be reappointed to serve additional terms. Non-curator members may resign their committee membership by providing written notice to the Board chair. Non-curator members of the Health Affairs Committee serve at the pleasure of the Board of Curators and may be removed by the Board Chair at any time, subject to approval of the Board. Non-curator vacancies shall be filled in the same manner as original appointments.~~
- ~~2. The Health Affairs Committee will assist 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. The Health Affairs Committee shall receive and review regular reports from University of Missouri Health Care ("MU Health Care") and the MU School of Medicine's faculty practice plan ("University Physicians"). Areas of oversight for the Health Affairs Committee shall minimally include: mission, strategy, governance, compliance, operations, and coordination of the clinical, teaching, and research missions. The Health Affairs Committee may also request information and reports, receive referrals from the Board and University officers, and initiate such other actions as may be appropriate or necessary to assist the Board in overseeing health care issues and coordinating clinical, teaching, and research missions of other System and campus units.~~
- ~~3. The Health Affairs Committee shall meet at least four times per year to consider business related to the clinical health care operations of the University and coordination of those operations in furtherance of the University's teaching, research, and clinical missions. The Health Affairs Committee shall receive reports from appropriate officers of MU Health Care and University Physicians at such meetings and may also request information and reports from other campus or System officers as appropriate. The Board Chair, subject to approval of the Board, may appoint a staff liaison to the committee to assist in developing the agenda for Committee meetings and transmitting Committee recommendations.~~

4. ~~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 Curators 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.~~~~
5. ~~The Health Affairs Committee may identify significant issues related to health care matters of the University and require advance approval and coordination of those issues in furtherance of the teaching, research, and clinical missions of the University.~~

H.F. **Duties**

1. Each Committee shall receive such other matters as may be referred to it by the Chair of the Board of Curators.
2. Said Committees shall investigate the matters referred to them and make recommendations to the Board.
3. Each of said Committees shall meet as business requires and upon the call of the Chairman of the Committee.

Chapter 10: Board of Curators

10.050 Standing Committees

Bd. Min. 11-10-67, p. 33,579; Amended 8-6-71, p. 35,988; Amended 5-23-03; Amended 9-9-04; Amended 3-23-06, Amended 7-21-06, Amended 10-6-06, Amended 4-6-07, Amended 6-1-07, Amended 2-6-09, Amended 9-24-10, Amended 5-19-11, Amended 4-15-16, Amended 9-15-16, Amended Bd. Min. 2-1-18; Amended Bd. Min. _____.

The Chair of the Board of Curators, subject to the approval of the Board, shall appoint the following standing committees: ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE; AUDIT, COMPLIANCE AND ETHICS COMMITTEE; GOVERNANCE AND COMPENSATION AND HUMAN RESOURCES COMMITTEE; FINANCE COMMITTEE; and HEALTH AFFAIRS COMMITTEE. In the event a new Curator(s) takes office prior to the next regular Board meeting, the Board Chair has the authority to temporarily appoint the new Curator(s) to standing committees. Their permanent appointment shall be subject to the approval of the Board at the next regular Board meeting. The Board Chair shall designate one member of each committee as committee chair. The Chair of the Board shall consider in making such appointment that no committee should be left without continuity. If a committee chair is unavailable for a meeting, they shall have the ability to designate a temporary appointment as committee chair or the Board Chair may designate the temporary appointment if the committee chair is unable to.

- A. **Academic, Student Affairs, Research and Economic Development Committee**
The Academic, Student Affairs, Research and Economic Development Committee may have referred to it matters relating to curricula, faculty, students, research and economic development and intercollegiate athletics.
- B. **Audit, Compliance and Ethics Committee -**
The Audit Committee will assist the Board of Curators in fulfilling its oversight responsibilities relating to: the integrity of the University's financial statements, the systems of internal control, the performance of the University's independent auditors and internal audit function, the independent auditor's qualifications and independence, and the University's compliance with legal and regulatory requirements.
- C. **Governance, Compensation and Human Resources Committee -**
The Governance, Compensation and Human Resources Committee will help the Board function effectively, efficiently and with integrity and may have referred to it matters relating to the compensation, benefits and other human resource functions of the University and associated programs and policies.
- D. **Finance Committee -** The Finance Committee may have referred to it matters relating to the fiscal, accounting and fundraising functions of the University and associated programs and policies.
- E. **Health Affairs Committee** The Health Affairs Committee will assist 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. The Health Affairs Committee shall receive and review regular reports from University of Missouri Health Care ("MU Health Care") and the MU School of Medicine's faculty practice plan ("University Physicians").

F. Duties

1. Each Committee shall receive such other matters as may be referred to it by the Chair of the Board of Curators.
2. Said Committees shall investigate the matters referred to them and make recommendations to the Board.
3. Each of said Committees shall meet as business requires and upon the call of the Chairman of the Committee.

REVIEW CONSENT AGENDA

There are no materials for this information item.

CONSENT AGENDA

CONSENT

Recommended Action - Consent Agenda

It was endorsed by President Choi, moved by Curator _____ and seconded by Curator _____, that the following items be approved by consent agenda:

CONSENT AGENDA

Action

1. Minutes, November 21, 2019 Board of Curators Meeting
2. Minutes, November 21, 2019 Board of Curators Committee Meetings
3. Minutes, December 10, 2019 Board of Curators Special Meeting
4. Minutes, January 16, 2020 Board of Curators Executive Committee Meeting
5. Amendment Collected Rules and Regulations 230.070, Education Assistance Program for University Employees
6. Amendment Collected Rules and Regulations 530.010, Retirement, Disability and Death Benefit Plan, and Additional Retirement Plan Amendments
7. Amendment, Collected Rules and Regulations 340.010, Family and Medical Leave
8. Amendments to Collected Rule and Regulation 310.015, Procedures for Review of Faculty Performance
9. Amendments to Collected Rule and Regulation 300.020, Faculty Bylaws of the University of Missouri – Kansas City
10. Amendments to Collected Rule and Regulation 320.090, Emeritus Designation

| | | |
|------------------------------|-----|----|
| Roll call vote of the Board: | YES | NO |
|------------------------------|-----|----|

- Curator Brncic
- Curator Chatman
- Curator Graham
- Curator Layman
- Curator Snowden
- Curator Steelman
- Curator Sundvold
- Curator Williams

The motion _____.

February 6, 2020

No. 1

Recommended Action - Minutes, November 21, 2019 Board of Curators Meeting Minutes

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the November 21, 2019 Board of Curators meeting be approved as presented.

Roll call vote: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Layman
Curator Snowden
Curator Steelman
Curator Sundvold
Curator Williams

The motion _____.

February 6, 2020

OPEN – CONSENT – 1-1

Consent 2

Recommended Action - Minutes, November 21, 2019 Board of Curators
Committee Meeting Minutes

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the November 12 and 13, 2019 Board of Curators committee meetings, held in conjunction with the November 21, 2019 Board of Curators meeting, be approved as presented.

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

Curator Brncic
Curator Chatman
Curator Graham
Curator Layman
Curator Snowden
Curator Steelman
Curator Sundvold
Curator Williams

The motion _____.

February 6, 2020

Consent 3

Recommended Action - Minutes, December 10, 2019 Board of Curators Special Meeting Minutes

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the December 10, 2019 Board of Curators special meeting be approved as presented.

Roll call vote: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Layman
Curator Snowden
Curator Steelman
Curator Sundvold
Curator Williams

The motion _____.

February 6, 2020

Consent 4

Recommended Action - Minutes, January 16, 2020 Board of Curators Special Meeting Minutes

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the January 16, 2020 Board of Curators Executive Committee meeting be approved as presented.

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

Curator Brncic

Curator Chatman

Curator Graham

Curator Layman

Curator Snowden

Curator Steelman

Curator Sundvold

Curator Williams

The motion _____.

February 6, 2020

Amendment Collected Rules and Regulations 230.070
Educational Assistance Program for University Employees

Executive Summary

Administration is proposing updates to Collected Rules and Regulations 230.070 Educational Assistance Program for University Employees to improve the policy language for clarity of understanding and consistency of application. Additionally, policy changes are recommended to align the Educational Assistance benefit and the Tuition Reduction benefit, as well as streamline processes for administrative efficiencies. Costs associated with these changes are nominal.

The proposed action is to adopt the following changes effective March 1, 2020. The following is a summary of the proposed changes in the enclosed board materials:

- Align Educational Assistance benefit with the Tuition Reduction benefit.
 - Continue eligibility when employees are on leave of absence.
 - Allow employees who separate employment from the University to complete the course in which they were enrolled.
- Add provisions for employees who are approved for Long Term Disability (LTD)
 - If an employee is approved for LTD, the employee may complete the semester in which the employee was approved for LTD.
 - If a dependent received the benefit during the semester of or immediately prior to the sponsoring employees' approval of LTD, the University will continue to provide the benefit for up to a total of 140 credit hours but in no event more than five years after the employee's disability eligibility date.
 - If a dependent received continued benefits upon the approval of LTD of the sponsoring employee, and subsequently the LTD recipient dies, the death of the LTD recipient shall not extend or reduce the length of time granted for the benefit.
- If a dependent received continued benefits upon the retirement of the sponsoring employee, and subsequently the retiree dies, the death of the retiree shall not extend or reduce the length of time granted for the benefit.
- On rare and extenuating circumstances, the semester/summer/intersession limits may be raised. Supervisory approval and UM System Human Resource approvals are required. Under no circumstances will exceptions be granted to extend beyond the yearly maximum policy limit.
- Streamline approval process by eliminating department signature on every form, changing the process to manage work schedules based on courses during working hours.
- Change the deadline to submit the request from the end of the semester to the deadline indicated in the Human Resources policy.

The following changes do not impact policy content or change how the benefits have been applied.

- Title change from “Educational Assistance Program for University Employees, Other than Graduate Teaching and Research Assistants” to “Educational Assistance and Tuition Reduction Program for Eligible Employees and their spouse/dependents”
- Improve language regarding eligibility and ineligibility.
- Reformat CRR.

230.070 Educational Assistance and Tuition Reduction Program for University-Eligible Employees, Other than Graduate Teaching and Research Assistants and Their Spouse/Dependents

Bd. Min. 2-19-71, p. 35,487; Amended Bd. Min. 3-18-77, 6-18-82; Amended Bd. Min. 12-12-86, 12-7-90, Amended Bd. Min. 5-23-03, Amended Bd. Min. 11-29-07; Amended Bd. Min. 10-23-09; Amended 12-08-11; Amended Bd. Min. 12-07-12; Amended Bd. Min. 9-13-13; Amended Bd. Min. 12-9-16; Amended Bd. Min. 12-7-17; Amended Bid. Min. 2-6-2020, effective 3-1-2020.

A. Educational Assistance for Faculty, Staff and Retirees

1. Employee Eligibility

a. The following employees are eligible for Educational Assistance benefits, regardless of the funding source of their salaries:

(1) ~~Staff - All employees classified at least 75 percent FTE with an indicated appointment duration of at least nine months~~Benefit-eligible administrative, service and support employees who have ~~completed~~passed the probationary period prior to the deadline for regular registration. Immediately prior to regular registration, the employee must have completed a six-month period of continuous employment.

- If the course work is part of the required job training procedure for the work to be done by the employee, the six-month employment requirement may be waived.

(2) Academic – Benefit-eligible academic employees who are employed in positions defined in Section 310.020.A. of these Collected Rules and Regulations, prior to the deadline for regular registration

b. Other eligibility criteria

(1) The employee must remain a University of Missouri employee through the beginning of the course in which enrolled.

(a) If the employee separates from the University, the employee may complete the semester in which enrolled.

(b) If the employee is approved for Long-Term Disability (LTD), the employee may complete the semester in which the employee was approved for LTD.

(2) Individuals in student employee positions are defined in Section 320.050 of these Collected Rules and Regulations are excluded from the Educational Assistance program.

2. Definition

Course: University of Missouri college-credit course is defined as any undergraduate, graduate or professional credit course offered by the University, including University programs of study that blend undergraduate and graduate courses.

1.3. Employee Benefit

- a. ~~These employees shall be permitted to receive credit for courses taken within the regulations of the University of Missouri;~~
- a. ~~Will pay 25 percent of the normal~~ The University will provide a 75% reduction of the Tuition-tuition and Supplemental-supplemental Fees fees when enrolling with the intention of receiving academic credit for the course(s). The employee will pay the normal amount on all other fees of University of Missouri college-level courses up to the following limits:
 - ~~(1) may enroll for not more than six (6) credits hours per fall semester, six (6) credits per spring semester and (a maximum of three (3) during credits theper summer session or intersession; for a maximum of fifteen (15) credit hours from September 1 through August 31. in college level, credit courses.~~
 - ~~(2) Those appointed on a full-time, nine-month basis, however, may enroll for not more than the maximum number of hours allowable by that campus during the summer session, provided they do not hold an appointment for the summer session. Employees may enroll in courses in excess of these limits, provided that course work does not interfere with work responsibilities, but such courses will not be eligible for a reduction in tuition and supplemental fees.~~
 - ~~(3) On rare and extenuating circumstances, the semester/summer/intersession limits may be raised. Supervisory approval and UM System Human Resources approvals are required. Under no circumstances will exceptions be granted to extend beyond the yearly maximum policy limit.~~
- b. ~~No Tuition-tuition nor Supplemental-supplemental Fee-fee is required if the employee audits courses on the employee's own or at the request of the department head, providing there is space available.~~

2.4. Authorization

- a. ~~Prior to the end of the semester/session in which Educational Assistance is being requested, an employee must submit to the campus Human Resource Services Office a~~ The required request (Form #UM84-1); form must be submitted to the UM System

Office of Human Resources by the deadline indicated in the Human Resources policy. Employees must obtain approved approval by employee's department head, the dean or director or by the Provost or designee on campuses with no schools or colleges, indicating the course(s) to be taken, its (their) purpose, and how the time is to be adjusted from their supervisor if courses will require time away from work.

- b. When an employee is requested by the department head to enroll in one or more a course(s) which that is (are) directly related to employee's assigned University responsibilities, the time away from usual work duties for the course(s) to attend classes shall be considered as part of employee's regular work schedule and no leave will be required. Otherwise, time away from usual work duties for the course(s) must be through approved, appropriate paid or unpaid leave or through an approved schedule change to make up time away from usual work duties.
- c. Employees must file an application to enroll with the Registrar and meet the student admission requirements.

~~B. Administrative, Service and Support Staff (non-academic) enrolling in college classes are subject to the following conditions:~~

~~1. The course(s):~~

5. Retiree Eligibility and Benefit

- a. An employee individual who has retired under the a University of Missouri Retirement, Disability and Death Benefit retirement Plan plan, will be permitted to register and receive credit for courses without payment of tuition, providing there is space available.
- b. Such A retired employee retiree must file an application to enroll with the Registrar and must meet the student admission requirements.
- c. The retired employee shall also present to the Registrar the Retirement Identification Card at time of registration. In the event that the retiree is employed in a part-time position with the University, the course must be taken on the individual's own time outside of work hours.

C.B. Tuition Reduction for Spouses, and Dependents, and Sponsored Adult Dependents

1. Sponsoring Employee Eligibility

a. The following employees are eligible for Tuition Reduction benefits for their qualifying spouse and dependents, regardless of the funding source of their salaries:

(1) Staff – Benefit-eligible administrative, service and support Employees must be currently employed in a Fully Benefit Eligible Academic Appointment or as a Regular administrative, service and support employee and who have completed at least one year of continuous, full-time benefit-eligible service employment with the University at some point, prior to the deadline for regular registration.

(2) Academic – Benefit-eligible academic employees as defined in Section 310.020.A. of these Collected Rules and Regulations, who have completed at least one year of continuous, benefit-eligible employment at some point prior to the deadline for regular registration.

b. Other eligibility criteria

(1) Employees who qualify for the Educational Assistance Program are not eligible to participate in the Tuition Reduction as a spouse, dependent or Sponsored Adult Dependent.

(2) The employee must remain a University of Missouri employee through the beginning of the course in which the spouse/dependent is enrolled. If the employee separates from the University, the spouse/dependent may complete the semester in which enrolled.

(3) If a spouse/dependent ceases to meet the terms and conditions of the University of Missouri Medical Benefits Plan after the beginning of the course the spouse/dependent is enrolled in (e.g., dependent turns age 26), the spouse/dependent may complete the semester in which enrolled.

2. Definitions

a. Course: University of Missouri college-credit course is defined as any undergraduate, graduate, or professional credit course offered by the institution up to a total of 140 credit hours per eligible spouse or dependent. University programs of study, which blend undergraduate and graduate courses, are included and may be accessed up to the 140- credit hour limit.

a.b. Eligible Spouse: The the legal spouse of an Employeeemployee, excluding a divorced spouse or a spouse separated by contract or decree from the Employeeemployee. Employees eligible for the

~~Educational Assistance Program are excluded from the definition of Eligible Spouse.~~

~~b. Eligible-Dependent includes:~~

~~e. Eligible-eligible Dependent-dependent Child-child or Children children must meet the criteria required under the definitions of "Child-child or Childrenchildren" and "Dependent-dependent" based on the terms and conditions of the University of Missouri Medical Benefits Plan with the exception that foster children shall not be eligible under this program. Employees-eligible for the Educational Assistance Program are excluded from the definition of Eligible Dependent.~~

~~c.~~

~~d. An-eligible-Sponsored Adult Dependent: a person who meets the criteria required under the definitions of "Sponsored Adult Dependent" based on the terms and conditions of the University of Missouri Medical Benefits Plan.~~

~~Employees-eligible for the Educational Assistance Program are excluded from this program.~~

3. Spouse/Dependent Benefit:

~~a. The University will provide a benefit equal to a 50% reduction of tuition for an Eligible Spouse or an Eligible Dependent of Eligible Employees for up to 140 credit hours of University of Missouri college-credit courses per Eligible-qualifying Spouse-spouse or Eligible-Dependent-dependent. Under no circumstances will the benefits under this policy exceed 50%, even if both parents of the dependent are University employees.~~

b. Sponsoring employee's death

Notwithstanding any other provision, if an ~~Eligible Spouse-spouse~~ or an ~~Eligible-Dependent-dependent~~ has received a tuition reduction benefit during a course of study during the semester of or immediately prior to the sponsoring ~~Employee's-employee's~~ death, the University will continue to provide a ~~benefit equal to~~ a 50% reduction of tuition ~~in that course of study~~ for up to a total of 140 credit hours of University of Missouri college-credit courses, but in no event for a period longer than five years after the ~~Employee's-employee's~~ death.

c. -Sponsoring employee's retirement

(1) Notwithstanding any other provision, if an ~~Eligible Spouse-spouse~~ or an ~~Eligible-Dependent-dependent~~ has received a tuition

reduction benefit ~~in a~~ during a course of study during the semester of or immediately prior to the sponsoring ~~Employee's~~ employee's retirement under the University of Missouri ~~Retirement, Disability and Death Benefit retirement Plan~~ plan, the University will continue to provide a benefit equal to a 50% reduction of tuition ~~in that course of study~~ for up to a total of 140 credit hours of University of Missouri college-credit courses, but in no event for a period longer than five years after the Employee's retirement.

(2) In the event that the retiree dies, the death of the retiree shall not extend or reduce the length of time granted for the benefit.

d. Sponsoring employee's long-term disability

(1) Notwithstanding any other provision, if a spouse or dependent received a tuition reduction benefit during the semester of or immediately prior to the sponsoring employee's approval of Long-Term Disability, the University will continue to provide 50% reduction of tuition for up to a total of 140 credit hours of University of Missouri college-credit courses, but in no event for a period longer than five years after the employee's disability eligibility date.

(2) In the event that the long-term disability recipient dies, the death of the recipient shall not extend or reduce the length of time granted for the benefit.

4. Authorization

~~For all courses (undergraduate, graduate, or professional), the rate of such tuition reduction shall be based upon the tuition charged to a resident student for undergraduate courses. Fees: Tuition only. Supplemental course fees, activity, facility, and health fees, books and other expenses are the responsibility of the participant. Application for this~~ The request form for the ~~†Tuition †Reduction must be made~~ submitted to the UM System Office of Human Resources by the deadline as indicated in the Human Resources policy. prior to the end of the semester/session in which Tuition Reimbursement is being requested. No tuition reduction will be granted for courses previously completed. The regular refund policy of the University applies in cases of withdrawal from a course.

230.070 Educational Assistance and Tuition Reduction Program for Eligible Employees and Their Spouse/Dependents

Bd. Min. 2-19-71, p. 35,487; Amended Bd. Min. 3-18-77, 6-18-82; Amended Bd. Min. 12-12-86, 12-7-90, Amended Bd. Min. 5-23-03, Amended Bd. Min. 11-29-07; Amended Bd. Min. 10-23-09; Amended 12-08-11; Amended Bd. Min. 12-07-12; Amended Bd. Min. 9-13-13; Amended Bd. Min. 12-9-16; Amended Bd. Min. 12-7-17; Amended Bid. Min. 2-6-2020, effective 3-1-2020.

A. Educational Assistance for Faculty, Staff and Retirees

1. Employee Eligibility

- a. The following employees are eligible for Educational Assistance benefits, regardless of the funding source of their salaries:
 - (1) *Staff* - Benefit-eligible administrative, service and support employees who have passed the probationary period prior to the deadline for regular registration. Immediately prior to regular registration, the employee must have completed a six-month period of continuous employment.
 - If the course work is part of the required job training procedure for the work to be done by the employee, the six-month employment requirement may be waived.
 - (2) *Academic* – Benefit-eligible academic employees who are employed in positions defined in Section 310.020.A. of these Collected Rules and Regulations, prior to the deadline for regular registration
- b. Other eligibility criteria
 - (1) The employee must remain a University of Missouri employee through the beginning of the course in which enrolled.
 - (a) If the employee separates from the University, the employee may complete the semester in which enrolled.
 - (b) If the employee is approved for Long-Term Disability (LTD), the employee may complete the semester in which the employee was approved for LTD.
 - (2) Individuals in student employee positions are defined in Section 320.050 of these Collected Rules and Regulations are excluded from the Educational Assistance program.

2. Definition

Course: University of Missouri college-credit course is defined as any undergraduate, graduate or professional credit course offered by the University, including University programs of study that blend undergraduate and graduate courses.

3. Employee Benefit
 - a. The University will provide a 75% reduction of the tuition and supplemental fees of University of Missouri college-level courses up to the following limits:
 - (1) six (6) credits per fall semester, six (6) credits per spring semester and three (3) credits per summer session or intersession; for a maximum of fifteen (15) credit hours from September 1 through August 31.
 - (2) Employees may enroll in courses in excess of these limits, provided that course work does not interfere with work responsibilities, but such courses will not be eligible for a reduction in tuition and supplemental fees.
 - (3) On rare and extenuating circumstances, the semester/summer/intersession limits may be raised. Supervisory approval and UM System Human Resources approvals are required. Under no circumstances will exceptions be granted to extend beyond the yearly maximum policy limit.
 - b. No tuition nor supplemental fee is required if the employee audits courses on the employee's own or at the request of the department head, providing there is space available.
4. Authorization
 - a. The required request form must be submitted to the UM System Office of Human Resources by the deadline indicated in the Human Resources policy. Employees must obtain approval from their supervisor if courses will require time away from work.
 - b. When an employee is requested by the department to enroll in one or more courses that are directly related to employee's assigned University responsibilities, time away from usual work duties for the course(s) shall be considered as part of employee's regular work schedule and no leave will be required. Otherwise, time away from usual work duties for the course(s) must be through approved, appropriate paid or unpaid leave or through an approved schedule change to make up time away from usual work duties.
 - c. Employees must file an application to enroll with the Registrar and meet the student admission requirements.
5. Retiree Eligibility and Benefit
 - a. An individual who has retired under a University of Missouri retirement plan will be permitted to register and receive credit for courses without payment of tuition, providing there is space available.

- b. A retiree must file an application to enroll with the Registrar and meet the student admission requirements.
- c. In the event that the retiree is employed in a part-time position with the University, the course must be taken on the individual's own time outside of work hours.

B. Tuition Reduction for Spouses, Dependents, and Sponsored Adult Dependents

- 1. Sponsoring Employee Eligibility
 - a. The following employees are eligible for Tuition Reduction benefits for their qualifying spouse and dependents, regardless of the funding source of their salaries:
 - (1) *Staff* – Benefit-eligible administrative, service and support employees who have completed at least one year of continuous, benefit-eligible employment at some point, prior to the deadline for regular registration.
 - (2) *Academic* – Benefit-eligible academic employees as defined in Section 310.020.A. of these Collected Rules and Regulations, who have completed at least one year of continuous, benefit-eligible employment at some point prior to the deadline for regular registration.
 - b. Other eligibility criteria
 - (1) Employees who qualify for the Educational Assistance Program are not eligible to participate in the Tuition Reduction as a spouse, dependent or Sponsored Adult Dependent.
 - (2) The employee must remain a University of Missouri employee through the beginning of the course in which the spouse/dependent is enrolled. If the employee separates from the University, the spouse/dependent may complete the semester in which enrolled.
 - (3) If a spouse/dependent ceases to meet the terms and conditions of the University of Missouri Medical Benefits Plan after the beginning of the course the spouse/dependent is enrolled in (e.g., dependent turns age 26), the spouse/dependent may complete the semester in which enrolled.
- 2. Definitions
 - a. Course: University of Missouri college-credit course is defined as any undergraduate, graduate, or professional credit course offered by the institution up to a total of 140 credit hours per eligible spouse or dependent. University programs of study, which blend undergraduate

and graduate courses, are included and may be accessed up to the 140- credit hour limit.

- b. Spouse: the legal spouse of an employee, excluding a divorced spouse or a spouse separated by contract or decree from the employee.
 - c. Dependent: eligible dependent child or children must meet the criteria required under the definitions of “child or children” and “dependent” based on the terms and conditions of the University of Missouri Medical Benefits Plan with the exception that foster children shall not be eligible under this program.
 - d. Sponsored Adult Dependent: a person who meets the criteria required under the definitions of "Sponsored Adult Dependent" based on the terms and conditions of the University of Missouri Medical Benefits Plan.
3. Spouse/Dependent Benefit
- a. The University will provide a 50% reduction of tuition for up to 140 credit hours of University of Missouri college-credit courses per qualifying spouse or dependent. Under no circumstances will the benefits under this policy exceed 50%, even if both parents of the dependent are University employees.
 - b. Sponsoring employee’s death
Notwithstanding any other provision, if a spouse or a dependent has received a tuition reduction benefit during a course of study during the semester of or immediately prior to the sponsoring employee’s death, the University will continue to provide a 50% reduction of tuition for up to a total of 140 credit hours of University of Missouri college-credit courses, but in no event for a period longer than five years after the employee’s death.
 - c. Sponsoring employee’s retirement
 - (1) Notwithstanding any other provision, if a spouse or a dependent has received a tuition reduction benefit during a course of study during the semester of or immediately prior to the sponsoring employee’s retirement under the University of Missouri retirement plan, the University will continue to provide a benefit equal to a 50% reduction of tuition for up to a total of 140 credit hours of University of Missouri college-credit courses, but in no event for a period longer than five years after the Employee’s retirement.
 - (2) In the event that the retiree dies, the death of the retiree shall not extend or reduce the length of time granted for the benefit.

- d. Sponsoring employee's long-term disability
 - (1) Notwithstanding any other provision, if a spouse or dependent received a tuition reduction benefit during the semester of or immediately prior to the sponsoring employee's approval of Long-Term Disability, the University will continue to provide 50% reduction of tuition for up to a total of 140 credit hours of University of Missouri college-credit courses, but in no event for a period longer than five years after the employee's *disability eligibility date*.
 - (2) In the event that the long-term disability recipient dies, the death of the recipient shall not extend or reduce the length of time granted for the benefit.
- 4. Authorization

The request form for the Tuition Reduction must be submitted to the UM System Office of Human Resources by the deadline as indicated in the Human Resources policy.

Amendment Collected Rules and Regulations 530.010
Retirement, Disability and Death Benefit Plan, and
Additional Retirement Plan Amendments

Executive Summary

In April 2019, the Board of Curators approved amendments to the language in Section 530.010 of the Collected Rules and Regulations for the Retirement, Disability and Death Benefit Plan (RDD) and additional retirement plan documents to provide that newly hired or rehired employees on or after October 1, 2019 will not accrue a benefit under the RDD and will be enrolled in the defined contribution plan upon hire. The administration moved forward with implementation work for the defined contribution retirement plan and at the September 2019 Board of Curators meeting identified additional points of clarification required in the retirement plans. Among those points was the removal of suspension of benefits language for those rehired on or after October 1, 2019. The Board of Curators adopted an amendment to the RDD removing the suspension of benefits language effective as of October 1, 2019. Since the adoption of the amendment removing the suspension of benefits language, the administration has identified additional points of clarification required in the RDD.

The proposed action item is to approve the administration's recommendation of amendments to the RDD. Board materials include a side-by-side comparison of the current and proposed language. Following is a summary of the proposed changes:

- Clarifying how the removal of the suspension of benefits language for those rehired on or after October 1, 2019, affects certain distribution elections under the RDD.

No. 6

Recommended Action – Amendment to Collected Rules and Regulations 530.010,
Retirement, Disability and Death Benefit Plan

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

that Collected Rules and Regulations, Section 530.010, Retirement, Disability and Death Benefit Plan be amended as indicated in the attached document containing proposed language changes, to clarify how the removal of the suspension of benefits language for those rehired on or after October 1, 2019, affects certain distribution elections under the RDD.

Roll call vote of the Committee: YES NO

Curator Chatman
Curator Layman
Curator Snowden
Curator Williams

The motion _____.

Roll call vote of the Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Layman
Curator Phillips
Curator Snowden
Curator Steelman
Curator Sundvold

The motion _____.

RECOMMENDATION TO AMEND BENEFIT PROGRAM

Supplemental Retirement Plan Retirement Medical Long Term Disability
 Life Insurance Dental AD&D Flexible Benefits Tax Deferred Annuity

Effective Date of Amendment to Program: October 1, 2019

Amendment Number: RET-62

Purpose of Recommendation:

To amend the Retirement, Disability & Death Benefit Plan (RDD) to:

- Clarify how the removal of the suspension of benefits language for those rehired on or after October 1, 2019, affects certain distribution elections.

Current Language (citation of specific section of Collected Rules and Regulations):

See attached.

Proposed Language (recommended citation):

See attached.

Cost, if Applicable:

Recommended for Approval:

Marsha Fischer
Chief Human Resources Officer

Date

Approval as to Legal Form:



Paul Maguffee
Legal Counsel

1/15/20
Date

Final Approval:

Mun Choi
President

Date

Copy to General Counsel, Human Resources, Board of Curators

Amendment to Retirement, Disability and Death Benefit Plan

Section 530.010.K.13.b.1)

| Current with Changes | Proposed |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>1) A Qualified Member, who terminates employment on or after August 1, 1996 with a Vested Retirement Benefit payable under this plan in accordance with Section 530.010.H. shall be entitled to elect that one-hundred percent (100%) of the actuarial value of such Vested Retirement Benefit be paid in a lump sum. Such election may be made any time after the date of notification to the Qualified Member of the amount of the Deferred Vested Retirement Benefits. The actuarial value of such Vested Retirement Benefit shall be increased for interest at the rate of seven and one-half percent (7 1/2%) per annum from the date of termination to the date payment is elected by the Member. Payments shall be made within one hundred eighty (180) days after the election is received. The election may be revoked by the eligible Member any time prior to distribution. and is automatically revoked if such eligible Member is reemployed by the University. The Plan Administrator may direct that Qualified Members who terminated employment prior to August 1, 1996 with a Vested Benefit under Section 530.010.H. shall also be eligible to make such election. Notwithstanding any other provision of this plan to the contrary, a Qualified Member who makes such an election relinquishes all current and future rights to benefits and Service Credit rendered to date of this election under all provisions of this Plan. Election under this Subsection 1), must be made prior to the commencement of any benefits payable to such Qualified Member. In no event shall a Qualified Member who is entitled to a Retirement Benefit payable pursuant to Section 530.010.F. or 530.010.G, be entitled to make an election under this Subsection 1).</p> | <p>1) A Qualified Member, who terminates employment on or after August 1, 1996 with a Vested Retirement Benefit payable under this plan in accordance with Section 530.010.H. shall be entitled to elect that one-hundred percent (100%) of the actuarial value of such Vested Retirement Benefit be paid in a lump sum. Such election may be made any time after the date of notification to the Qualified Member of the amount of the Deferred Vested Retirement Benefits. The actuarial value of such Vested Retirement Benefit shall be increased for interest at the rate of seven and one-half percent (7 1/2%) per annum from the date of termination to the date payment is elected by the Member. Payments shall be made within one hundred eighty (180) days after the election is received. The election may be revoked by the eligible Member any time prior to distribution. The Plan Administrator may direct that Qualified Members who terminated employment prior to August 1, 1996 with a Vested Benefit under Section 530.010.H. shall also be eligible to make such election. Notwithstanding any other provision of this plan to the contrary, a Qualified Member who makes such an election relinquishes all current and future rights to benefits and Service Credit rendered to date of this election under all provisions of this Plan. Election under this Subsection 1), must be made prior to the commencement of any benefits payable to such Qualified Member. In no event shall a Qualified Member who is entitled to a Retirement Benefit payable pursuant to Section 530.010.F. or 530.010.G, be entitled to make an election under this Subsection 1).</p> |

Collected Rules and Regulations 340.010
Family Medical Leave Act

Executive Summary

As of Spring 2020, the University of Missouri will be outsourcing Family Medical Leave Act (FMLA) Administration. As such, the following proposed updates to the collected rule is to clarify those policy provisions which have been historically applied to the University of Missouri, as well as include the FMLA calculation method for leave entitlement.

The proposed actions are to adopt language into the Collected Rules and Regulations 340.010 effective March 1, 2020. There are no costs associated with these changes.

- The following clarifying language provides for continued policy application by the new FMLA Administrator and does not impact policy content or change how the benefits have been applied
 - FMLA protection to employees regardless of the employee's place of employment (beyond 75-mile radius)
 - Spouses are eligible for their own individual leave entitlement for the birth/adoption/foster care of a child

- The following added language eliminates the possibility of stacking FMLA leave time and does change how FMLA is administered.
 - Add language regarding FMLA "rolling backward" measurement period" to indicate that the 12-month period is measured backward from the date the eligible employee uses any FMLA leave, and the leave entitlement is equal to the balance of the twelve (12) workweeks which has not been used during the immediately preceding 12 months.

340.010 Family and Medical Leave

Bd. Min. 2-9-17; Amended Bd. Min. 2-9-2020, effective 3-1-2020

- A. **Purpose.** This policy describes provisions and resources supporting the University's strong commitment to the Family and Medical Leave Act (FMLA), which provides eligible employees with job-protected unpaid leave for specified family and medical reasons.
- B. **Scope.** This policy applies to eligible faculty and staff employees of the University. Faculty, as well as other members of the University's community, should refer to applicable Collected Rules and Regulations or other administrative resources for additional information regarding leaves of absence. This policy will not be construed to diminish or alter any faculty leave authorized by Section 340.070.B.2 of the Collected Rules and Regulations and the provisions of Section 340.070.B.2 shall control in the event of any inconsistency in this policy.
- C. **Definitions:**
1. **Eligible Employee.** An eligible employee is one who has been employed by the university for a total of at least twelve (12) months at the time of the leave of absence, and has actually worked at least 1,250 hours during the 12-month period immediately preceding the leave, regardless of the employee's place of employment by the university. The 12-months of employment do not have to be consecutive. If the employee has a break in service that lasted seven (7) years or more, the time worked prior to the break will not ~~Count count~~ unless required by law (including but not limited to any requirement of the Uniformed Services Employment and Reemployment Rights Act (USERRA)).
 2. **Serious Health Condition.** A "serious health condition" means an illness, injury, impairment, or physical or mental condition that involves:
 - a. Inpatient care (i.e., an overnight stay) in a hospital or other medical care facility (including any period of incapacity or any subsequent treatment in connection with such in-patient care);
 - b. Period of incapacity of more than three (3) consecutive full calendar days, and any subsequent treatment or period of incapacity relating to the same condition that also involves:
 - (1) Treatment by or under the orders of a health care provider on a least two (2) occasions within the first thirty (30) days of the incapacity; or
 - (2) Treatment by a health care provider on at least one (1) occasion within the first seven (7) days of the incapacity which results in a regimen of continuing treatment under the supervision of a health care provider.
 - c. Any period of incapacity due to pregnancy, or for prenatal care;

- d. Chronic serious health condition requiring periodic visits (defined as a least twice per year) for treatment by or under the supervision of a health care provider that continues over an extended period of time and may cause an episodic rather than a continuing period of incapacity;
 - e. Permanent or long-term conditions requiring supervision for which treatment may not be effective; or
 - f. Multiple treatments by a health care provider or under the supervision of a health care provider, either for restorative surgery after an accident or other injury, or for a condition that will likely result in a period of incapacity of more than three (3) consecutive calendar days in the absence of medical intervention or treatment.
3. **Key Employee.** An employee who qualifies as a “key employee” may be denied restoration of employment after a period of FMLA leave if holding the employee’s position would cause substantial and grievous ~~economy~~ economic injury to the University’s operations, as defined by law. A “key employee” is an employee who is salaried and is among the highest-paid ten percent of all employees employed by the University within 75 miles of the place where the employee reports to work. A key employee will be given notice regarding denial of reinstatement and will be afforded other rights as required by the FMLA and its implementing regulations.
4. **Intermittent and Reduced Schedule Leave.** Leaves taken to care for an employee’s covered family member, the employee’s own serious health condition, or to care for a qualified service member may be taken intermittently or on a reduced leave schedule when medically necessary, provided a health care provider certifies the expected duration and schedule of such leave. Leave for military exigency may also be taken intermittently or on a reduced leave schedule.

Employees who are approved for intermittent FMLA leave must continue to comply with the normal call-in procedures to the extent possible.

Employees taking intermittent or reduced schedule leave that is foreseeable based on planned medical treatment may be required to transfer temporarily to an available alternative position for which the employee is qualified and that has equivalent pay and benefits and better accommodates recurring periods of leave than the employee’s regular position.

Intermittent leave and/or a reduced schedule leave may be taken for the birth or adoption of a child or placement with the employee of a child for foster care if approved by the employee’s direct supervisor and may not extend beyond 12-months after the birth, adoption, or placement of a child for foster care. If an employee needs leave intermittently or on a reduced leave schedule for planned medical treatment, then the employee must make a reasonable effort to schedule the treatment so as not to unduly disrupt the University’s operations.

D. **Policy**

1. **Leave Entitlement.** Subject to the requirements described in this policy, an eligible employee may take up to twelve (12) workweeks of leave in a 12-month period for one or more of the following reasons:
 - a. The birth of a child or placement of a child with the employee for adoption or foster care; leaves for birth, ~~or~~ adoption, or foster care must be taken with 12-months of the event;
 - b. To care for the employee's spouse, son or daughter, parent, sponsored adult dependent, or the child of a sponsored adult dependent with a serious health condition, as certified by a health care provider;
 - c. For a serious health condition that makes the employee unable to perform the essential functions of the employee's job; or
 - d. For any qualifying exigency arising out of the fact that an employee's spouse, son or daughter, parent, sponsored adult dependent, or a child of a sponsored adult dependent is a military member on covered active duty or call to covered active duty status in the Armed Forces in support of a contingency operation.

The 12-month period is measured backward from the date the eligible employee uses any FMLA leave, and the leave entitlement is equal to the balance of the twelve (12) workweeks which has not been used during the immediately preceding 12 months.

Spouses who are eligible employees may each take up to twelve (12) workweeks of leave in a 12-month period for FMLA-qualifying reasons, including leave to care for the employee's parent with a serious health condition or for the birth of a child or placement of a child with the employee for adoption or foster care.

2. **Leave Entitlement to Care for a Covered Service Member.** An eligible employee may also take up to 26 workweeks of leave during a single 12-month period to care for a covered service member with a serious injury or illness, when the employee is the spouse, son or daughter, parent, sponsored adult dependent, child of a sponsored adult dependent, or next of kin of the covered service member. The single 12-month period for military caregiver leave is different from the 12-month period used for other FMLA leave reasons. The single twelve (12) month period for military caregiver leave begins on the first day the employee takes leave for this reason and ends 12-months later.

Covered service members include:

- a. A current member of the Armed Forces (including a member of the National Guard or Reserves) who is undergoing medical treatment, recuperation, ~~or~~ therapy, is in outpatient status, or is on the temporary disability retired list for a serious injury or illness; or

- b. A veteran of the Armed Forces (including the National Guard or Reserves) discharged within the five (5) year period before the family member first takes military caregiver leave to care for the veteran and who is undergoing medical treatment, recuperation, or therapy for a qualifying serious injury or illness. A veteran who was dishonorably discharged does not meet the FMLA definition of a covered service member.

For a current service member, a serious injury or illness is one that may render the service member medically unfit to perform military duties. For a veteran, a serious injury or illness is one that rendered the veteran medically unfit to perform military duties, or an injury or illness that qualifies the veteran for certain benefits from the Department of Veterans Affairs or substantially impairs the veteran's ability to work. For veterans, it includes injuries or illnesses that were incurred or aggravated during military service but that did not manifest until after the veteran left active duty.

Military caregiver leave is available to an eligible employee once per service member, per serious injury or illness.

3. **Use of Paid Time While Away on FMLA Leave.** The employee must use all available paid time as part of the FMLA leave. Once paid leave time is exhausted, FMLA leaves are without pay. For faculty paid family medical leave, see Section 340.070.B.2.
4. **University Notice of the Need for FMLA Leave.** When the leave is foreseeable, the employee must provide thirty (30) days advance notice. Otherwise, the employee must notify the university as soon as practicable upon learning of the need for leave.
5. **Medical Certification.** If the requested leave is for a serious health condition of the employee, the employee will be required to prove a health care provider's certification providing information regarding the condition and inability to perform one or more essential functions of the job within fifteen (15) calendar days after the employer's request. If the requested leave is to care for a covered family member, the employee will be required to provide, within fifteen (15) calendar days after the employer's request, a health care provider's certification providing information as to the serious health condition and stating that the employee is needed to care for the family member. The university may request subsequent re-certifications during the course of the leave in accordance with the limitations set forth in the FMLA regulations. Updated work absence statements from the healthcare provider are required for all leave extensions.

Records and documents relating to medical certifications or re-certifications of employees or employees' family members will be maintained as confidential medical records in Human Resources, subject only to the limited exceptions set forth in the FMLA regulations. FMLA

may be denied if requested certifications are not provided within prescribed time limits.

6. **The Genetic Information Nondiscrimination Act of 2008 (GINA).** GINA is a federal law that prohibits employers and other entities covered by GINA from requesting or requiring genetic information of employees or their family members. In order to comply with this law, the University asks that health care providers not provide any genetic information when responding to the request for medical information. Genetic information, as defined by GINA, includes an individual's family medical history, the results of an individual's or family member's genetic tests, the fact that an individual or an individual's family member sought or received genetic services, and genetic information of a fetus carried by an individual or an individual's family member or an embryo lawfully held by an individual or family member receiving assistive reproductive services.
7. **Certification for Military Exigency Leave.** The first time an employee requests leave because of a qualifying military exigency, the employee must provide a copy of the covered military member's active duty orders or other documentation issued by the military. The documentation must indicate that the covered military service member is on active duty or called to active duty status in a foreign country and the dates of active duty service. The employee will need to supply such documentation again only if requesting leave for a different covered active duty or call to covered active duty status of the same or a different covered military member.
8. **Benefits.** During the leave period, an employee is eligible to continue participation in the university's employee benefit program (medical, dental, life, vision, accidental death, and long-term disability). In order for the coverage to be continued, the employee will be responsible for the employee's portion of the cost.
9. **Return to Work.** A health care provider's statement will be required for return to work from the employee's own serious health condition, including after the birth of a child. The return to work form must be presented before the employee may be returned to the work schedule. The return to work form must document the nature and duration of work restrictions, if any. If the employee is able to return to work earlier than the date indicated, the employee will be required to notify the supervisor and/or the campus human resources office at least two (2) workdays prior to the date the employee intends to return for work.

The department will return the employee to the same position held before the leave or an equivalent position. The employee will be provided the level of benefits and seniority held before the leave.

10. **Failure to Return to Work.** If the employee fails to return to work following the expiration of the FMLA leave and has not requested an extension of the leave, the employee will be considered to have voluntarily resigned from the university as of the day the leave paperwork expired.

340.010 Family and Medical Leave

Bd. Min. 2-9-17; Amended Bd. Min. 2-9-2020, effective 3-1-2020

- A. **Purpose.** This policy describes provisions and resources supporting the University's strong commitment to the Family and Medical Leave Act (FMLA), which provides eligible employees with job-protected unpaid leave for specified family and medical reasons.
- B. **Scope.** This policy applies to eligible faculty and staff employees of the University. Faculty, as well as other members of the University's community, should refer to applicable Collected Rules and Regulations or other administrative resources for additional information regarding leaves of absence. This policy will not be construed to diminish or alter any faculty leave authorized by Section 340.070.B.2 of the Collected Rules and Regulations and the provisions of Section 340.070.B.2 shall control in the event of any inconsistency in this policy.
- C. **Definitions**
1. **Eligible Employee.** An eligible employee is one who has been employed by the university for a total of at least twelve (12) months at the time of the leave of absence, and has actually worked at least 1,250 hours during the 12-month period immediately preceding the leave, regardless of the employee's place of employment by the university. The 12-months of employment do not have to be consecutive. If the employee has a break in service that lasted seven (7) years or more, the time worked prior to the break will not count unless required by law (including but not limited to any requirement of the Uniformed Services Employment and Reemployment Rights Act (USERRA)).
 2. **Serious Health Condition.** A "serious health condition" means an illness, injury, impairment, or physical or mental condition that involves:
 - a. Inpatient care (i.e., an overnight stay) in a hospital or other medical care facility (including any period of incapacity or any subsequent treatment in connection with such in-patient care);
 - b. Period of incapacity of more than three (3) consecutive full calendar days, and any subsequent treatment or period of incapacity relating to the same condition that also involves:
 - (1) Treatment by or under the orders of a health care provider on a least two (2) occasions within the first thirty (30) days of the incapacity; or
 - (2) Treatment by a health care provider on at least one (1) occasion within the first seven (7) days of the incapacity which results in a regimen of continuing treatment under the supervision of a health care provider.
 - c. Any period of incapacity due to pregnancy, or for prenatal care;

- d. Chronic serious health condition requiring periodic visits (defined as a least twice per year) for treatment by or under the supervision of a health care provider that continues over an extended period of time and may cause an episodic rather than a continuing period of incapacity;
 - e. Permanent or long-term conditions requiring supervision for which treatment may not be effective; or
 - f. Multiple treatments by a health care provider or under the supervision of a health care provider, either for restorative surgery after an accident or other injury, or for a condition that will likely result in a period of incapacity of more than three (3) consecutive calendar days in the absence of medical intervention or treatment.
3. **Key Employee.** An employee who qualifies as a “key employee” may be denied restoration of employment after a period of FMLA leave if holding the employee’s position would cause substantial and grievous economic injury to the University’s operations, as defined by law. A “key employee” is an employee who is salaried and is among the highest-paid ten percent of all employees employed by the University within 75 miles of the place where the employee reports to work. A key employee will be given notice regarding denial of reinstatement and will be afforded other rights as required by the FMLA and its implementing regulations.
4. **Intermittent and Reduced Schedule Leave.** Leaves taken to care for an employee’s covered family member, the employee’s own serious health condition, or to care for a qualified service member may be taken intermittently or on a reduced leave schedule when medically necessary, provided a health care provider certifies the expected duration and schedule of such leave. Leave for military exigency may also be taken intermittently or on a reduced leave schedule.

Employees who are approved for intermittent FMLA leave must continue to comply with the normal call-in procedures to the extent possible.

Employees taking intermittent or reduced schedule leave that is foreseeable based on planned medical treatment may be required to transfer temporarily to an available alternative position for which the employee is qualified and that has equivalent pay and benefits and better accommodates recurring periods of leave than the employee’s regular position.

Intermittent leave and/or a reduced schedule leave may be taken for the birth or adoption of a child or placement with the employee of a child for foster care if approved by the employee’s direct supervisor and may not extend beyond 12-months after the birth, adoption, or placement of a child for foster care. If an employee needs leave intermittently or on a reduced leave schedule for planned medical treatment, then the employee must make a reasonable effort to schedule the treatment so as not to unduly disrupt the University’s operations.

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Covered service members include:

- a. A current member of the Armed Forces (including a member of the National Guard or Reserves) who is undergoing medical treatment, recuperation, therapy, is in outpatient status, or is on the temporary disability retired list for a serious injury or illness; or

- b. A veteran of the Armed Forces (including the National Guard or Reserves) discharged within the five (5) year period before the family member first takes military caregiver leave to care for the veteran and who is undergoing medical treatment, recuperation, or therapy for a qualifying serious injury or illness. A veteran who was dishonorably discharged does not meet the FMLA definition of a covered service member.

For a current service member, a serious injury or illness is one that may render the service member medically unfit to perform military duties. For a veteran, a serious injury or illness is one that rendered the veteran medically unfit to perform military duties, or an injury or illness that qualifies the veteran for certain benefits from the Department of Veterans Affairs or substantially impairs the veteran's ability to work. For veterans, it includes injuries or illnesses that were incurred or aggravated during military service but that did not manifest until after the veteran left active duty.

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7. **Certification for Military Exigency Leave.** The first time an employee requests leave because of a qualifying military exigency; the employee must provide a copy of the covered military member's active duty orders or other documentation issued by the military. The documentation must indicate that the covered military service member is on active duty or called to active duty status in a foreign country and the dates of active duty service. The employee will need to supply such documentation again only if requesting leave for a different covered active duty or call to covered active duty status of the same or a different covered military member.
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The department will return the employee to the same position held before the leave or an equivalent position. The employee will be provided the level of benefits and seniority held before the leave.
10. **Failure to Return to Work.** If the employee fails to return to work following the expiration of the FMLA leave and has not requested an extension of the leave, the employee will be considered to have voluntarily resigned from the university as of the day the leave paperwork expired.

Amendments to Collected Rules and Regulations
310.015 Procedures for Review of Faculty Performance

Background:

Collected Rules and Regulations, section 310.015 procedures for review of faculty performance recommendations are focused on those faculty holding primarily administrative or department chair positions. These changes include:

- Adding exclusionary language for those holding primarily administrative or department chair positions – the clock will stop for those positions
- Clock to restart if and when the person returns to full-time faculty
- Added language about chairs and administrators being evaluated based on their performance in their role

This recommendation was vetted through University of Missouri Provosts, Intercampus Faculty Council, General Officers and approved by General Counsel's office.

No. 9

Recommended Action – Amendments to Collected Rules and Regulations
Section 310.015, Procedures for Review of Faculty
Performance

It was recommended by Senior Associate Vice President Steve Graham and endorsed by President Mun Y. Choi, recommended by the Academic, Student Affairs and Research & Economic Development Committee, moved by Curator _____, and seconded by Curator _____, that the following action be approved:

that Collected Rules and Regulations, Section 310.015, Procedures for Review of Faculty Performance, be revised as attached.

Roll call vote of the Committee: YES NO

Curator Chatman
Curator Layman
Curator Snowden
Curator Sundvold

Roll call vote of Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Layman
Curator Snowden
Curator Steelman
Curator Sundvold
Curator Williams

The motion _____.

Chapter 310: Academic Tenure Regulations

310.015 Procedures for Review of Faculty Performance

Bd. Min. 1-19-01; Amended 11-29-07; Amended 4-12-13; Amended 4-27-17.

- A. **Non-Tenure Track and Untenured, Tenure Track Faculty.** The performance of all non-tenure track and untenured tenure track faculty is to be reviewed annually by the appropriate unit supervisor (e.g., department chair, dean, director, etc.). The performance review should also include the workload distribution for the coming year or multiple years.
1. Written evaluations are expected and must be provided to non-tenure track faculty members. The workload standard for non-tenure track faculty members should be spelled out in detail based on the specific job responsibilities and expectations in the job description (see CRR 310.035).
 2. Plans for untenured faculty may include multiple years up to the tenure review (see CRR 310.080.C). A multi-year plan will not be considered as assurance that an appointment will be renewed during the period covered by the plan. Annual evaluations of untenured faculty members during the probationary period must follow the faculty bylaws governing tenure for each campus (CRR 300.010 Faculty Bylaws of the University of Missouri-Columbia; CRR 300.020 Faculty Bylaws of the University of Missouri-Kansas City; CRR 300.030 Faculty Bylaws of Missouri University of Science and Technology; and CRR 300.040 Faculty Bylaws of the University of Missouri-St. Louis).
- B. **Tenured Faculty Members.** Tenured faculty have proven their ability to contribute significantly in their discipline and to work independently and productively in their field. In this document we affirm and strongly defend the importance of tenure at the University of Missouri. By fostering creativity and protecting academic freedom, tenure safeguards faculty from unfair dismissal based on arbitrary or discriminatory practices, thus encouraging the constant search for truth that is the hallmark of the University. Under this policy or any other university policy, academic tenure should be revoked only with just cause, and may only be done in accordance with the Collected Rules and Regulations of the University, section 310.020.C.1. However, tenure does not protect faculty from the consequences of not performing satisfactorily their duties to the University. It is in the best interest of the faculty as a whole to ensure that each faculty member contributes fully to the institution throughout that individual's career.
1. *Performance Review of Tenured Faculty Not [Holding Primarily Administrative or Department Chair Positions Holding Full-Time Administrative Positions](#)*
 - a. The tenured faculty of each department or unit will develop and publish standards for satisfactory performance which include minimum standards for teaching, research, and service as well as general principles for determining an overall satisfactory performance. They will be reviewed as part of the five-year program review. These standards are intended for use over the

five-year time period covered by the post-tenure review (see B.1.c. below).

- b. Every tenured faculty member, except department chairs and those whose positions are primarily administrative including those with part-time administrative positions (as defined in their appointment letter), will submit a signed annual report describing her/his/their activities in research, teaching and service. The annual performance review will cover the performance for the past year. In addition, the chair and faculty member will discuss plans for the coming year in order to establish the workload distribution for the coming year or for multiple years up to the five-year post-tenure review (see CRR 310.080.C). The annual report will be reviewed by the chair or evaluation committee of the unit following normal unit practices. In this document the term chair will be used to mean the appropriate unit director (e.g., chair, unit administrator, area coordinator, etc.). Chairs will be reviewed annually by the dean according to the standards described in B.1.a. Using the unit standards for the annual performance review (described in B.1.a), and taking into consideration the faculty member's workload distribution (described in CRR 310.080.C.), the activities of the faculty member will be rated as satisfactory or unsatisfactory in research, teaching and service, and an overall evaluation of satisfactory or unsatisfactory will be provided. The faculty member will receive this information in a written evaluation. The faculty member will sign the written evaluation to acknowledge its receipt and may provide a written response to the evaluation. A copy of this signed evaluation will be provided to the faculty member by the chair within a month after the faculty member has signed the evaluation.
- c. If a faculty member receives an unsatisfactory evaluation in any category, there must be a face-to-face discussion of the evaluation between the faculty member and the chair to create a plan for achieving satisfactory evaluations. This may involve changing the faculty member's workload distribution (see CRR 310.080.C). One unsatisfactory evaluation in either teaching or research (or any major area of assignment) will result in an overall unsatisfactory evaluation. If the chair or evaluation committee has significant concerns about only one category, but determines that overall the faculty member has met the department standards, then the chair or committee may assign an overall satisfactory with warning and create an improvement plan to address the concern. The improvement plan will specify both the standards that the faculty member will achieve and the support that the department and/or other units will provide to the faculty member. If the unsatisfactory evaluation is in the teaching category, the chair will refer the faculty member to the campus unit responsible for fostering teaching excellence, and the faculty member must work with that unit to improve pedagogical methods. The improvement plan will be attached to the signed annual performance evaluation. If the faculty member disputes an overall unsatisfactory evaluation, the dean will review the evaluation and decide whether to affirm the evaluation or return it to the department chair for revision. In

the succeeding annual performance review, failure to meet the standards set out in the plan will result in an overall unsatisfactory evaluation.

- d. At five-year intervals a tenured faculty member will resubmit the annual reports and evaluation statements for the past five years, with a concise summary statement of research, teaching, and service activities for the five-year period, and a current curriculum vitae. The review may be conducted either by the unit chair or by an evaluation committee of the unit, as decided by a vote of the tenured faculty (committee membership is described below in h.1.a.). The first five-year post-tenure review will be conducted five years after the tenure decision or the last formal review of the faculty member for promotion to associate professor or professor. Faculty hired with tenure will be reviewed five years after they are hired.
 - e. Based on the five-year report, the chair or evaluation committee will evaluate the faculty member's performance as satisfactory or unsatisfactory. Satisfactory overall performance evaluations for each year will automatically be deemed sufficient for a satisfactory post-tenure review. The five-year evaluation process will be complete with a satisfactory evaluation. The purpose of the five-year post-tenure review is not merely to identify and remedy unsatisfactory performance, but also to identify and reward excellence in teaching, research, and service in accordance with the assigned workload distribution. In consultation with the chair, the Provost and the Dean will provide incentives to faculty who have exhibited such excellence.
 - f. If an unsatisfactory overall performance review occurs in one or more years over the five year period, trends in the faculty member's performance will be considered in the final determination of the five-year post-tenure review. If the post-tenure review is deemed unsatisfactory by the chair and the initial review was conducted by the chair, then the chair will send the five-year report to the evaluation committee of the unit. The departmental committee of faculty peers will perform its own full review of the performance of the faculty member over the five-year period and provide an independent assessment of the performance of the faculty member.
 - g. The report will be forwarded to the appropriate dean, indicating the decision of the chair and departmental committee. The dean will review the report and provide an assessment of the performance of the faculty member. The five-year evaluation process will be complete if the dean judges the performance of the faculty member to be satisfactory. If a majority of the evaluation committee of the department/unit and the dean consider the performance of the faculty member to be unsatisfactory, a plan for professional development will be written (see B.2. below).
 - h. At every level of review, the faculty member will be provided with a copy of any written report that is part of these proceedings and will have the right of appeal of any evaluations, decisions, or recommendations to the next level of the process.
- (1) *Committee Membership*

(a) The evaluation committee is typically the one that reviews faculty for tenure and promotion (CRR 320.035.A.1.d.). Only those who are tenured faculty members in the department may participate in the evaluation, except in circumstances described below.

(b) If there are not enough tenured faculty members within the primary department to comprise a committee of three, a special committee shall be formed in the same way as for a departmental tenure and promotion committee (CRR 320.035.A.1.d.). The committee may include faculty member(s) emeriti from the primary department in accordance with established procedures. In addition, it may include retired faculty from the primary department who are part of an established recognition program according to Collected Rules and Regulations of the University, Section 310.075.B. The retired or emeriti faculty serving on the committee shall not be greater than 50% of the committee membership.

2. *Formulation of Development Plan and Assessment of Progress*

- a. The development plan will be developed by the faculty member, the department/unit committee, and the chair of the unit. This development plan will have clear and attainable objectives for the faculty member and may include a reallocation of the faculty member's workload distribution in accord with the department workload standards (see CRR 310.080.C.) and a commitment of institutional resources to the plan. This plan will be signed by the faculty member, the chair or unit administrator, and the dean. The development phase will begin when the necessary resources as described in the development plan are provided.
- b. A faculty member who has received an overall unsatisfactory five-year evaluation by the chair, the departmental committee, and the dean may not appeal the process of developing a professional plan. If the faculty member is not satisfied with the plan that has been developed, [he/she/they](#) may appeal to the next administrative level for help in the formulation of an acceptable development plan.
- c. A faculty member with a plan for professional development will submit an annual progress report to the chair for three successive years after the plan has been initiated. The chair will review the report and provide a written annual evaluation on the progress of the faculty member toward the objectives stated in the development plan. If the chair finds satisfactory progress for any two of the three years, then the process will cease and the faculty member will begin a new five-year cycle.
- d. If the chair does not find satisfactory progress in two of the three years of the development plan, the chair will provide the annual reports and evaluations to the department/unit committee. If the unit committee finds satisfactory progress in two of the three years of the development plan, the process ceases and the faculty member will begin a new five-year cycle.
- e. If both the chair and the unit evaluation committee do not find satisfactory progress in two of the three years of the

development plan, the chair will provide annual reports and evaluations to the dean. If the dean finds satisfactory progress in two of the three years of the development plan, the process ceases and the faculty member will begin a new five-year cycle.

- f. If the chair, the department/unit committee and the dean do not find satisfactory progress in two of the three years, then the five-year evaluations plus the three years of progress reports and evaluations by the chair on the development plan will be forwarded to the campus committee on Tenure and Promotion and to the Provost or Vice Chancellor for Academic Affairs. Each will review the reports and will recommend separately to the Chancellor that: 1) an additional two-year development plan be written and implemented in consultation with the faculty member and the originating departmental committee, or 2) the faculty member be considered for dismissal for cause proceedings (see section 3.)
- g. Any faculty member may request participation in a formal development plan (as described in 2.a.) after two or more consecutive unsatisfactory annual evaluations. In addition, chairs will strongly encourage faculty who have had three consecutive unsatisfactory annual evaluations to participate in a development plan.

3. *Dismissal for Cause*

- a. If it is deemed by the Chancellor that the performance of the faculty member during the periods covered in section 2 constitutes sufficient grounds, dismissal for cause may be initiated and if initiated will proceed in accordance with the procedures for dismissal for cause described in section 310.060.
- b. This procedure for review and development of faculty performance does not substitute for the dismissal for cause procedures stated in section 310.060.
- c. Notwithstanding the provisions of section 310.015 B.2.f. above, this procedure does not impose additional requirements upon the University prior to initiating dismissal for cause procedures as stated in section 310.060.

- C. **Full-Time-Tenured Administrators** ~~--- Department chairs and those whose positions are primarily administrative will continue to be evaluated annually according to their workload distribution.~~ In the event that a department chair or those whose positions are primarily administrative full-time administrator leaves ~~her/his~~their administrative position to become a full-time active tenured faculty member of a department, the normal annual departmental review process would be used to establish the faculty member's workload distribution and to address any discrepancy between the current abilities of the administrator and expectations concerning performance based on minimum departmental standards for the annual performance review. If there is a discrepancy between current ability and departmental standards, a development plan funded by the administration should be considered for the administrator prior to ~~her/his~~their returning to the department. Faculty who return to the full-time active faculty after completing service as department chairs or primarily administrative positions full-time administrators will be reviewed five years after leaving their administrative posts.

Chapter 310: Academic Tenure Regulations

310.015 Procedures for Review of Faculty Performance

Bd. Min. 1-19-01; Amended 11-29-07; Amended 4-12-13; Amended 4-27-17.

- A. **Non-Tenure Track and Untenured, Tenure Track Faculty.** The performance of all non-tenure track and untenured tenure track faculty is to be reviewed annually by the appropriate unit supervisor (e.g., department chair, dean, director, etc.). The performance review should also include the workload distribution for the coming year or multiple years.
1. Written evaluations are expected and must be provided to non-tenure track faculty members. The workload standard for non-tenure track faculty members should be spelled out in detail based on the specific job responsibilities and expectations in the job description (see CRR 310.035).
 2. Plans for untenured faculty may include multiple years up to the tenure review (see CRR 310.080.C). A multi-year plan will not be considered as assurance that an appointment will be renewed during the period covered by the plan. Annual evaluations of untenured faculty members during the probationary period must follow the faculty bylaws governing tenure for each campus (CRR 300.010 Faculty Bylaws of the University of Missouri-Columbia; CRR 300.020 Faculty Bylaws of the University of Missouri-Kansas City; CRR 300.030 Faculty Bylaws of Missouri University of Science and Technology; and CRR 300.040 Faculty Bylaws of the University of Missouri-St. Louis).
- B. **Tenured Faculty Members.** Tenured faculty have proven their ability to contribute significantly in their discipline and to work independently and productively in their field. In this document we affirm and strongly defend the importance of tenure at the University of Missouri. By fostering creativity and protecting academic freedom, tenure safeguards faculty from unfair dismissal based on arbitrary or discriminatory practices, thus encouraging the constant search for truth that is the hallmark of the University. Under this policy or any other university policy, academic tenure should be revoked only with just cause, and may only be done in accordance with the Collected Rules and Regulations of the University, section 310.020.C.1. However, tenure does not protect faculty from the consequences of not performing satisfactorily their duties to the University. It is in the best interest of the faculty as a whole to ensure that each faculty member contributes fully to the institution throughout that individual's career.
1. *Performance Review of Tenured Faculty Not Holding Primarily Administrative or Department Chair Positions*
 - a. The tenured faculty of each department or unit will develop and publish standards for satisfactory performance which include minimum standards for teaching, research, and service as well as general principles for determining an overall satisfactory performance. They will be reviewed as part of the five-year program review. These standards are intended for use over the

five-year time period covered by the post-tenure review (see B.1.c. below).

- b. Every tenured faculty member, except department chairs and those whose positions are primarily administrative (as defined in their appointment letter), will submit a signed annual report describing their activities in research, teaching and service. The annual performance review will cover the performance for the past year. In addition, the chair and faculty member will discuss plans for the coming year in order to establish the workload distribution for the coming year or for multiple years up to the five-year post-tenure review (see CRR 310.080.C). The annual report will be reviewed by the chair or evaluation committee of the unit following normal unit practices. In this document the term chair will be used to mean the appropriate unit director (e.g., chair, unit administrator, area coordinator, etc.). Chairs will be reviewed annually by the dean according to the standards described in B.1.a. Using the unit standards for the annual performance review (described in B.1.a), and taking into consideration the faculty member's workload distribution (described in CRR 310.080.C), the activities of the faculty member will be rated as satisfactory or unsatisfactory in research, teaching and service, and an overall evaluation of satisfactory or unsatisfactory will be provided. The faculty member will receive this information in a written evaluation. The faculty member will sign the written evaluation to acknowledge its receipt and may provide a written response to the evaluation. A copy of this signed evaluation will be provided to the faculty member by the chair within a month after the faculty member has signed the evaluation.
- c. If a faculty member receives an unsatisfactory evaluation in any category, there must be a face-to-face discussion of the evaluation between the faculty member and the chair to create a plan for achieving satisfactory evaluations. This may involve changing the faculty member's workload distribution (see CRR 310.080.C). One unsatisfactory evaluation in either teaching or research (or any major area of assignment) will result in an overall unsatisfactory evaluation. If the chair or evaluation committee has significant concerns about only one category, but determines that overall the faculty member has met the department standards, then the chair or committee may assign an overall satisfactory with warning and create an improvement plan to address the concern. The improvement plan will specify both the standards that the faculty member will achieve and the support that the department and/or other units will provide to the faculty member. If the unsatisfactory evaluation is in the teaching category, the chair will refer the faculty member to the campus unit responsible for fostering teaching excellence, and the faculty member must work with that unit to improve pedagogical methods. The improvement plan will be attached to the signed annual performance evaluation. If the faculty member disputes an overall unsatisfactory evaluation, the dean will review the evaluation and decide whether to affirm the evaluation or return it to the department chair for revision. In

the succeeding annual performance review, failure to meet the standards set out in the plan will result in an overall unsatisfactory evaluation.

- d. At five-year intervals a tenured faculty member will resubmit the annual reports and evaluation statements for the past five years, with a concise summary statement of research, teaching, and service activities for the five-year period, and a current curriculum vitae. The review may be conducted either by the unit chair or by an evaluation committee of the unit, as decided by a vote of the tenured faculty (committee membership is described below in h.1.a.). The first five-year post-tenure review will be conducted five years after the tenure decision or the last formal review of the faculty member for promotion to associate professor or professor. Faculty hired with tenure will be reviewed five years after they are hired.
- e. Based on the five-year report, the chair or evaluation committee will evaluate the faculty member's performance as satisfactory or unsatisfactory. Satisfactory overall performance evaluations for each year will automatically be deemed sufficient for a satisfactory post-tenure review. The five-year evaluation process will be complete with a satisfactory evaluation. The purpose of the five-year post-tenure review is not merely to identify and remedy unsatisfactory performance, but also to identify and reward excellence in teaching, research, and service in accordance with the assigned workload distribution. In consultation with the chair, the Provost and the Dean will provide incentives to faculty who have exhibited such excellence.
- f. If an unsatisfactory overall performance review occurs in one or more years over the five year period, trends in the faculty member's performance will be considered in the final determination of the five-year post-tenure review. If the post-tenure review is deemed unsatisfactory by the chair and the initial review was conducted by the chair, then the chair will send the five-year report to the evaluation committee of the unit. The departmental committee of faculty peers will perform its own full review of the performance of the faculty member over the five-year period and provide an independent assessment of the performance of the faculty member.
- g. The report will be forwarded to the appropriate dean, indicating the decision of the chair and departmental committee. The dean will review the report and provide an assessment of the performance of the faculty member. The five-year evaluation process will be complete if the dean judges the performance of the faculty member to be satisfactory. If a majority of the evaluation committee of the department/unit and the dean consider the performance of the faculty member to be unsatisfactory, a plan for professional development will be written (see B.2. below).
- h. At every level of review, the faculty member will be provided with a copy of any written report that is part of these proceedings and will have the right of appeal of any evaluations, decisions, or recommendations to the next level of the process.
(1) *Committee Membership*

(a) The evaluation committee is typically the one that reviews faculty for tenure and promotion (CRR 320.035.A.1.d.). Only those who are tenured faculty members in the department may participate in the evaluation, except in circumstances described below.

(b) If there are not enough tenured faculty members within the primary department to comprise a committee of three, a special committee shall be formed in the same way as for a departmental tenure and promotion committee (CRR 320.035.A.1.d.). The committee may include faculty member(s) emeriti from the primary department in accordance with established procedures. In addition, it may include retired faculty from the primary department who are part of an established recognition program according to Collected Rules and Regulations of the University, Section 310.075.B. The retired or emeriti faculty serving on the committee shall not be greater than 50% of the committee membership.

2. Formulation of Development Plan and Assessment of Progress

- a. The development plan will be developed by the faculty member, the department/unit committee, and the chair of the unit. This development plan will have clear and attainable objectives for the faculty member and may include a reallocation of the faculty member's workload distribution in accord with the department workload standards (see CRR 310.080.C.) and a commitment of institutional resources to the plan. This plan will be signed by the faculty member, the chair or unit administrator, and the dean. The development phase will begin when the necessary resources as described in the development plan are provided.
- b. A faculty member who has received an overall unsatisfactory five-year evaluation by the chair, the departmental committee, and the dean may not appeal the process of developing a professional plan. If the faculty member is not satisfied with the plan that has been developed, they may appeal to the next administrative level for help in the formulation of an acceptable development plan.
- c. A faculty member with a plan for professional development will submit an annual progress report to the chair for three successive years after the plan has been initiated. The chair will review the report and provide a written annual evaluation on the progress of the faculty member toward the objectives stated in the development plan. If the chair finds satisfactory progress for any two of the three years, then the process will cease and the faculty member will begin a new five-year cycle.
- d. If the chair does not find satisfactory progress in two of the three years of the development plan, the chair will provide the annual reports and evaluations to the department/unit committee. If the unit committee finds satisfactory progress in two of the three years of the development plan, the process ceases and the faculty member will begin a new five-year cycle.

- e. If both the chair and the unit evaluation committee do not find satisfactory progress in two of the three years of the development plan, the chair will provide annual reports and evaluations to the dean. If the dean finds satisfactory progress in two of the three years of the development plan, the process ceases and the faculty member will begin a new five-year cycle.
- f. If the chair, the department/unit committee and the dean do not find satisfactory progress in two of the three years, then the five-year evaluations plus the three years of progress reports and evaluations by the chair on the development plan will be forwarded to the campus committee on Tenure and Promotion and to the Provost or Vice Chancellor for Academic Affairs. Each will review the reports and will recommend separately to the Chancellor that: 1) an additional two-year development plan be written and implemented in consultation with the faculty member and the originating departmental committee, or 2) the faculty member be considered for dismissal for cause proceedings (see section 3.)
- g. Any faculty member may request participation in a formal development plan (as described in 2.a.) after two or more consecutive unsatisfactory annual evaluations. In addition, chairs will strongly encourage faculty who have had three consecutive unsatisfactory annual evaluations to participate in a development plan.

3. *Dismissal for Cause*

- a. If it is deemed by the Chancellor that the performance of the faculty member during the periods covered in section 2 constitutes sufficient grounds, dismissal for cause may be initiated and if initiated will proceed in accordance with the procedures for dismissal for cause described in section 310.060.
- b. This procedure for review and development of faculty performance does not substitute for the dismissal for cause procedures stated in section 310.060.
- c. Notwithstanding the provisions of section 310.015 B.2.f. above, this procedure does not impose additional requirements upon the University prior to initiating dismissal for cause procedures as stated in section 310.060.

C. **Tenured Administrators** – Department chairs and those whose positions are primarily administrative will continue to be evaluated annually according to their workload distribution. In the event that a department chair or those whose positions are primarily administrative leaves their administrative position to become a full-time active tenured faculty member of a department, the normal annual departmental review process would be used to establish the faculty member's workload distribution and to address any discrepancy between the current abilities of the administrator and expectations concerning performance based on minimum departmental standards for the annual performance review. If there is a discrepancy between current ability and departmental standards, a development plan funded by the administration should be considered for the administrator prior to their returning to the department. Faculty who return to the full-time active faculty after completing service as department chairs or primarily administrative positions will be reviewed five years after leaving their administrative posts.

Amendments to Collected Rules and Regulations
300.020 University of Missouri – Kansas City Faculty Bylaws

Background:

The University of Missouri – Kansas City Faculty Senate has worked for the past several months to revise their faculty bylaws, Collected Rule and Regulation (CR&R) 300.020. The purpose of these edits were to: 1) provide clarity in a number of areas, 2) additions to key components and 3) update the election process from paper-based to electronic. Below are the details in each of the areas.

- Edits for clarity
 - Definition of voting faculty
 - Duties of the past chair
 - Membership of elected faculty running Senate
 - Need and use of Standard Operating Procedures of Senate
 - Process in which amendments are approved
 - Updated the names of the schools throughout

- Additions
 - 300.020.A there is an addition clarifying the role of the faculty and what the faculty do
 - 300.020.E.5 there was an addition to ensure that candidates running for campus-wide positions have appropriate experience and length of time at the university

- Process changes
 - Removed language of a paper ballot process for elections, this is now an electronic process

No. 10

Recommended Action – Amendments to Collected Rules and Regulations
Section 300.020, Faculty Bylaws of the University of
Missouri–Kansas City

It was recommended by Senior Associate Vice President Steve Graham and endorsed by President Mun Y. Choi, recommended by the Academic, Student Affairs and Research & Economic Development Committee, moved by Curator _____, seconded by Curator _____, that the following action be approved:

that Collected Rules and Regulations, Section 300.020, Faculty Bylaws of the University of Missouri – Kansas City, be revised as attached.

Roll call vote of the Committee: YES NO

Curator Chatman
Curator Layman
Curator Snowden
Curator Sundvold

Roll call vote of Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Layman
Curator Snowden
Curator Steelman
Curator Sundvold
Curator Williams

The motion _____.

300.020 Faculty Bylaws of the University of Missouri-Kansas City

Min. 10-12-73; Amended Bd. Min. 11-18-77, 6-27-80, 11-19-82, 12-7-84, 6-6-08, 10-21-11, 6-14-13; Amended 4-10-15, Amended 6-17-16.

A. **Purpose of the Governing Practices** -- The UMKC Faculty will nurture the educational development of the student, the institution, and the community by transmitting knowledge, cultivating creativity, fostering leadership, sharing research, modeling civil discourse, and demonstrating critical engagement. The purpose of these Bylaws is to establish a body which represents the voice of the Faculty and to establish an effective vehicle for the needs and concerns of the Faculty to be presented for discussion and debate. These Bylaws assume that Faculty may participate in academic decision processes. The right of faculties to organize and to carry out the responsibilities and functions delegated to them by the Board is recognized in Section 10.030.~~DE~~.2.

B. **Membership** -- The University of Missouri-Kansas City Faculty shall consist of the President of the University, the Chancellor, and all persons on benefits-eligible academic appointments.

1. **Voting Faculty** -- For purposes of campus- and University-wide elections, those individuals eligible to vote shall consist of all tenured and tenure track and all full-time, ranked and unranked, non-tenure track faculty, including Librarians I, II, III and IV; as defined in Section 310.035A of the Collected Rules and Regulations, provided that the individual is .75 FTE or greater and holds an appointment of at least nine (9) months duration.~~persons who hold regular academic appointments, either tenure track or tenured; non-tenure track (NTT) faculty, as defined in Section 340.070E of the Collected Rules and Regulations; including Librarians I, II, III and IV; provided that any of the foregoing must be .75 FTE or greater and must hold an appointment of at least nine (9) months duration.~~ In addition, faculty in any academic unit whose percentage of effort in routinely overseeing and participating in the instructional mission of the University is comparable to the foregoing, but who are not paid directly by UMKC, shall be eligible to vote in campus- and University-wide elections. Criteria utilized by such units in determining its faculty whose percentage of effort in routinely overseeing and participating in the instructional mission of the University is comparable to the foregoing must be approved in advance by the Faculty Senate. The foregoing voting eligibility rules are not intended to define the eligibility of faculty to vote in school or college elections and the eligibility to vote in such school or college elections shall be defined by the rules of such school or college. Campus-wide faculty votes on issues specific to tenure or tenured/tenure track (T/TT) faculty will be restricted to T/TT faculty.
2. **Power** -- The powers of the voting Faculty of UMKC include authority in all matters pertaining to education, research and service as granted to

the Faculty by the Board of Curators. It shall have such other authority as is delegated to it by the President and/or the Chancellor. These powers are vested in the UMKC Senate unless limited by the University's Collected Rules and Regulations.

3. **Meetings** -- There shall be at least one general meeting of the voting Faculty per year. The Chair of the Faculty Senate shall give notice of and shall preside at such meetings. The Faculty Senate shall report to the voting Faculty at such meetings and shall invite input and advice from the Faculty on issues of concern.

- a. Additional meetings of the voting Faculty may be called by the Chancellor or the Chair of the Senate, or upon the request of 20 percent of the Senate or upon the written request of 10 percent of the voting Faculty.

- b. Within ten days of the notice of placing of an item on the Senate agenda, upon the request of a majority of the Senate or upon the written request of 10 percent of the voting Faculty, the Chair of the Senate shall transfer the item from the Senate agenda to the agenda of a meeting of the voting Faculty for discussion and action by that group.

C. **Colleges, Schools, Conservatories, Libraries and other units**

1. **Definitions** -- A college, school or conservatory (hereinafter colleges, schools, or conservatories will be referred to as schools) is a unit which offers or supervises programs of study leading to baccalaureate or advanced degrees. A unit or combination of units, offering courses which do not lead to a degree, is not a school.

2. **Schools** -- Presently existent schools are: College of Arts and Sciences, [Henry W. Bloch School of Management](#)~~School of Business and Public Administration~~, School of Biological [and Chemical](#) Sciences, School of Computing and Engineering, School of Dentistry, School of Education, School of Law, School of Pharmacy, [the UMKC Conservatory of Music and Dance](#), School of Graduate Studies, School of Medicine, School of Nursing and Health Studies.

3. **Libraries** -- Libraries include: Miller Nichols Library, Leon E. Bloch Law Library, Health Sciences Library, ~~Dental Library~~.

D. **Faculties of the Schools**

1. **Membership**

- a. The Faculty shall consist of the President of the University, the Chancellor, the Dean of the School, and all persons with academic appointments who are assigned to the school. The Faculty shall be primarily responsible for the quality of the school's undertakings. Other non-regular, administrative or extension personnel who hold appointments within the school may be added to the voting Faculty of the school as defined by the school's bylaws.

- b. Faculty whose work is divided between programs of two or more schools (other than the School of Graduate Studies) may participate in deliberations of these schools, but shall be a

voting member of only the school in which they hold their primary appointment.

c. The Faculty of the School of Graduate Studies consists of UMKC Faculty (Section 300.020.B) who hold graduate or doctoral appointments. Faculty of the School of Graduate Studies may vote and be elected to offices or committees in this school as well as to offices and committees of the school in which they hold their primary appointment.

2. **Meetings** -- At least four regular meetings of the Faculty of a School shall be called annually according to the procedures adopted by the school. A special meeting may be called at any time by the Chancellor or by the Dean of the school and must be called if requested by one-fourth of the membership of the Faculty or as otherwise provided by the Bylaws of the school. Written notification of any meeting of a Faculty shall be mailed at least three days prior to the meeting to all members of the Faculty except in the case of an emergency meeting in which case any action taken becomes an item for reconsideration on the agenda at the next regularly scheduled meeting of that Faculty. Each Faculty shall determine its own definition of a quorum of its membership and decide upon a procedure which enables the membership of that particular Faculty to carry out its business in a responsible as well as efficacious manner. Copies of the minutes of each meeting shall be supplied to each Faculty member of the school and to the Chancellor.

3. **Powers** -- The Faculty of a school shall establish procedures and policies governing the work of the school.

a. **Bylaws** -- Each school shall have a written set of Bylaws prepared in such a manner as is determined by the Faculty of that school. These Bylaws shall implement the provisions of this section of the UMKC Bylaws. A copy of these Bylaws and any subsequent amendment thereto shall be filed with the Chancellor and the Chair-elect of the Senate. The Bylaws shall not contain any provisions inconsistent with the UMKC Bylaws.

b. **Curriculum and Degrees** -- The Faculty of a school and/or department, together with the appropriate administrative officers, shall be responsible for recommending all academic courses and programs and for recommending candidates for degrees.

(1) The Faculty of each school, through its dean, shall file with the registrar a copy of its admission and retention standards, its degree requirements, and individual course additions and deletions. The registrar shall distribute copies of such standards, requirements and course additions and deletions to the Chancellor and the deans of the other schools.

c. **Selection and Retention of Academic Faculty** -- The Faculty of each school and/or department or other teaching unit shall establish criteria and specify procedures to be followed, as a general policy, in recommending the selection, retention and promotion of members of the Faculty.

(1) As a general policy all academic staff appointments to a School Faculty shall be made after the Dean of the school has

received a written recommendation from an appropriate department committee or equivalent teaching unit. The Dean shall forward the recommendation of the committee with his/her own recommendation to the Chancellor.

(2) Recommendations for promotion and/or tenure, and to reappoint or not to reappoint, shall be made by the Dean of the school after receiving a written recommendation from an appropriate department committee or equivalent teaching unit. The Dean shall forward the recommendation of the committee with his/her own recommendation to the Chancellor.

d. **Selection of Deans** -- As a general policy, recommendations for the selection of deans in any school shall be made by the Chancellor after consultation with an appropriate committee which will include members of the Faculty of that school. This consultation procedure shall not abrogate the final responsibility and authority of the Chancellor to recommend a dean's appointment or replacement.

e. **Selection of Department Chairs, School Division Chairs and Directors** -- As a general policy, the Dean shall recommend appointment or replacement of a department Chairperson, school division Chairperson or Director only after consultation with the Faculty of the department, subdivision or sub-unit concerned. This consultation procedure shall not abrogate the final responsibility and authority of the Dean to recommend the appointment or replacement of a department Chairperson, school division Chairperson, or Director.

f. **Evaluation of Academic and Professional Administrators** -- The voting Faculty of each school shall participate in the regular evaluation of their academic and professional administrators.

(1) A School Faculty, by formal action at a regular meeting, or through its elected School Executive Committee or such other elected committee as is designated by the school in its Bylaws, may report on matters of common concern through the Executive Committee of the Senate, or directly to the Chancellor, and through him to the President of the University and the Board of Curators, and may make recommendations pertaining to any feature of the functioning of UMKC or the University.

g. **Budget Committee** -- Each school shall have an elected budget committee composed of representative Faculty. The Budget Committee shall receive from the Dean in timely fashion all information regarding the budget process; shall share that information with the Faculty of the school, and shall advise the Dean regarding objectives and funding priorities as well as necessary allocations to achieve those objectives.

E. **The UMKC Faculty Senate**

1. **Composition of the Senate** -- The Senate shall consist of two elected Faculty representatives from the [Henry W. Bloch School of Management](#), [School of Biological and Chemical Sciences](#), [School of Business and Public Administration](#), [the School of Biological Sciences](#), the School of Computing and Engineering, the School of Dentistry, the School of

Education, the School of Law, [the School of Pharmacy](#) the [UMKC Conservatory of Music and Dance](#), [School of Graduate Studies](#), [School of Medicine](#), School of Nursing and Health Studies and the Library. The College of Arts and Sciences shall have one representative from each of its three divisions plus one additional member selected by the college. The Chairperson of the Steering Committee of A & S shall be a member of the Senate by virtue of his/her office. The Senate may elect to accept as non-voting members representatives of major campus constituencies, such as the Staff Council and the Part-Time Faculty Association.

- a. In order that the Senate maintain close ties with the units, it is recommended that one representative from each unit be the Faculty Chairperson of the unit or member of its executive body.
- b. Those who are eligible to serve as representatives shall be UMKC voting Faculty. Members of the Executive Committee must be voting Faculty.
- c. Elected representatives to the Intercampus Faculty Council, known as IFC, shall be members of the UMKC Faculty Senate for the duration of their terms.
- d. Officers of the Senate shall be members of the Senate for the duration of their terms.

2. **Terms of Office and Elections**

- a. Senate members shall be elected early in the winter semester, to take office at the first Senate meeting the following fall.
- b. Senate officers shall serve staggered, three-year terms.
- c. IFC members shall serve three-year terms and shall be Senate members for the duration of their terms on the IFC.
- d. Elected Faculty representatives shall serve two-year terms, except for representatives who serve by virtue of their membership on a unit executive body; they shall serve one-year terms.
- e. Members may succeed themselves without restriction. Officers are limited to two consecutive terms.
- f. Should an elected representative be unable to complete his/her term, that vacancy shall be filled by an election as soon as possible.
- g. Senate members shall be elected by the represented units.
- h. Senate officers and IFC representatives shall be elected by the voting Faculty by secret ballot.

3. **Powers** -- The power of the voting Faculty of UMKC, as defined in CRR 300.020.B.2, shall be delegated to the Faculty Senate. The Senate may make recommendations pertaining to any feature of the functioning of the University to the Chancellor, and through the Chancellor to the President and/or the Board of Curators.

- a. The Senate, in cooperation with the administration, shall provide for Faculty participation in the regular evaluation of

those campus-wide officers of the administration included in the Academic Tenure Regulations.

b. The Senate, by formal action at a meeting of the general Faculty, or at a Senate meeting, may report to the Chancellor on matters of common concern, and through the Chancellor or through the Intercampus Faculty Council to the President of the University and the Board of Curators, and may make recommendations pertaining to any feature of the functioning of UMKC or the University.

c. The Senate shall serve as a liaison between the Faculty and the Chancellor and the campus' administrative officers. The Senate shall serve as a liaison between the Faculty and the Intercampus Faculty Council. The Senate shall serve as a liaison between the Faculty and the Student Government Association and the Intercampus Student Council.

4. Meetings

a. The meeting schedule for each semester shall be set by the Chair of the Senate; however, additional meetings may be called by the Chair, at the request of the Chancellor, or at the request of 20 percent of the Senate or 10 percent of the Voting Faculty.

b. Any Faculty member may appear before the Senate to express his/her concerns by sending a written request to the Senate Chair-elect, who shall thereupon notify the Faculty member of the time and place of the next meeting and invite him/her to attend.

5. **Officers of the Faculty Senate** -- Individuals eligible to run for Senate officer positions shall consist of all Voting Faculty who are ranked with a tenured/tenure-track appointment; ranked faculty with a non-tenure track appointment of the Associate rank or higher; and Librarians II, III, or IV. All candidates must have six years-experience as Voting Faculty at UMKC. Elected officers shall be the Chair-elect, Chair, and Past-Chair and the two IFC representatives who collectively shall comprise the Faculty Senate Executive Committee (FSEC). Each year, a Chair-elect will be elected for three-year terms in a manner consistent with the Bylaws. ~~Upon the election, e~~Each position will advance; the previous Chair-elect, becomes Chair, and the previous Chair becomes the Past-chair. The formal date of advancement shall be August 1. Upon election, the Chair-elect, Chair, and Past-Chair, and IFC-elect, if not already members of the Senate, shall be eligible to participate ex officio in the deliberations of the Senate. IFC and Senate Officer elections and terms comply with section 300.020.E.2. and 20.100 of the UM System CRRs.

a. The Chair is the presiding officer of the Senate. It shall be the responsibility of the Chair to set the meeting schedule of the Senate and of the general Faculty meetings. The Chair shall be responsible for setting the agenda for both the Senate meetings and the general Faculty meetings, and for their distribution to all members of the voting Faculty. The agenda shall be set after consultation with the Senate Executive

Committee. The Chair shall serve on the IFC during his/her term in office.

b. The Past-Chair shall preside in the absence of the Chair, shall serve as the parliamentarian of the Senate, and shall be [the chair of Faculty Elections and an ex-officio member and Chair of the Election Committee](#) to validate Faculty votes.

c. The Chair-elect shall serve as secretary, and record the minutes of the general Faculty meetings and the Senate meetings, and distribute them to all Faculty members, and make them available on-line through the Senate website. The Chair-elect shall excuse absences of Senate members and shall maintain attendance records.

d. Should a Chair resign, that office will be assumed by the Chair-elect for the remainder of the term. Should the Chair-elect resign, a new special election will be held to fill the vacancy for the remainder of the term. Should the Past-Chair resign, the Senate will elect a Senator to fill the role and duties of the Past-Chair for the remainder of the term. In the case of a Chair resignation, the Chair-elect will serve out the remainder of the resigning Chair's term for that year, and then serve the next year as the Chair as if normal progression had occurred.

e. In the case of an IFC vacancy, the Senate shall determine at a regular meeting whether to fill the vacancy temporarily or for the duration of the unexpired term. For a temporary replacement, the Senate shall elect a current or prior Senate member to fill the vacancy. For replacements for the unexpired term, nominations will be requested among current or prior Senate members, and a ballot containing the names of nominees will be sent to all voting Faculty. The person getting the highest number of votes will assume the office for the duration of the unexpired term. Should that person be unable to serve, the person with the next highest number of votes in that election will assume the office. In urgent cases, so as to provide full representation at IFC, the Senate Executive Committee may appoint a current Senator to attend IFC meetings until the Senate can address the vacancy at its next regular or special meeting.

f. Faculty Senate Executive Committee members shall not serve more than two consecutive terms of office.

6. **Committees**

a. The [Senate Executive Committee](#)~~FSEC~~ shall consist of all campus-wide elected members of the Senate.

b. The Senate may establish standing committees as deemed necessary, in accordance with the Senate Standard Operating Procedures. They will report to the Senate, and through the Senate to the Faculty at regular general Faculty meetings.

c. The Senate may establish ad hoc committees as deemed necessary. They will report to the Senate, and through the Senate to the Faculty at a regular general Faculty meeting.

d. When committee nomination requests are received from the campus administration or from the Student Government Association, the Senate will designate nominees if it deems such action to be appropriate, following all applicable Collected Rules and Regulations. The Senate shall report at the next general Faculty meeting all requests and actions taken.

e. Each committee shall annually submit a written review of its actions which will be forwarded to the Faculty along with the minutes of the Senate's final meeting of the year.

7. Operations: Standard Operating Procedures (SOP)

a. The Faculty Senate shall have a written document of standard operating procedures (the "Standard Operating Procedures" or "SOP").

b. The procedures articulated in the SOP shall be consistent with these Bylaws.

c. The FSEC shall be responsible for proposing the initial SOP and any amendments to the SOP to the Faculty Senate.

d. The Faculty Senate shall adopt the SOP by majority vote.

e. The Faculty Senate shall adopt any amendments to the SOP by majority vote.

f. The FSEC shall ensure that the SOP be available on the Faculty Senate website.

F. Bylaws and Amending Procedures

1. These Bylaws are subordinate to all Bylaws, rules, regulations and policies established by the University or adopted by The Curators of the University of Missouri.

2. Ratification of amendments

~~(1)~~a. Amendments must have two readings in the Senate and be passed by secret ballot after the second reading.

~~(2)~~b. Amendments, passed by the Senate, must be circulated to the voting Faculty for an electronic election with two weeks allowed for voting. ~~together with a mail-in ballot to all voting Faculty two weeks before the general Faculty meeting at which they are to be presented officially.~~

~~(3)~~ Amendments must be ratified by a majority vote of mail-in ballots with a receipt deadline of 2 weeks after the general Faculty meeting.

c. Amendments are approved by a majority of the faculty who vote, as defined in B.1 of these bylaws.

3. These Bylaws and amendments thereto become effective upon ratification by the Board of Curators.

~~A. Standard Operating Procedures—The voting Faculty shall maintain Standard Operating Procedures consistent with these Bylaws.~~

300.020 Faculty Bylaws of the University of Missouri-Kansas City

Min. 10-12-73; Amended Bd. Min. 11-18-77, 6-27-80, 11-19-82, 12-7-84, 6-6-08, 10-21-11, 6-14-13; Amended 4-10-15, Amended 6-17-16.

A. **Purpose of the Governing Practices** -- The UMKC Faculty will nurture the educational development of the student, the institution, and the community by transmitting knowledge, cultivating creativity, fostering leadership, sharing research, modeling civil discourse, and demonstrating critical engagement. The purpose of these Bylaws is to establish a body which represents the voice of the Faculty and to establish an effective vehicle for the needs and concerns of the Faculty to be presented for discussion and debate. These Bylaws assume that Faculty may participate in academic decision processes. The right of faculties to organize and to carry out the responsibilities and functions delegated to them by the Board is recognized in Section 10.030.E.2.

B. **Membership** -- The University of Missouri-Kansas City Faculty shall consist of the President of the University, the Chancellor, and all persons on benefits-eligible academic appointments.

1. **Voting Faculty** -- For purposes of campus- and University-wide elections, those individuals eligible to vote shall consist of all tenured and tenure track and all full-time, ranked and unranked, non-tenure track faculty, including Librarians I, II, III and IV; as defined in Section 310.035A of the Collected Rules and Regulations, provided that the individual is .75 FTE or greater and holds an appointment of at least nine (9) months duration. In addition, faculty in any academic unit whose percentage of effort in routinely overseeing and participating in the instructional mission of the University is comparable to the foregoing, but who are not paid directly by UMKC, shall be eligible to vote in campus- and University-wide elections. Criteria utilized by such units in determining its faculty whose percentage of effort in routinely overseeing and participating in the instructional mission of the University is comparable to the foregoing must be approved in advance by the Faculty Senate. The foregoing voting eligibility rules are not intended to define the eligibility of faculty to vote in school or college elections and the eligibility to vote in such school or college elections shall be defined by the rules of such school or college. Campus-wide faculty votes on issues specific to tenure or tenured/tenure track (T/TT) faculty will be restricted to T/TT faculty.
2. **Power** -- The powers of the voting Faculty of UMKC include authority in all matters pertaining to education, research and service as granted to the Faculty by the Board of Curators. It shall have such other authority as is delegated to it by the President and/or the Chancellor. These powers are vested in the UMKC Senate unless limited by the University's Collected Rules and Regulations.
3. **Meetings** -- There shall be at least one general meeting of the voting Faculty per year. The Chair of the Faculty Senate shall give notice of and shall preside at such meetings. The Faculty Senate shall report to

the voting Faculty at such meetings and shall invite input and advice from the Faculty on issues of concern.

a. Additional meetings of the voting Faculty may be called by the Chancellor or the Chair of the Senate, or upon the request of 20 percent of the Senate or upon the written request of 10 percent of the voting Faculty.

b. Within ten days of the notice of placing of an item on the Senate agenda, upon the request of a majority of the Senate or upon the written request of 10 percent of the voting Faculty, the Chair of the Senate shall transfer the item from the Senate agenda to the agenda of a meeting of the voting Faculty for discussion and action by that group.

C. **Colleges, Schools, Conservatories, Libraries and other units**

1. **Definitions** -- A college, school or conservatory (hereinafter colleges, schools, or conservatories will be referred to as schools) is a unit which offers or supervises programs of study leading to baccalaureate or advanced degrees. A unit or combination of units, offering courses which do not lead to a degree, is not a school.

2. **Schools** -- Presently existent schools are: College of Arts and Sciences, Henry W. Bloch School of Management, School of Biological and Chemical Sciences, School of Computing and Engineering, School of Dentistry, School of Education, School of Law, School of Pharmacy, the UMKC Conservatory, School of Graduate Studies, School of Medicine, School of Nursing and Health Studies.

3. **Libraries** -- Libraries include: Miller Nichols Library, Leon E. Bloch Law Library, Health Sciences Library.

D. **Faculties of the Schools**

1. **Membership**

a. The Faculty shall consist of the President of the University, the Chancellor, the Dean of the School, and all persons with academic appointments who are assigned to the school. The Faculty shall be primarily responsible for the quality of the school's undertakings. Other non-regular, administrative or extension personnel who hold appointments within the school may be added to the voting Faculty of the school as defined by the school's bylaws.

b. Faculty whose work is divided between programs of two or more schools (other than the School of Graduate Studies) may participate in deliberations of these schools, but shall be a voting member of only the school in which they hold their primary appointment.

c. The Faculty of the School of Graduate Studies consists of UMKC Faculty (Section 300.020.B) who hold graduate or doctoral appointments. Faculty of the School of Graduate Studies may vote and be elected to offices or committees in this school as well as to offices and committees of the school in which they hold their primary appointment.

2. **Meetings** -- At least four regular meetings of the Faculty of a School shall be called annually according to the procedures adopted by the school. A special meeting may be called at any time by the Chancellor or by the Dean of the school and must be called if requested by one-fourth of the membership of the Faculty or as otherwise provided by the Bylaws of the school. Written notification of any meeting of a Faculty shall be mailed at least three days prior to the meeting to all members of the Faculty except in the case of an emergency meeting in which case any action taken becomes an item for reconsideration on the agenda at the next regularly scheduled meeting of that Faculty. Each Faculty shall determine its own definition of a quorum of its membership and decide upon a procedure which enables the membership of that particular Faculty to carry out its business in a responsible as well as efficacious manner. Copies of the minutes of each meeting shall be supplied to each Faculty member of the school and to the Chancellor.
3. **Powers** -- The Faculty of a school shall establish procedures and policies governing the work of the school.
 - a. **Bylaws** -- Each school shall have a written set of Bylaws prepared in such a manner as is determined by the Faculty of that school. These Bylaws shall implement the provisions of this section of the UMKC Bylaws. A copy of these Bylaws and any subsequent amendment thereto shall be filed with the Chancellor and the Chair-elect of the Senate. The Bylaws shall not contain any provisions inconsistent with the UMKC Bylaws.
 - b. **Curriculum and Degrees** -- The Faculty of a school and/or department, together with the appropriate administrative officers, shall be responsible for recommending all academic courses and programs and for recommending candidates for degrees.
 - (1) The Faculty of each school, through its dean, shall file with the registrar a copy of its admission and retention standards, its degree requirements, and individual course additions and deletions. The registrar shall distribute copies of such standards, requirements and course additions and deletions to the Chancellor and the deans of the other schools.
 - c. **Selection and Retention of Academic Faculty** -- The Faculty of each school and/or department or other teaching unit shall establish criteria and specify procedures to be followed, as a general policy, in recommending the selection, retention and promotion of members of the Faculty.
 - (1) As a general policy all academic staff appointments to a School Faculty shall be made after the Dean of the school has received a written recommendation from an appropriate department committee or equivalent teaching unit. The Dean shall forward the recommendation of the committee with his/her own recommendation to the Chancellor.
 - (2) Recommendations for promotion and/or tenure, and to reappoint or not to reappoint, shall be made by the Dean of the school after receiving a written recommendation from an appropriate department committee or equivalent teaching unit.

The Dean shall forward the recommendation of the committee with his/her own recommendation to the Chancellor.

d. **Selection of Deans** -- As a general policy, recommendations for the selection of deans in any school shall be made by the Chancellor after consultation with an appropriate committee which will include members of the Faculty of that school. This consultation procedure shall not abrogate the final responsibility and authority of the Chancellor to recommend a dean's appointment or replacement.

e. **Selection of Department Chairs, School Division Chairs and Directors** -- As a general policy, the Dean shall recommend appointment or replacement of a department Chairperson, school division Chairperson or Director only after consultation with the Faculty of the department, subdivision or sub-unit concerned. This consultation procedure shall not abrogate the final responsibility and authority of the Dean to recommend the appointment or replacement of a department Chairperson, school division Chairperson, or Director.

f. **Evaluation of Academic and Professional Administrators** -- The voting Faculty of each school shall participate in the regular evaluation of their academic and professional administrators.

(1) A School Faculty, by formal action at a regular meeting, or through its elected School Executive Committee or such other elected committee as is designated by the school in its Bylaws, may report on matters of common concern through the Executive Committee of the Senate, or directly to the Chancellor, and through him to the President of the University and the Board of Curators, and may make recommendations pertaining to any feature of the functioning of UMKC or the University.

g. **Budget Committee** -- Each school shall have an elected budget committee composed of representative Faculty. The Budget Committee shall receive from the Dean in timely fashion all information regarding the budget process; shall share that information with the Faculty of the school, and shall advise the Dean regarding objectives and funding priorities as well as necessary allocations to achieve those objectives.

E. **The UMKC Faculty Senate**

1. **Composition of the Senate** -- The Senate shall consist of two elected Faculty representatives from the Henry W. Bloch School of Management, School of Biological and Chemical Sciences, the School of Computing and Engineering, the School of Dentistry, the School of Education, the School of Law, the School of Pharmacy the UMKC Conservatory, School of Graduate Studies, School of Medicine, School of Nursing and Health Studies and the Library. The College of Arts and Sciences shall have one representative from each of its three divisions plus one additional member selected by the college. The Chairperson of the Steering Committee of A & S shall be a member of the Senate by virtue of his/her office. The Senate may elect to accept as non-voting members representatives of major campus constituencies, such as the Staff

Council and the Part-Time Faculty Association.

- a. In order that the Senate maintain close ties with the units, it is recommended that one representative from each unit be the Faculty Chairperson of the unit or member of its executive body.
- b. Those who are eligible to serve as representatives shall be UMKC voting Faculty. Members of the Executive Committee must be voting Faculty.
- c. Elected representatives to the Intercampus Faculty Council, known as IFC, shall be members of the UMKC Faculty Senate for the duration of their terms.
- d. Officers of the Senate shall be members of the Senate for the duration of their terms.

2. Terms of Office and Elections

- a. Senate members shall be elected early in the winter semester, to take office at the first Senate meeting the following fall.
- b. Senate officers shall serve staggered, three-year terms.
- c. IFC members shall serve three-year terms and shall be Senate members for the duration of their terms on the IFC.
- d. Elected Faculty representatives shall serve two-year terms, except for representatives who serve by virtue of their membership on a unit executive body; they shall serve one-year terms.
- e. Members may succeed themselves without restriction. Officers are limited to two consecutive terms.
- f. Should an elected representative be unable to complete his/her term, that vacancy shall be filled by an election as soon as possible.
- g. Senate members shall be elected by the represented units.
- h. Senate officers and IFC representatives shall be elected by the voting Faculty by secret ballot.

3. Powers -- The power of the voting Faculty of UMKC, as defined in CRR 300.020.B.2, shall be delegated to the Faculty Senate. The Senate may make recommendations pertaining to any feature of the functioning of the University to the Chancellor, and through the Chancellor to the President and/or the Board of Curators.

- a. The Senate, in cooperation with the administration, shall provide for Faculty participation in the regular evaluation of those campus-wide officers of the administration included in the Academic Tenure Regulations.
- b. The Senate, by formal action at a meeting of the general Faculty, or at a Senate meeting, may report to the Chancellor on matters of common concern, and through the Chancellor or through the Intercampus Faculty Council to the President of the University and the Board of Curators, and may make recommendations pertaining to any feature of the functioning of UMKC or the University.

c. The Senate shall serve as a liaison between the Faculty and the Chancellor and the campus' administrative officers. The Senate shall serve as a liaison between the Faculty and the Intercampus Faculty Council. The Senate shall serve as a liaison between the Faculty and the Student Government Association and the Intercampus Student Council.

4. **Meetings**

a. The meeting schedule for each semester shall be set by the Chair of the Senate; however, additional meetings may be called by the Chair, at the request of the Chancellor, or at the request of 20 percent of the Senate or 10 percent of the Voting Faculty.

b. Any Faculty member may appear before the Senate to express his/her concerns by sending a written request to the Senate Chair-elect, who shall thereupon notify the Faculty member of the time and place of the next meeting and invite him/her to attend.

5. **Officers of the Faculty Senate** -- Individuals eligible to run for Senate officer positions shall consist of all Voting Faculty who are ranked with a tenured/tenure-track appointment; ranked faculty with a non-tenure track appointment of the Associate rank or higher; and Librarians II, III, or IV. All candidates must have six years-experience as Voting Faculty at UMKC. Elected officers shall be the Chair-elect, Chair, and Past-Chair and the two IFC representatives who collectively shall comprise the Faculty Senate Executive Committee (FSEC). Each year, a Chair-elect will be elected for three-year terms in a manner consistent with the Bylaws. Each position will advance; the previous Chair-elect, becomes Chair, and the previous Chair becomes the Past-chair. The formal date of advancement shall be August 1. Upon election, the Chair-elect, Chair, and Past-Chair, and IFC-elect, if not already members of the Senate, shall be eligible to participate ex officio in the deliberations of the Senate. IFC and Senate Officer elections and terms comply with section 300.020.E.2. and 20.100 of the UM System CRRs.

a. The Chair is the presiding officer of the Senate. It shall be the responsibility of the Chair to set the meeting schedule of the Senate and of the general Faculty meetings. The Chair shall be responsible for setting the agenda for both the Senate meetings and the general Faculty meetings, and for their distribution to all members of the voting Faculty. The agenda shall be set after consultation with the Senate Executive Committee. The Chair shall serve on the IFC during his/her term in office.

b. The Past-Chair shall preside in the absence of the Chair, shall serve as the parliamentarian of the Senate, and shall be the chair of Faculty Elections and validate Faculty votes.

c. The Chair-elect shall serve as secretary, and record the minutes of the general Faculty meetings and the Senate meetings, and distribute them to all Faculty members, and make them available on-line through the Senate website. The Chair-

elect shall excuse absences of Senate members and shall maintain attendance records.

d. Should a Chair resign, that office will be assumed by the Chair-elect for the remainder of the term. Should the Chair-elect resign, a new special election will be held to fill the vacancy for the remainder of the term. Should the Past-Chair resign, the Senate will elect a Senator to fill the role and duties of the Past-Chair for the remainder of the term. In the case of a Chair resignation, the Chair-elect will serve out the remainder of the resigning Chair's term for that year, and then serve the next year as the Chair as if normal progression had occurred.

e. In the case of an IFC vacancy, the Senate shall determine at a regular meeting whether to fill the vacancy temporarily or for the duration of the unexpired term. For a temporary replacement, the Senate shall elect a current or prior Senate member to fill the vacancy. For replacements for the unexpired term, nominations will be requested among current or prior Senate members, and a ballot containing the names of nominees will be sent to all voting Faculty. The person getting the highest number of votes will assume the office for the duration of the unexpired term. Should that person be unable to serve, the person with the next highest number of votes in that election will assume the office. In urgent cases, so as to provide full representation at IFC, the Senate Executive Committee may appoint a current Senator to attend IFC meetings until the Senate can address the vacancy at its next regular or special meeting.

f. Faculty Senate Executive Committee members shall not serve more than two consecutive terms of office.

6. Committees

a. The FSEC shall consist of all campus-wide elected members of the Senate.

b. The Senate may establish standing committees as deemed necessary, in accordance with the Senate Standard Operating Procedures. They will report to the Senate, and through the Senate to the Faculty at regular general Faculty meetings.

c. The Senate may establish ad hoc committees as deemed necessary. They will report to the Senate, and through the Senate to the Faculty at a regular general Faculty meeting.

d. When committee nomination requests are received from the campus administration or from the Student Government Association, the Senate will designate nominees if it deems such action to be appropriate, following all applicable Collected Rules and Regulations. The Senate shall report at the next general Faculty meeting all requests and actions taken.

e. Each committee shall annually submit a written review of its actions which will be forwarded to the Faculty along with the minutes of the Senate's final meeting of the year.

7. Operations: Standard Operating Procedures (SOP)

- a. The Faculty Senate shall have a written document of standard operating procedures (the "Standard Operating Procedures" or "SOP").
- b. The procedures articulated in the SOP shall be consistent with these Bylaws.
- c. The FSEC shall be responsible for proposing the initial SOP and any amendments to the SOP to the Faculty Senate.
- d. The Faculty Senate shall adopt the SOP by majority vote.
- e. The Faculty Senate shall adopt any amendments to the SOP by majority vote.
- f. The FSEC shall ensure that the SOP be available on the Faculty Senate website.

F. Bylaws and Amending Procedures

1. These Bylaws are subordinate to all Bylaws, rules, regulations and policies established by the University or adopted by The Curators of the University of Missouri.
2. Ratification of amendments
 - a. Amendments must have two readings in the Senate and be passed by secret ballot after the second reading.
 - b. Amendments, passed by the Senate, must be circulated to the voting Faculty for an electronic election with two weeks allowed for voting.
 - c. Amendments are approved by a majority of the faculty who vote, as defined in B.1 of these bylaws.
3. These Bylaws and amendments thereto become effective upon ratification by the Board of Curators.

Amendments to Collected Rules and Regulations

320.090 Emeritus Designation

Background:

Collected Rules and Regulations, section 320.090 Emeritus Designation recommendations include making the process the same for both full time tenured and non-tenure track with ranked professorial titles and clarifying the role for the dean and provost in the process. The changes recommended include:

- Added Curators Distinguished Professor/Teaching Professor Emeritus titles
- Added a formal definition of retirement; has been some confusion in the past
- Made the process the same for both full-time tenured and non-tenure track with ranked professorial titles
- Added the dean and provost to the process and clarified that the chancellor makes the final decision.
- For academic administrator titles, made emeritus status available only to individuals who the faculty senate/council have recognized for meritorious service, with chancellor still making the final decision (or president in case of recommendation for the chancellor to receive emeritus status).

This recommendation was vetted through University of Missouri Provosts, Intercampus Faculty Council, General Officers and approved by General Counsel's office.

No. 11

Recommended Action – Amendments to Collected Rules and Regulations
Section 320.090, Emeritus Designation

It was recommended by Senior Associate Vice President Steve Graham and endorsed by President Mun Y. Choi, recommended by the Academic, Student Affairs and Research & Economic Development Committee, moved by Curator _____, seconded by Curator _____, that the following action be approved:

that Collected Rules and Regulations, Section 320.090, Emeritus Designation, be revised as attached.

Roll call vote of the Committee: YES NO

Curator Chatman
Curator Layman
Curator Snowden
Curator Sundvold

Roll call vote of Board: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Layman
Curator Snowden
Curator Steelman
Curator Sundvold
Curator Williams

The motion _____.

Chapter 320: Employment and Termination

320.090 Emeritus Designation

Bd. Min. 12-6-68, p. 34,190; Amended Bd. Min. 3-17-87; Amended 12-16-94; Amended 11-29-07; Amended 6-17-11; Amended 4-12-13; Amended 10-2-15.

- A. **Rule**—The procedure for granting the title of “Professor Emeritus/~~Emerita~~” ~~or~~ “Associate Professor Emeritus/~~Emerita~~” ~~or~~ “Curators Distinguished Professor/Teaching Professor Emeritus” shall originate with the retiring^[1] faculty member's department. The appropriate title shall be granted to ~~any member of the faculty on regular appointment~~ any member of the full-time tenured or non-tenure track faculty with a ranked professorial title in good standing at the time of ~~his or her~~their retirement, ~~who~~ when each of the following conditions have been met:
1. ~~The faculty member~~ Holds holds the rank of professor or associate professor and has been a member of the faculty for at least fifteen years; or has held the rank of professor in the faculty for at least five years;
 2. ~~The faculty member~~ hHas indicated the desire to receive emeritus status; ~~and~~
 3. ~~The faculty member's~~ Whose contributions to the department and the university are recognized as meritorious as determined by majority vote of the ~~tenured members of the department~~ members of the full-time departmental and eligible departmental voting faculty at the rank of professor or associate or full professor; ~~Whether non-tenure track faculty are eligible to vote on a recommendation of emeritus status for tenured faculty members will be determined by the departmental faculty.~~
 - 3-4. ~~The departmental faculty's recommendation will be transmitted to the~~ The school or college dean, who will add the dean's own recommendation and forward both to the provost. The and provost will review the recommendations of the faculty and the dean, add the provost's own recommendation, and provide their input, such determination and then being transmit all recommendations to ted by letter to the chancellor. The chancellor will review the recommendations and make a who makes a the final decision on award of an emeritus title.
- B. Administrators at the level of dean and above may be granted an emeritus title commensurate with their former positions (e.g., dean emeritus, provost emeritus). To be eligible, administrators must have held the rank of professor or associate professor at the university for at least five years, have indicated a desire to receive the emeritus title, and made contributions to the university ~~perceived as recognized as~~ as determined ~~recommended by vote of the faculty senate/council.~~ The recommendation will be such determination then being transmitted to the chancellor who makes a final decision. ~~The chancellor shall have the authority to grant such designation for eligible campus administrators. The, or in the case of the chancellor's candidacy, to the president.~~ president shall have the authority to grant such designation for an eligible chancellor.
- C. **Exceptions**
1. A retiring member of the faculty who is not covered by the above rule who has been recommended by majority vote of the eligible departmental voting departmental and faculty at the rank of professor or associate professor with a ranked professorial title ~~tenured members of the faculty of the department~~ and by the dean of the faculty member's school or college, ~~and on campuses with no schools or colleges,~~ by the provost may be awarded an emeritus designation by the chancellor when the faculty member
 - a. has retired in good standing;
 - b. has indicated the desire to receive emeritus status; and

c. ~~his or her~~their contributions to the department and the university are recognized as exceptionally meritorious.

~~2.—For purposes of this section, full-time members of the medical faculty may be considered to be on regular appointment and hence eligible under the above rules and exceptions for appointment to the emeritus designation.~~

~~D.—C.~~ Members of the faculty who have received the title of emeritus shall continue as members (non-voting, except with regard to votes on promotion and tenure recommendations by qualified professors emeriti who are serving on a special promotion and tenure committee or committees related to procedures for review of faculty performance under circumstances described in section 320.035.A.1.c and section 320.035.A.1.d or section 310.015.B.1.d.(1).(a) and section 310.015.B.1.d.(1).(b) respectively of the Collected Rules and Regulations) of the campus faculty; and their names shall appear in the list of Officers of Instruction and Administration in the university catalog. Persons retiring from the university who do not receive the title of emeritus shall receive no title designation.

[1] For purposes of this rule, retirement shall be defined as resignation from full-time employment with the University at the age of 55 or older.

~~E.—~~

Chapter 320: Employment and Termination

320.090 Emeritus Designation

Bd. Min. 12-6-68, p. 34,190; Amended Bd. Min. 3-17-87; Amended 12-16-94; Amended 11-29-07; Amended 6-17-11; Amended 4-12-13; Amended 10-2-15.

- A. **Rule**—The procedure for granting the title of “Professor Emeritus”, “Associate Professor Emeritus” or “Curators Distinguished Professor/Teaching Professor Emeritus” shall originate with the retiring^[1] faculty member's department. The appropriate title shall be granted to any member of the full-time tenured or non-tenure track faculty with a ranked professorial title in good standing at the time of their retirement, when each of the following conditions have been met:
1. The faculty member holds the rank of professor or associate professor and has been a member of the faculty for at least fifteen years; or has held the rank of professor in the faculty for at least five years;
 2. The faculty member has indicated the desire to receive emeritus status.
 3. The faculty member’s contributions to the department and the university are recognized as meritorious as determined by majority vote of the members of the eligible departmental voting faculty at the rank of professor or associate professor. Whether non-tenure track faculty are eligible to vote on a recommendation of emeritus status for tenured faculty members will be determined by the departmental faculty.
 4. The departmental faculty’s recommendation will be transmitted to the school or college dean, who will add the dean’s own recommendation and forward both to the provost. The provost will review the recommendations of the faculty and the dean, add the provost’s own recommendation, and transmit all recommendations to the chancellor. The chancellor will review the recommendations and make the final decision on award of an emeritus title.
- B. Administrators at the level of dean and above may be granted an emeritus title commensurate with their former positions (e.g., dean emeritus, provost emeritus). To be eligible, administrators must have held the rank of professor or associate professor at the university for at least five years, have indicated a desire to receive the emeritus title, and made contributions to the university recognized as meritorious as recommended by vote of the faculty senate/council. The recommendation will be transmitted to the chancellor who makes a final decision, or in the case of the chancellor’s candidacy, to the president.
- C. **Exceptions**
1. A retiring member of the faculty who is not covered by the above rule who has been recommended by majority vote of the eligible departmental voting faculty at the rank of professor or associate professor and by the dean of the faculty member's school or college, and, by the provost may be awarded an emeritus designation by the chancellor when the faculty member
 - a. has retired in good standing;
 - b. has indicated the desire to receive emeritus status; and
 - c. their contributions to the department and the university are recognized as exceptionally meritorious.
- C. Members of the faculty who have received the title of emeritus shall continue as members (non-voting, except with regard to votes on promotion and tenure recommendations by qualified professors emeriti who are serving on a special promotion and tenure committee or committees related to procedures for review of faculty performance under circumstances described in section 320.035.A.1.c and section 320.035.A.1.d or section 310.015.B.1.d.(1).(a) and section 310.015.B.1.d.(1).(b) respectively of the Collected Rules and Regulations) of the campus faculty; and their names shall appear in the list of Officers of Instruction and

Administration in the university catalog. Persons retiring from the university who do not receive the title of emeritus shall receive no title designation.

[1] For purposes of this rule, retirement shall be defined as resignation from full-time employment with the University at the age of 55 or older.

FINANCE COMMITTEE

FINANCE COMMITTEE

David L. Steelman, Chair

Darryl M. Chatman

Michael A. Williams

Jon T. Sundvold

The Finance Committee may have referred to it matters relating to the fiscal and accounting functions of the University and associated programs and policies.

1. The Vice President for Finance of the University or some other person(s) designated by the President of the University shall be an ex officio member of this Committee. The Vice President for Finance shall be responsible for transmitting Committee recommendations.
2. The Finance Committee shall be the Board Committee on investments.
3. The Finance Committee shall be the Board Committee on physical facilities and management services. The Finance Committee may have referred to it matters relating to the planning, building, maintenance and operation of the physical facilities of the University, and the purchasing of equipment and supplies utilized by the University.

University of Missouri



Board of Curators

Finance Committee Meeting

Wednesday, January 29, 2020
1:00 P.M.

This Board Committee Meeting is being held in conjunction with the February 6, 2020 Board Meeting.

Originating in 321 University Hall, Columbia, Missouri and at remote locations via conference telephone.

Public Session Dial-In Number: 888-606-4788
Participant Code: 177492#

AGENDA

PUBLIC SESSION – 1:00 P.M.

Call to Order – Chair Steelman

Roll Call of the Committee

Information

1. Update on Debt Issuance, UM (Rapp)

Recess

Update on Debt Issuance
UM

Planning is underway for the next issuance of University System Facilities Revenue Bonds. The proposed debt issuance will capitalize the Central Bank's financing of approximately \$337 million of capital projects previously approved by the Board of Curators. Approximately \$195 million of this amount has been funded on a temporary basis by the University's commercial paper program. The remaining anticipated balance consists of up to \$75 million in new debt for the NextGen Precision Health Institute project and \$67 million for external bond refunding opportunities. The issuance will only include this refunding component if market conditions continue to be favorable at time of issuance and savings can be realized.

The University of Missouri System issued a request for proposals for financial advisory services on November 15, 2019. At the conclusion of the RFP process, the University's core finance team handling the issuance will consist of the University's selected financial advisor, Thompson Coburn acting as bond counsel, and Gilmore & Bell acting as disclosure counsel. The University continues to evaluate candidates from its existing underwriter pool to act as lead underwriter for the issuance. Final underwriter selection will occur following the University's selection of a financial advisor.

Next steps for the issuance include working with the financial advisor to develop a formal plan of finance for the issue, updates with the rating agencies, and working with bond and disclosure counsel to draft all necessary bond documents. Once bond documents and the financial plan have been finalized, a special Board meeting will be scheduled to approve the same prior to issuance.

February 6, 2020

Update on Debt Issuance for Approved Capital Projects

University of Missouri System
Office of the Treasury



UM System Central Bank

- Established in 2010
- Serves as the internal bank and conduit to external financing for the University.
- Utilizes a centralized management methodology that offers flexibility and stability to the campuses and health system in terms of working capital investment returns and capital project financing.
- Capitalized by \$1.18 billion of external bonds and \$361 million of outstanding Commercial Paper
- Presently financing over 130 internal loans for the four campuses and health care system.

Debt Issuance Team

Bond Counsel



Disclosure Counsel



Underwriting Team

Morgan Stanley

Underwriting Team

J.P.Morgan

Underwriting Team



Components of Upcoming Debt Issuance

| Description | Existing Financing | Amount (\$) |
|------------------------------------------------|-----------------------------|----------------------|
| NextGen Precision Health Institute (New Debt)* | N/A | \$75,000,000 |
| MU Residential Life (Dobbs Group Replacement) | Tax-Exempt Commercial Paper | \$43,000,000 |
| MU Patient Centered Care Center | Tax-Exempt Commercial Paper | \$8,000,000 |
| MU South End Zone | Tax-Exempt Commercial Paper | \$20,000,000 |
| MU South End Zone | Taxable Commercial Paper | \$19,000,000 |
| Series 2012 Bond Refinancing | Tax-Exempt Commercial Paper | \$105,000,000 |
| Potential External Debt Refundings | Tax-Exempt Bonds | \$67,000,000 |
| | Total | \$337,000,000 |

*represents maximum amount

Plan of Finance

- Planning efforts are underway, however, the plan of finance has not yet been finalized
- Debt could be a mix of fixed and variable, short and long duration, tax-exempt and taxable
- Market conditions as well as the University's anticipated financing needs will influence the structuring decision
- Depending upon timing, a special Board meeting could be necessary to approve bond documents and the financial plan.
- **The planned debt issuance was accounted for by both Moody's and S&P in their recent positive rating decisions**

**Academic, Student Affairs and
Research and Economic Development
Committee**

ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE

Darryl M. Chatman, Chair

Jeff L. Layman

Phil H. Snowden

Jon T. Sundvold

The Academic, Student Affairs, Research and Economic Development Committee may have referred to it matters relating to curricula, faculty, students, research and economic development.

1. The Vice President for Research and Economic Development and the Senior Associate Vice President for Academic Affairs or some other person(s) designated by the President, and the Student Representative shall be ex officio members of this Committee and be responsible for transmitting Committee recommendations.

2. Academic and student affairs matters considered by the Committee may include, but are not limited to reviewing, implementing and monitoring strategies and policies regarding educational and instructional quality; student and faculty welfare; alignment of the University's academic mission with resources; academic programs and degrees; articulation and the transfer of students to and among member institutions; admission requirements, student services, academic standards, and requirements for graduation; distance learning, telecommunicated education and applications of educational and information technology in support of teaching, learning, research and creative activities; campus management of faculty workloads to assure equity, efficiency and effectiveness in the disposition of faculty efforts; learning climate, working climate and support mechanisms for faculty, staff and students; and faculty, staff and student conduct.

3. Research and economic development matters considered by the Committee may include, but are not limited to reviewing, implementing and monitoring strategies and policies regarding the University's overall contribution to the economic development of the state and to support professional development, outreach, and research at all University institutions within the context of their unique missions; aligning the University's research mission with its resources; the University's role in enhancing its research enterprise and bolstering the state's economy (such matters may include the advancement and growth of basic, applied, and clinical research; technology transfer; entrepreneurship; industry partnerships; and the development of intellectual capital for the benefit of the state); highlighting successful research and economic development efforts, partnerships, and innovations involving University institutions; and reporting on and ensuring accountability for research and economic development activities at University institutions.

University of Missouri



Board of Curators

Academic, Student Affairs and Research and Economic Development Committee Meeting

Thursday, January 30, 2020
10:30 A.M.

This Board Committee Meeting is being held in conjunction with the February 6, 2020 Board Meeting.

Originating in 321 University Hall, Columbia, Missouri and at remote locations via conference telephone.

Public Session Dial-In Number: 888-606-4788
Participant Code: 177492#

AGENDA

PUBLIC SESSION – 10:30 A.M.

Call to Order – Chair Chatman

Roll Call of the Committee

Action

1. New Degree Proposal, B.S. in Fitness Programming and Management, MU

Recess

New Degree Program Executive Summary Bachelor's of Science in Fitness Programming and Management, MU

The B.S. in *Fitness Programming and Management (FPM)* with a minor in *Business* program will provide all coursework necessary to prepare for the national American College of Sports Medicine (ACSM) Certified Personal Trainer (CPT) Exam. Our unique degree, in conjunction with field certification significantly elevates graduates and bolsters job opportunities in roles such as fitness specialists, corporate wellness directors, personal trainers, group fitness instructors, health coaches, and physical activity and fitness leaders. The minor in *Business* further separates our graduates providing them the problem-solving skills and industry knowledge that most fitness professionals lack. Our graduates will to be qualified in additional roles such as sales, consulting, and ownership. By creating a state-of-the-art online program, a network of graduates from across the nation will be able to tackle the issue of physical inactivity and chronic disease.

The job outlook for *FPM* graduates exceeds growth across all fields with the Bureau of Labor Statistics predicting 21% growth from 2012-2022. With the rise of obesity and chronic related diseases, along with the increasing cost of healthcare, there will be a need to train students who want to become fitness experts in the area of disease prevention. The current obesity rate in Missouri is 31 percent, up from 21 percent in 2000 and from 11 percent in 1990. There is great opportunity for our students to address these needs locally and impact the health of Missourians. A market analysis shows a strong demand for the *FPM* degree with little competition. The initial investment and risk are low while there is strong potential to generate large numbers of students and revenue, in line with strategic priorities.

The proposed program is 100% online targeted to distance students only. By keeping all students online, we intend to help build a community of learners sharing a common approach and perspective. Online learners are often non-traditional students. They can be mid-career professionals, active or retired military, folks considering a second career, etc. By designing chat rooms, group projects and other activities online we want our students to develop a community progressing through the coursework. If students are combining bricks and mortar classes with online classes on campus, they will likely not be fully engaged with their online community peers.

FPM builds on current faculty strengths and online courses already in existence. It is significantly different from the two other MU System degrees with similar names/fields, Nutrition and Fitness (PANEP) at MU, and Athletic Training at MU. PANEP is designed to prepare students for advanced learning and advanced degrees. FPM is also significantly different than MU Health Professions Athletic Training Degree. Athletic trainers are health care professionals who collaborate with physicians to provide preventative services, emergency care, clinical diagnosis, therapeutic intervention and rehabilitations of injuries and medical conditions. FPM graduates will not be eligible or qualified to sit for the national board exam of certified athletic trainers.

No.1

Recommended Action – BS Fitness Programming and Management, University of Missouri - Columbia

It was recommended by Sr. Associate Vice President Steve Graham, endorsed by President 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 BS Fitness Programming and Management to the Coordinating Board for Higher Education for approval.

| Roll call vote of the Committee: | YES | NO |
|----------------------------------|-----|----|
| Curator Chatman | | |
| Curator Layman | | |
| Curator Snowden | | |
| Curator Sundvold | | |

| Roll call vote of Board: | YES | NO |
|--------------------------|-----|----|
| Curator Brncic | | |
| Curator Chatman | | |
| Curator Graham | | |
| Curator Layman | | |
| Curator Snowden | | |
| Curator Steelman | | |
| Curator Sundvold | | |
| Curator Williams | | |

The motion_____.

**Bachelor of Science
Fitness Programming and
Management**

**New Degree Program Proposal
University of Missouri – Columbia**

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Executive Summary

The B.S. in *Fitness Programming and Management (FPM)* with a minor in *Business* program. will provide all coursework necessary to prepare for the national American College of Sports Medicine (ACSM) Certified Personal Trainer (CPT) Exam. ACSM is the world's largest and most influential organization in sports medicine, exercise science, and the promotion of physical activity and its co-benefits. Our unique degree, in conjunction with field certification significantly elevates graduates and bolsters job opportunities in roles such as fitness specialists, corporate wellness directors, personal trainers, group fitness instructors, health coaches, and physical activity and fitness leaders. The minor in *Business* further separates our graduates providing them the problems solving skills and industry knowledge that most fitness professionals lack. Our graduates will to be qualified in additional roles such as sales, consulting, and ownership. By creating a state-of-the-art online program, a network of graduates from across the nation will be able to tackle the issue of physical inactivity and chronic disease.

The job outlook for *FPM* graduates exceeds growth across all fields with the Bureau of Labor Statistics predicting 21% growth from 2012-2022 ⁽¹⁾. With the rise of obesity and chronic related diseases, along with the increasing cost of healthcare, there will be a need to train students who want to become fitness experts in the area of disease prevention. The current obesity rate in Missouri is 31 percent, up from 21 percent in 2000 and from 11 percent in 1990 ⁽²⁾. There is great opportunity for our students to address these needs locally and impact the health of Missourians. A market analysis (3.A.) shows a strong demand for the *FPM* degree with little competition. The initial investment and risk are low while there is strong potential to generate large numbers of students and revenue, which is consistent with MU's strategic priorities regarding enrollment growth.

The proposed program is 100% online targeted to distance students only. By keeping all students online, we intend to help build a community of learners sharing a common approach and perspective. Online learners are often non-traditional students. They can be mid-career professionals, active or retired military, folks considering a second career, etc. By designing chat rooms, group projects and other activities online we want our students to develop a community progressing through the coursework. If students are combining bricks and mortar classes with online classes on campus, they will likely not be fully engaged with their online community peers.

FPM builds on current faculty strengths and online courses already in existence. It is significantly different from the two other MU System degrees with similar names/fields, Nutrition and Fitness (PANEP) at MU, and Athletic Training at MU. PANEP is designed to prepare students for advanced learning and advanced degrees. FPM is also significantly different than MU Health Professions Athletic Training Degree. Athletic

trainers are health care professionals who collaborate with physicians to provide preventative services, emergency care, clinical diagnosis, therapeutic intervention and rehabilitations of injuries and medical conditions. FPM graduates will not be eligible or qualified to sit for the national board exam of certified athletic trainers.

1.0 Introduction

The Bachelor of Science in *Fitness Programming Management (FPM)* provides students with the knowledge and skills to assist individuals across the lifespan in adopting physical activity, exercise, and other healthy behaviors that lead to increased fitness, wellness and optimal health. Students are prepared to pursue national certifications provided by professional organizations in fields of study related to exercise, strength and conditioning, and sports medicine. Graduates will be experts at teaching exercise to most populations. Additionally, students will graduate with a Minor in Business preparing them for a variety of jobs in the fitness industry and beyond.

An entire list of learning objectives can be found in Appendix A. In general, *FPM* graduates will possess:

- skills in designing, implementing, administering and evaluating effective exercise/health promotion programs in private, worksite, community, health care, medical, and agency settings.
- foundational knowledge in fitness, exercise, and physical activity.
- methods for helping people make healthy behavior changes and lessen unhealthy behaviors.
- competencies required to obtain the Fitness/Exercise Personal Training and Group Fitness certifications.

The three word title “*Fitness Programming and Management*” concisely represent the goals of the degree and the skills our graduates will have.

“*Fitness*” is the body’s ability to function effectively and efficiently. It is not the same as exercise or health. It is multi-dimensional in nature and includes a variety of related but different components. These components are classified as “Health- Related” (cardiovascular, muscular strength, muscular endurance, flexibility, and body composition) or “Skill – Related” (agility, speed, power, reaction time, balance, coordination). The “Health-Related” components of fitness are obviously more important for health, longevity, and quality of life. The “Skill-Related” components are more important for performance and sport. The proposed degree will cover the science of fitness and how to modify/improve both “Health” and “Skill” related components.

Our graduates will therefore be able to work with a diverse set of clients and in multiple arenas. We strongly believe “*Fitness*” is the appropriate first word in the title.

“*Programming*” is an umbrella term that encompasses many things (assessment/evaluation, program design, exercise prescription, implementation, tracking, periodization). Graduates from the program will have a unique set of skills and be able to “program” exercise/fitness for a variety of populations.

“*Management*” refers to not only the Business minor that accompanies the degree, but implies graduates will be able to manage and run a business in the fitness industry. The already existing *Business* minor has the same rigor and content as the fundamental courses taken by business majors, yet preserves the flexibility in student schedules. For most students, the *Business* minor as a total package is far more valuable than a similar number of courses in one or two areas.

FPM is housed in the Department of Nutrition and Exercise Physiology (NEP) within the College of Human Environmental Sciences. The NEP mission at the University of Missouri is to improve the health of Missourians and the larger population through research, teaching and outreach related to nutrition and physical activity. NEP strives to be a diverse set of leaders, innovators and educators who promote improved human health through our focus on nutrition and physical activity. NEP seeks to train individuals across the nation to be resources for healthy and active lives to improve the health and well-being of our citizens. By creating a state-of-the-art online training, a network of graduates from across the nation will be able to tackle the issue of physical inactivity and chronic disease.

Undergraduates who earn this degree often pursue careers in such fields as:

- fitness centers
- college and university wellness and health promotion, schools
- community health agencies
- fitness manufacturing companies
- hospitals and medical facilities
- insurance companies
- nonprofit disease prevention agencies
- private health care organizations
- state and county health departments
- wellness centers
- worksite wellness and health promotion

2. Fit with University Mission and Other Academic Programs

2.A. Alignment with Mission and Goals

The University of Missouri's mission statement state:

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.

The proposed FPM degree program is in clear alignment with Missouri's mission of benefiting all Missourians through teaching, research, and service. FPM is also in alignment with the latest strategic plan for the University of Missouri to enhance academic opportunities for online and distance learners (*Excellence in Student Success, Goal 1A and 1B.*). The online program will make Mizzou education accessible to those who cannot be on campus and will enroll students who would not otherwise attend Mizzou.

The proposed program also meshes with the mission of the Department of Nutrition and Exercise Physiology to improve the health of Missourians and the larger population through research, teaching and outreach related to nutrition and physical activity. Graduates will be leaders in exercise delivery and will promote improved human health through physical activity. This objective additionally aligns with the University's greater mission of improving quality of life within Missouri through improved health.

2.B. Duplication and Collaboration Within Campus and Across System

Currently, *FPM* is not being offered at MU or any other system campus. In Missouri, Exercise Science is offered at Truman State, St. Louis University, Missouri Baptist, Westminster College, Drury University, Avila University, Rockhurst University, Lindenwood University, William Woods University, Missouri Valley, University of Central Missouri, and

Missouri State. These degrees are offered on campus only. FPM is different from these because it is offered completely on line, contains a Business minor as part of the degree, and is focused on practical applications of exercise technique. The program is thus unique and marketable.

At MU, the Department of Nutrition & Exercise Physiology's Physical Activity, Nutrition, and Human Performance (PANHP) (formerly Nutrition and Fitness) emphasis area is offered on campus only. It is designed to prepare students for advanced learning and certification as an Exercise Physiologist, as opposed to the online *FPM* degree which prepares students to work specifically as Personal Trainers and Group Exercise Leaders. The proposed online degree gives students the skills and knowledge to design, implement, administer and teach exercise programs and is uniquely positioned to attract and fill the fitness professional niche. Through new technologies such as video conferencing, students will learn and practice exercise technique, coaching skills, and advanced movements. In their last semester, students will attend a "virtual" workshop focusing on advanced techniques. The ability to teach exercise will be assessed through submitted videos, written papers, and online projects. Students in PANHP or any other program in Missouri do not learn these advanced training techniques and skills or are they assessed on their ability to demonstrate these teaching skills.

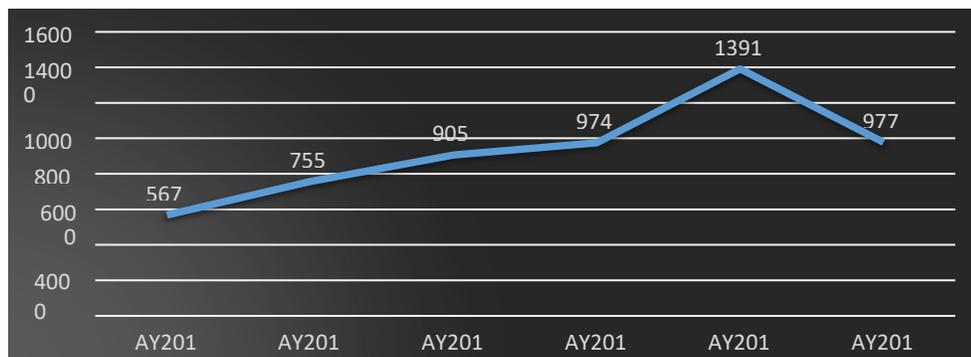
FPM is not duplicating any existing MU program and will not compete for students within the University of Missouri system. The program is designed for and targeted to non-traditional students. One hundred percent of *FPM* students will be distance students. Campus based students will be denied access to this program including MU campus transfers. MU Registrar processes and systems have been implemented which ensure only distance students access to the program. The program will not poach students from current programs and is not competing or duplicating any current program in Missouri. The FPM degree was specifically designed to be different than our normal departmental offerings on campus. Our normal offerings are anchored in the hard sciences; all either have the pre-med required courses or can be configured with minimal changes to fill all pre-med requirements. This involves courses in chemistry, physics, organic chemistry, biochemistry and more. Students on the MU campus have access to these core STEM courses. Online students often are not able to take organic chemistry with lab or biochemistry online. We designed an applied version of a degree for students without access to key STEM courses and laboratories.

3. Business-Related Criteria and Justification

3.A. Market Analysis

A market research analysis for an online Bachelor's in Human Environmental Sciences with an emphasis in Fitness Programming and Management was conducted by Mizzou Online, University of Missouri. According to Burning Glass Labor Insights, the six year demand for Bachelors' recipients with fitness skills increased from 5,677 postings in 2011 to 13,912 postings in 2016 (145% increase). These data are derived from the Bureau of Labor Statistics' SOC and O*NET codes. Based on analysis of real-time job titles and skill and education requirements, Burning Glass more accurately reflects current employer demand—separating out distinct occupations and consolidating similar occupations where real-time employer requirements do not vary significantly between job categories.

6-Year Demand for Recipients of Bachelor's or Higher With Fitness Skills (Sept 1, 2011 to Aug 31, 2017)

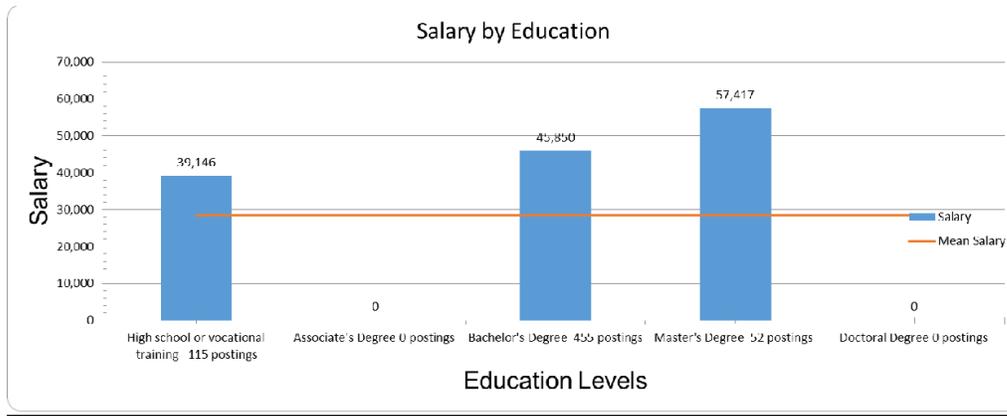


There is no question the demand for graduates with the proposed degree is high. Between 2012- 2017 the trend is significantly upward (74% annual average increase), despite the downward dip from 2016-2017, when the demand hit an enormous 145% increase over 2012.

Supporting the data presenting from Burning Glass Labor Insights, the U.S. Department of Labor expects employment in the field to increase by 13% from 2012 to 2022. Furthermore, O*NET Online indicates employment in the areas of exercise and wellness, kinesiology, and healthy lifestyle promotion will increase from 19-37% from 2010 to 2020 ⁽³⁾.

In addition, it is important to note that “Fitness” was listed first of the top 25 specialized skills in greatest demand using these occupations. The report indicates that the average salary for graduates with similar skills and degree is approximately \$46,572.

Salary by Education for Those with Fitness Skills (Sept 1, 2016 to Aug 31, 2017)



3.A.1. Need for Program

An abundance of research over the last 30 years has linked regular physical activity to better health, longevity, and overall improved quality of life ⁽⁴⁾. And yet, more than 60% of adults do not achieve the recommended amount of physical activity and an astounding 25% are not active at all. Also, nearly half of our young people age 12-21 are not vigorously active on a regular basis ⁽⁵⁾. Graduates from our program will be trained professionals improving the health of Missourians and beyond through exercise/physical activity. Our graduates will be the go-to exercise practitioners who will have the training and knowledge to benefit a wide range of populations spanning the globe. Students will be required to pass a national recognized personal training certification exam as part of their five hour exercise practicum course.

Growth will be driven by efforts to reduce health care costs by teaching people about healthy habits and behaviors. Graduates with a degree in “FMP” have developed the skills and strategies needed to teach safe exercise, promote physical activity and health in community, rehabilitation, academic, business, and agency settings. They are prepared for careers in roles such as personal trainers, group fitness instructors, fitness specialists, health coaches, wellness directors, and physical activity and fitness leaders. Currently, there is no online degree program similar to this in Missouri or nationally. Our program will reach the non-traditional student (military, working adults, veterans, caregivers) and offer quality education to those that otherwise would not be able to attend Mizzou.

3.A.2. Student Demand for Program

Given the growing evidence for and acceptance of exercise in the prevention and treatment of chronic disease, the timing has never been better for the role of the “Fitness Professional”. The proposed degree not only helps students develop the necessary skills and abilities to contribute to global health, but it prepares them to be able to develop a business model and increase the impact on the population. The market analysis (Burning Glass) presented here clearly demonstrates there is a strong need for the proposed program.

For the non-traditional, working adult, and single parent, this degree program will afford an opportunity to enhance their knowledge and skills in fitness and program management. They will be able to complete the degree while still maintaining a home, job, and family. The demand for individuals and quality businesses in the Fitness Industry continues to expand and this degree will improve the potential for successful careers as Fitness Professionals.

One key target population is military personnel. Soldiers enrolled in college courses earn points towards promotion and higher pay. Thus, online education is a means towards a degree and advancement. With the implementation of the G.I. Bill, online education has never been more attractive to this audience. There are currently 2.5 million military personnel eligible for the G.I. Bill. The state of Missouri has over 35,000 military members.

Service members are inherently interested in fitness, as it is part of their daily routine and job. Service members are required to carry heavy equipment, navigate diverse terrain, swim, run, jump out of planes, and pass fitness assessments. FPM is therefore an attractive degree option. In addition, the timing of this degree has never been more relevant. Just recently, the Army has placed a new focus to fundamentally change the culture of fitness⁽⁶⁾. The Army’s resurgent focus on fitness is happening on multiple fronts. Officials are developing new doctrine regulations and policies related to fitness. The antiquated assessments of pushups, sit-ups, and a two-mile run have been replaced by more contemporary functional fitness assessments. New and more rigorous standards have been developed for all Soldiers and recruits. In addition, the Army is instituting the *Holistic Health and Fitness Initiative*, which includes the creation of Soldier Performance Readiness Centers. Not only will this new military fitness focus help us recruit students, the Performance Readiness Centers will need more fitness experts, such as FPM graduates.

A niche market within the larger military market are those Soldiers in the Master Fitness Trainer (MFT) program. In order to become a MFT, Soldiers are sent to Fort Jackson, South Carolina for several weeks (142 hours) of instruction. Instruction includes the science of exercise, physical fitness assessment, exercise training principles, exercise prescription, exercise leadership, and program development. These are the key pillars of the FPM program. MFT candidates must pass multiple exams in order to receive a MFT certificate. After graduation, these soldiers, now referred to MFTs, return to their home battalion to serve as unit advisors on physical readiness and physical training. A close comparison of the MFT and FPM curricula, indicates three FPM introductory courses (9hrs) would be credited to MFT graduates. The head start will give MU the recruitment edge over competitors. In addition, the new military fitness push will require MFTs to learn new progressive training techniques not taught in the MFT curriculum. FPM will provide these Soldiers with the additional skills and knowledge they need to implement these innovative training methods.

In March 2017, Dr. Chris Hardin and Dr. Steve Ball visited Fort Leonard Wood Military Base to nurture relationships with base faculty and staff. They met with several MFTs and other officials. Although anecdotal, all four MFTs were excited about the possibility of an online FPM degree. There was a consensus that soldiers, not just MFTs, seeking online education would be attracted to a degree like FPM. NEP has the support of Lieutenant Colonel Gary Kerr, Chair Department of Military Science at MU (Appendix 6.C.). Conversations with Colonel Kerr indicate FPM will attract a significant number of military personnel from all over the world. MU Mizzou Online’s Military and Veteran Specialist, Derek Collier will make a minimum of twenty presentations annually promoting FPM.

Specific student projections are presented in tables 1a-c.

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 | 30 | 60 | 90 | 120 | 120 |
| Part-Time | 15 | 30 | 45 | 60 | 75 |
| Total | 45 | 90 | 135 | 180 | 195 |

Table 1c. Projected Number of Degrees Awarded

| Year | 1 | 2 | 3 | 4 | 5 |
|-----------------------------|----------|----------|----------|----------|----------|
| # of degrees awarded | 0 | 0 | 0 | 30 | 30 |

3.B. Financial Projections

Our model assumes a modest enrollment of 40 full time students and 20 half time students each Fall. We also assume it will take a full time student four years to complete the program and a part time student six to eight years to complete the program. In reality, most online degree seeking students transfer in around 50 credits and take longer to complete their degree. We recognize the projected enrollment numbers also assume zero attrition. Our modest expectations are taking these factors into account and give an overall big picture view of the profitability of the program.

3.B.1. Expenses

The proposed budget (in the financial projections spreadsheet) includes initial laptop purchases and replacement laptop purchases every two to three years. In addition, we anticipate an annual expense through the Academic Support Center for initial costs associated with video production, editing, etc. As we plan on keeping the courses current and state-of-the-art, we also budgeted revision costs through the Academic Support Center for updates to videos and other production features of the courses (revisions every three years on average). Staffing for the new courses will include one new full-time assistant teaching professor (including benefits) and adjunct faculty salaries for five three credit hour courses. Currently the Department of Nutrition and Exercise Physiology pays \$2,000 per student credit hour to adjunct faculty. Because student outcomes and four-year completion rate depend on quality advising, also included in the budget is a half time (0.5 FTE) academic advisor (including benefits since we expect this person to be split with another program). Once the program exceeds the projected numbers, the increased revenue can fund additional advisor capacity for the program. Finally, to ensure the success of our students and of the program we have budgeted \$10,000 a year for advertising the program and an annual allotment of \$1,000 to each of five faculty for continuing professional development to keep the faculty at the forefront of the discipline and online teaching.

3.B.2. Revenue

Mizzou Online allocates \$2 million each fiscal year to support the development of new online programs that provide a stand-alone credential and that will attract new students to the University of Missouri. FPM is exactly that program. NEP will apply for the maximum award of \$250,000 to cover initial costs of FPM. In fact, a proposal for these funds is complete and will be submitted if FPM receives Board of Curators approval. Mizzou Online has funded approximately 75% of proposals over the past five years.

Revenue will be derived from a combination of tuition sharing with campus, along with the College of Human Environmental Sciences supplemental fees generated by the program. The HES Dean is dedicating 100% of the generated fees from this program back into this program. Below is a budget justification describing proposed expenditures and revenue generation found in the required “Expenses Worksheet.”

Budget Justification

3.B.3. Net Revenue The revenue projections are based on a modest enrollment of 40 full time and 20 part time students per year. We include part time because this is a 100% online degree and many fully online students are working towards a degree while working full time. The break-even projections require only 12 full time and 8 part time students per year. The undergraduate credit hours estimated from these enrollments (see the financial projections spreadsheet for details) are based only on the Nutrition and Exercise Physiology courses required in the program and NOT any of the other online courses at Mizzou. Therefore, this program will contribute significant revenue to other departments that is not accounted for in this projection.

3.B.3. Financial and Academic Viability

Table 2
Enrollment End Year 5 for Program to
Financially and Academically Viable

| Viability | Minimum Enrollment |
|------------------|-------------------------------|
| Financial | 12 full time plus 8 part time |
| Academic | 10 |

Table 3
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> | 6,000 | 2,000 | 2,000 | 2,000 | 2,000 |
| <i>Library</i> | | | | | |
| <i>Consultants</i> | | | | | |
| <i>Other (course develop)</i> | 10,000 | 20,000 | 30,000 | 5,000 | 10,000 |
| Total one-time | 16,000 | 22,000 | 32,000 | 7,000 | 12,000 |
| B. Recurring | | | | | |
| <i>Faculty</i> | 55,000 | 55,000 | 68,100 | 87,222 | 88,366 |
| <i>Staff</i> | 30,000 | 30,000 | 30,600 | 31,212 | 31,836 |
| <i>Benefits</i> | 30,277 | 30,277 | 30,883 | 31,722 | 32,130 |
| <i>Equipment</i> | | | | | |
| <i>Library</i> | | | | | |
| <i>Other (PD plus Advert)</i> | 15,000 | 15,000 | 15,000 | 15,000 | 15,000 |
| Total recurring | 115,277 | 115,277 | 129,583 | 150,156 | 152,332 |
| Total expenses (A+B) | 146,271 | 152,277 | 176,583 | 172,780 | 179,332 |
| 2. Revenue per year | | | | | |
| <i>Tuition/Fees</i> | 95,314 | 212,414 | 367,369 | 511,971 | 544,650 |
| <i>Institutional Resources</i> | | | | | |
| <i>State Aid -- CBHE</i> | | | | | |
| <i>State Aid -- Other</i> | | | | | |
| Total revenue | 95,314 | 212,414 | 367,369 | 511,971 | 544,650 |
| 3. Net revenue (loss) per year | (79,557) | (3,588) | 80,765 | 185,599 | 201,923 |
| 4. Cumulative revenue (loss) | (79,557) | (83,145) | (2,380) | 183,219 | 385,142 |

3.C. Business and Marketing Plan: Recruiting and Retaining Students

NEP will work with the Mizzou Online marketing team to develop and implement a strategic marketing plan. If awarded Mizzou Online Program Development funds, a minimum of 20%, (up to \$50,000) of those funds will be dedicated to marketing. Our audience will be the non-traditional student, working adults, single parents, military, veterans, and caregivers. In particular, Mizzou Online's Military and Veteran Specialist, Derek Collier will make a minimum of twenty presentations annually at Yellow Ribbon events and Education Fairs. Yellow Ribbon events are to promote higher education to Missouri National Guard. Education Fair presentations promoting FPM will be delivered at Fort Leonard Wood, Whiteman Air Force Base, Scott Air Force Base, and Offutt Air Force Base. Specialist Collier will reach approximately 5000 service members and families annually. In addition, he will work directly with Military Education Directors from all Missouri Bases to promote FPM.

Besides traditional marketing, NEP faculty will use their reputation and connections within the exercise field and the fitness industry to help recruit both US and international students.

Relationships with other universities and even other countries are being cultivated. We are cautiously optimistic that NEP will offer a high quality product creating an internationally recognized degree program.

As the program grows, we expect to develop an international reputation for high quality training. Additionally, we expect that our faculty will make significant contributions through scholarship (presentations, publications, and grants) related to online fitness training. This increased exposure will further enhance the reputation of our proposed program and MU.

In order to help retention, faculty will engage with students developing strong working knowledge of applied fitness and program management through coursework and practicum. Student will work closely with faculty to develop a capstone project. This interaction and hands on experience will increase engagement and retention. Use of virtual classroom technology and simulation will be employed to bring our world-class faculty directly to students. For example, if faculty wanted to assess a student's proficiency at body fatness testing via skinfolds (pinching skin and fat), a student could visually be observed working with a client. The instructor can see and hear the student and the student can see and hear the instructor for immediate or delayed feedback. NEP faculty have experience and expertise in this type of "simulation" education and learning since 2015. Simulation bridges the gap between classroom and clinical experience. In addition to providing simulation-based assessments to determine competency, these experiences can be applied to learn, practice and hone fitness assessment techniques and fitness delivery.

4. Institutional Capacity

NEP faculty have extensive experience with online delivery. Dr. Stephen Ball (*FPM Program Director*) is a Kemper Teaching Fellow who has been teaching online since 2013. He is well known across campus for his course, *NEP 1340 Introduction to Exercise and Fitness* which recently received the 2017 Mizzou Online Course Design. *NEP 1340* is being used as a model for other online courses campus wide. Dr. Ball has also served on several online course committees and advisory teams including the *Online Course and Quality Program Campus Committee*, *Quality Course Online Advisory Committee* for MU Extension, and the *Self-Paced Online Advisory Committee*. NEP faculty will work directly with Dr. Ball and Mizzou Online instructional designers to create courses in the curriculum not offered online. Currently, NEP offers 7/13 courses online in the proposed curriculum online accounting for 19/39 student credit hours. All required courses outside of NEP are already offered online except Kinesiology which is currently being developed. The capacity to implement this program is unquestionable. Our goal is to create a high quality internationally recognized program that attracts non-traditional students worldwide.

5. Program Characteristics

5.A. Program Outcomes

Students are required to show proficiency in coursework and to complete a practicum. Upon completion, students will have mastered all topics in the core curriculum. This includes basic concepts and principles of health and fitness, the practice/application of fitness programming, and the basic principles behind starting a business. We expect that the graduate will take the knowledge learned in the course and apply it to improving the health and fitness in a variety of populations.

Upon completion of this degree, our students will be qualified to take a national certification from the American College of Sports Medicine as a Certified Personal Trainer (ACSM-CPT) or Group Exercise Instructor (ACSM-GEI). The Job Task Analysis (JTA) for the ACSM CPT describes what exercise professionals and our graduates will be able to do on a daily basis. It serves as a blueprint for our program. The comprehensive list of learning objectives can be found in Appendix 6.A.

The core Fitness program learning objectives are based on four performance domains.

Domain I: Initial Client Consultation and Assessment
Domain II: Exercise Programming and Implementation
Domain III: Exercise
Leadership & Client Education
Domain IV: Legal &
Professional Responsibilities

For each Domain, students will have knowledge “of” and skill “in “applying that knowledge.

Learning objectives for the Minor in Business also focus around multiple domains (Business Functions, Management and Leadership, Financial Intelligence). Graduates will have a basic understanding of business functioning and how to apply management concepts and approaches to business, including the fitness industry, using critical thinking and problem solving skills. The combination of fitness and business is novel and will be attractive to multiple audiences. The Business Minor Courses and Requires are found in Appendix 6.D.

5.B. Program Structure

This degree program is 100% on line, asynchronous, and semester based. Students can enter the program at the beginning of any semester. General Education requirements and approved courses from other institutions and entities may be able to be transferred for credit. An example of a four year curriculum planning outline is provided in Appendix 6.E. Upon completion of this academic program and as part of the student’s Capstone project, the student will be required to sit for, and pass, the ACSM Personal Training Certification. Upon graduation, the student also will receive a Minor in Business.

1. Total credits required for graduation: 120

2. Residency requirements, if any: 30 of last 36 hrs must be MU courses.

3. General education

Total credits for general education courses: 42

Courses (specific course or distribution area and credit hours):

| Course Distribution | Hrs |
|---------------------|-----------|
| Bio/Phys/Math Sci | 9 |
| Behavioral Soc Sci | 9 |
| Humanities/Fine Art | 9 |
| | |
| | |
| TOTAL | 27 |

| Course | Hrs |
|--------------------|-----------|
| Math 1000 | 3 |
| English 1000 | 3 |
| 1 st WI | 3 |
| Am Hist or Gov | 3* |
| Math Reas Prof | 3* |
| TOTAL | 15 |

| College of HES | Hrs |
|----------------|----------|
| HES Foundation | 3 |
| HES Foundation | 3 |
| Comm 1200 | 3* |
| | |
| TOTAL | 9 |

*Double Dip General Education

4. Major requirements

Total credits specific to degree: 67

Courses (specific course or distribution area and credit hours):

| Major Courses | Hrs | Supporting Area | Hrs | Business Minor | Hrs |
|---------------|-----|-----------------|-----|----------------|-----|
| NEP 1340 | 3 | MPP Physio3xxx | 5 | Econ 1014/1015 | 3 |
| NEP 1485 | 1 | HP Kines 4250 | 3 | Acct 2010/2027 | 3 |
| NEP 1034 | 3 | Chem 1000 | 2 | Marketing 3000 | 3 |
| NEP 2380 | 3 | | | Mgmt 3000 | 3 |
| NEP 3450 | 3 | | | Finance 2000 | 3 |
| NEP 2xxx | 3 | | | Business 3000 | 3 |
| NEP 3550 | 3 | | | | |
| NEP 2450 | 3 | | | | |
| NEP 4200 | 3 | | | | |
| NEP 3450 | 3 | | | | |
| NEP 3xxx | 3 | | | | |
| NEP 4xxx WI | 3 | | | | |
| NEP 4xxx CAP | 5 | | | | |
| TOTAL | 39 | TOTAL | 10 | TOTAL | 18 |

5. Free elective credits: 11

6. Requirement for thesis, internship or other capstone experience: Must pass ACSM or equivalent personal training certification exam.

7. Any unique features such as interdepartmental cooperation: None.

5.C. Program Design and Content

This program is designed as a 100% online degree program leading to a BS in Fitness Programming and Management. It is specifically designed for non-traditional students, including those already working in fitness settings, military personnel, and prospective students with an interest in the field, who are unable to attend traditional on-campus classes.

The degree program requires a minimum of 120 total credit hours to be completed in eight semesters. Requirements include credit hours from General Education courses, College of HES courses, Science Foundation courses, Core Curriculum courses, and Business courses. A sample curriculum and four year plan is attached (Appendix 6.E.)

5.D. Program Goals and Assessment

The goal of this degree program is to educate and train students to be experts at teaching physical activity and fitness to a diverse population. Graduates will be leaders in exercise delivery and will promote improved human health through physical activity. Graduates will be qualified to provide appropriate fitness programming and management to assist individuals across the lifespan in adopting healthy lifestyle behaviors. By creating a state-of-the-art online training, a network of MU graduates from across the nation will be able to tackle the issue of physical inactivity and chronic disease.

Students will achieve a national certification from the American College of Sports Medicine as a Certified Personal Trainer (ACSM-CPT) or Group Exercise Instructor (ACSM-GEI). These certifications, along with obtaining a Minor in Business, will allow our students opportunities to find employment in a variety of areas in the fitness industry.

Objective metrics will assess the effectiveness of FPM including, enrollment, time to degree completion, number of states/countries students represented, pass rates of the ACSM-CPT certification, number of working MFTs, employer satisfaction, and graduate satisfaction. . A FPM community website will be created for graduates to interact, share ideas, and network.

5.E. Student Preparation

Prospective students will meet University admittance qualifications. No prerequisites are required for admittance into the program.

5.F. Faculty and Administration

Dr. Steve Ball and Teaching Professor Dan Smith will serve as Co-Directors. Dr. Ball and Professor Smith will share teaching and

mentorship responsibilities with one full-time hire and six current faculty. One hundred percent of the new hire will be dedicated to this program. In addition to teaching courses, Dr. Ball, Professor Smith, and the new faculty member will supervise student practicum experiences.

5.G. Alumni and Employer Survey

The program will track and collect information from alumni. A one-year alumni post-graduation survey will be administered in July. The survey will be administered electronically using Survey Monkey. Expected satisfaction rates would be 80% to start. The program will include employer feedback. A survey will be administered one-year post graduation. It will be administered electronically using Survey Monkey.

5.H. Accreditation

N/A

Appendix A.

LEARNING OBJECTIVES

The core fitness program learning objectives are based on four performance domains, 1) Initial Client Consultation and Assessment, 2) Exercise Programming and Implementation, 3) Exercise Leadership & Client Education, and 4) Legal & Professional Responsibilities. For each Domain, students will have knowledge “of” and skill “in “applying that knowledge.

Domain I: Client Consultation and Assessment

A. Interview and provide client with clear documentation and instructions.

1) Knowledge of:

- a. components of and preparation for the initial client consult.
- b. components and limitations of a health/medical history, pre-participation screening. informed consent, and trainer-client contract.

2) Skill in:

- a. effective communication.
- b. obtaining a health history, medical clearance, and informed consent.
- c. utilizing multimedia resources (internet, email, phone, text).

B. Review and analyze client data to identify risk, formulate a plan, and conduct physical assessments.

1) Knowledge of:

- a. risk factors and signs and symptoms of disease.
- b. process of determining medical clearance.
- c. contraindications of exercise.

2) Skill in:

- a. teaching clients about risk reduction.
- b. determining fitness assessments based on consultation.
- c. fitness assessment administration.

C. Assess the components of health and/or skill related physical fitness to establish baseline values, set goals, and develop programs.

1) Knowledge of:

- a. human anatomy.
- b. kinesiology.
- c. physiological basis for improvements in fitness.
- d. the language of exercise.
- e. the health and skill related components of fitness.
- f. interpretation of fitness assessments.
- g. mechanisms for referral to a physician.

2) Skill in:

- a. accurately measuring heart rate and ratings of perceived exertion.
- b. selecting and administering cardiovascular fitness assessments.
- c. selecting and administering skinfold measurements.
- d. selecting and administering muscular strength/endurance assessments.
- e. establishing a plan and timeline for reassessing physical fitness, goals, and behaviors

Domain II: Exercise Programming and Implementation

- A. Select exercise modalities to achieve the desired adaptation based on the client's goals, medical history, and assessment results.

1) Knowledge of:

- a. selecting exercises and training programs based on client's age, functional capacity, and exercise test results.
- b. the principles of specificity and program progression.
- c. the advantages and disadvantage of interval, continuous and circuit training.
- d. advanced resistance training principles (e.g., super sets, Olympic lifting, pyramid training).
- e. the benefits, risks, and contraindications for a wide variety of resistance training, cardiovascular, and flexibility exercises.

B. Determine initial Frequency, Intensity, Time, Type, Volume and Progression (i.e., FITT Principle) of exercise based on client's goals, medical history, and assessment results.

1) Knowledge of:

- a. the recommended FITT principle for cardiovascular and musculoskeletal fitness in healthy adults, older adults, children, adolescents, pregnant women, and clients with stable chronic disease who are cleared.
- b. the components of an exercise training session.
- c. periodization for cardiovascular, resistance training, and conditioning program design and progression of exercises.
- d. adaptations of strength, functional capacity, and motor skills.

2) Skill in:

- a. demonstrating exercises to enhance cardiovascular endurance, muscular strength and endurance, balance, and range of motion.
- b. demonstrating a wide variety of functional training exercises (e.g., stability balls, balance boards, kettlebells, static resistance devices).
- c. establishing and monitoring levels of exercise intensity, including heart rate, RPE, pace and METs.
- d. using results from repetition maximum tests to determine resistance training loads.
- e. proper spotting positions and techniques for injury prevention and exercise assistance.
- f. designing and implementing exercise programs.

Domain III: Exercise Leadership and Client Education

A. Optimize participant adherence by using effective communication, motivational techniques and behavior strategies.

1) Knowledge of:

- a. verbal and nonverbal behaviors that communicate positive reinforcement.
- b. learning preferences and how to apply to teaching and training.
- c. applying health behavior change models that support adherence.
- d. barriers to exercise adherence and compliance.

2) Skill in:

- a. applying active listening techniques.
- b. using feedback to optimize training sessions.

C. Educate clients using scientifically sound resources.

1) Knowledge of:

- a. lifestyle factors, including physical activity and nutrition habits.
- b. the following terms: body composition, body mass index, lean body mass, anorexia, bulimia, and body fat distribution.
- c. the effectiveness of diet, exercise, and behavior modification for altering body composition.
- d. the Dietary Guidelines for Americans.
- e. the Physical Activity Guidelines for Americans.
- f. industry guidelines.
- g. the female athlete triad.
- h. myths and consequences associated with various weight loss methods.
- i. kilocalories in one gram of carbohydrate, fat, protein, and alcohol.
- j. accessing and disseminating scientifically-based, relevant, fitness-and wellness-related resources and information

Domain IV. Legal and Professional Responsibilities

A. Collaborate with health care professionals and organizations to create a network of providers who can assist in maximizing the benefits and minimizing the risk of an exercise program.

1) Knowledge of:

- a. professional resources and referral sources to ensure client safety and program effectiveness.
- b. the scope of practice for the Certified Personal Trainer and the need to practice within this scope.
- c. Identifying individuals requiring referral to a physician or allied health services (e.g., physical therapy, dietary counseling, stress management, weight management, psychological and social services).

B. Develop a comprehensive risk management program consistent with industry standard of care.

1) Knowledge of:

- a. resources available to obtain basic life support, automated external defibrillator, and cardio pulmonary resuscitation certification.
- b. emergency procedures.
- c. precautions taken to ensure participant safety.
- d. contraindicated exercises/postures and risks associated with certain exercises.
- e. potential musculoskeletal injuries, cardiovascular/pulmonary complications, and metabolic abnormalities.
- f. basic first aid procedures for exercise-related injuries.

2) Skill in:

- a. demonstrating and carrying out emergency procedures during exercise testing and/or training.
- b. assisting, spotting, and monitoring clients safely and effectively during exercise testing and/or training.

C. Safeguard client confidentiality and privacy rights unless formally waived or in emergency situations.

1) Knowledge of:

- a. practices/systems for maintaining client confidentiality.
- b. the importance of client privacy (i.e., client personal safety, legal liability, client credit protection, client medical disclosure).
- c. the Family Educational Rights and Privacy Act (FERPA), and the Health Insurance Portability and Accountability Act (HIPPA) laws.

2) Skill in:

- a. rapidly accessing client emergency contact information.

Appendix B.



Robert J. Trulaske, Sr.
College of Business
University of Missouri-Columbia

**Jeffrey A. Wiese, PhD Assistant
Dean of Undergraduate Programs
and Student Services**

110 Cornell Hall
Columbia, MO 65211-2600
Telephone: (573) 884-2823
wiesej@missouri.edu

September 19, 2019

Latha Ramchand, Provost
Matthew Martens, Associate Provost for Academic Programs 110 Jesse Hall

Dear Provost Ramchand and Associate Provost Martens:

Please accept this letter of endorsement for the Bachelor of Science in Fitness Programming and Management, with a minor in Business proposed by Department of Nutrition and Exercise Physiology (NEP). As Assistant Dean of Undergraduate Programs and Student Services in the Trulaske College of Business, I am aware of the proposal and welcome the potential increase in student credit hours in our online business courses. The interdisciplinary training with business broadens graduates potential job opportunities.

Please do not hesitate to contact me if you have concerns. Best,

A handwritten signature in cursive script that reads "Jeffrey A. Wiese".

Jeffrey A. Wiese, PhD
Assistant Dean of Undergraduate Programs and Student Services
Robert J. Trulaske, Sr. College of Business

Appendix C.



Department of Military Science Leadership

University of Missouri- Columbia
Columbia, Missouri 65211-4080

August 28, 2019

SUBJECT: Letter of Endorsement for the Fitness Programming and Management Bachelor's Degree Dear Provost Ramchand and Associate Provost Martens

I am writing this letter in support of Dr. Stephen Ball's proposal for the Fitness Programming and Management Bachelor of Science Degree. I reviewed Dr. Ball's proposal and have spoken to him at length regarding the value, application, and marketing potential of this degree for service members.

Now more than ever the services and in particular the Army, are focused on training functional fitness and expanding fitness based services to our Soldiers and their families. In an effort to better prepare our Soldiers for the physical rigors of combat while keeping them injury free the Army is incorporating elements from CrossFit, yoga, and other non - military centric fitness training into its physical readiness program. The services are not only concerned with developing programs for functional fitness, but they are focused on the full spectrum of physical readiness to include injury prevention and recovery, mental health and toughness, nutrition, sleep, flexibility, and strength.

With a reinvigorated focus on physical readiness, the Army is investing millions of dollars into our fitness programs. During fiscal year 2020, the army is transitioning from the Army Physical Fitness Test to the new Army Combat Fitness Test, which focuses on functional combat fitness. With the new testing, the Army is expanding formal fitness training through the Master Fitness Program. The Army is also increasing the number of contracted and government employed strength coaches, trainers, physical therapist, nutritionals, and sports phycologists.

After reviewing the Fitness Programming Management degree, I believe that this program ties in directly with what the Army is doing to increase our fitness culture and that the program will be of great interest to Soldiers and other service members. This program will serve to enhance what our Soldiers do on a daily basis and provide them with the ability to continue within the fitness industry after their term of service is over. The online nature of this program will meet the needs of our service members and allow them to work on their classes from any location, at any time, around the globe. This degree has the potential to dramatically increase access, interest, and ultimately change the nature of how the University of Missouri provides educational opportunities to our service members.

Please feel free to contact me at 573-882-7721 or kerr_ga@missouri.edu.

Sincerely,

A handwritten signature in black ink, appearing to read "Gary A. Kerr", written over a printed name.

Gary A. Kerr
Lieutenant Colonel,
US Army Professor
of Military Science



Appendix D.

10/24/19

Latha Ramchand, Provost
Alexander Cartwright, Chancellor

Dear Provost Ramchand and Chancellor Cartwright:

The Department of Nutrition and Exercise Physiology in the College of Human Environmental Sciences has submitted the full degree proposal for the BS in Fitness Programming and Management, Minor in Business. Included in the proposal are letters of support from the HES dean, Trulaske College of Business, and Mizzou Online.

For further information or clarification, please contact me directly.

Sincerely,

Matthew P. Martens
Associate Provost for Academic Programs

MPM: jb

Latha Ramchand, Ph.D. Date
Provost

Alexander N. Cartwright, Ph.D. Date
Chancellor

Appendix E.
Business Minor

| REQUIRED COURSES | CREDIT HOURS |
|---------------------------------------------------------------------------------------------------------|--------------|
| Introduction to Accounting (ACCTCY 2010)* OR Accounting I (ACCTCY 2026)** OR Accounting I (ACCTCY 2036) | 3 |
| Microeconomics (ECONOM 1014) OR | 3 |
| General Economics (ECONOM 1000) OR Applied Microeconomics (ABM 1041 - Formally AG ECON 1041) OR | |
| Fundamentals of | |
| Microeconomics | |
| (ECONOM 1024) OR | |
| General Economics | |
| (ECONOM 1051H) | |
| Survey of Business Finance (FINANC 2000) OR Corporate Finance (FINANC 3000) | 3 |
| Fundamentals of Management (MANGMT 3000) | 3 |
| Principles of Marketing (MRKTNG 3000) | 3 |
| Business Elective*** | 3 |
| Total Business Minor Hours: | 18 |

***Accountancy 2026 (Accounting I) is a 6-month self-paced online course offered through Mizzou Online. *Accountancy 2010 (Introduction to Accounting) is a one- semester survey class designed for non-business majors.*

****A Business Elective is any Accountancy (ACCTCY), Economics (ECONOM), Finance (FINANC), Management (MANGMT) or Marketing (MRKTNG) course above the 3000 level beyond what is already required for the minor.*

Appendix F.

CURRICULUM PLANNING SHEET

FALL I

BIO 1010/1020 (5)

HES Foundation (3)

MATH 1100 Algebra (3)

*NEP 1340 Intro to fitness (3)

*(Consider changing NEP 1xxx Ex Fit 1)

Humanities (3)

FALL II

Business Econ (3)

COMM 1200 Public Speaking (3)

PTH Anatomy (3)

NEP 2380 Diet Therapy (3)

Social/Behavioral Sci (3) WI

FALL III

HES Foundation (3)

NEP 4xxx Corp,Com, Per Fit (3)

Humanities (3)

Stat 1200 Intro (3)

Business Marketing (3)

FALL IV

HTH PR 4250 Kines (3)

NEP 4xxx Ex Eval & Implementation (3)

ESC PS 4200 Positive Psych (3)

Business Management (3)

Electives (4)

SPRING I

Am Gov (3)

Gen Chem (2)

English (3)

NEP 1485 Careers in Ex Sci (1)

NEP 1034 Intro to Nutr (3)

SPRING II

Business Acct (3)

MPP 3202 Elements of Phys (3)

NEP 3450 Act Thru Life (3)

Social/Behavioral Sci (3)

NEP 2xxx Exercise Techniques (3)

SPRING III

NEP 2450 Nutr Thru Life (3)

NEP 4200 Spts Perf (3)

NEP 3xxx Ex & Fitness II (3)

Business Finance (3)

Electives (3)

SPRING IV

Capstone (5)

Business 3000+ (3)

NEP 3xxx Eating To Win (Spts Nutrition) (3)

Electives (4)

Appendix G. UNIVERSITY of MISSOURI

OFFICE OF THE DEAN

COLLEGE OF HUMAN ENVIRONMENTAL SCIENCES

August 21, 2019

Latha Ramchand, Provost

Matthew Martens, Associate Provost for Academic Programs 110 Jesse Hall

Dear Provost Ramchand and Associate Provost Martens:

I am writing to express my unqualified endorsement of the proposed Bachelor of Science in Fitness Programming and Management, which is being put forward by the Department of Nutrition and Exercise Physiology (NEP). As you know, NEP is “headquartered” in the College of Human Environmental Sciences but is a collaboration between HES, CAFNR, and the School of Medicine.

The proposed undergraduate has a great many things to recommend it, from the holistic nature of its interdisciplinary training to the use of on-line instruction to attract non-residential students, and from its positioning to fill a gap in our academic programs to the clear case for market need. As an advocate of interdisciplinary training, I am thrilled to see this program draw heavily upon both HES and Trulaske College of Business course offerings. I am equally pleased that graduates of this program will receive integrated training in exercise and nutrition and thus able to offer well-rounded advice to the populations they serve. The cross-training with business will further enhance graduates’ ability to earn professional accreditations and enter into the widening arenas in which exercise professionals are needed and hired.

I believe this program will further enhance the national prominence of NEP, HES, and Mizzou. The fact that there are no existing online programs like this one in the state or nation should both bring great opportunities and visibility. In essence the proposed degree serves to further many of the critical objectives for “Excellence in Student Success” in *The Flagship of the Future* strategic planning document while at the same time enhancing our brand nationally. That it does all of this while serving a public good—considering national epidemic rates of obesity and related health problems—makes it a win-win situation.

Finally, I believe you will find that the proposal makes a great case about practical benefits and identification of the resources needed to develop and maintain a successful program. NEP has done a fantastic job assessing need and career opportunities, and their business plan for success is very compelling. I hope you will see the merit in this proposal and signal your readiness to allow it to go forward to next steps.

I am happy to answer any questions that come up in your review of this proposal.

With regards,



Sandy Rikoon

Dean, College of Human Environmental Sciences

Appendix H.

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AUDIT COMMITTEE

AUDIT COMMITTEE

Jeff L. Layman, Chair

Maurice B. Graham

David L. Steelman

1. The Audit Committee will assist the Board of Curators in fulfilling its oversight responsibilities relating to: the integrity of the University's financial statements, the systems of internal control, the performance of the University's independent auditors and internal audit function, the independent auditor's qualifications and independence, and the University's compliance with legal and regulatory requirements.

- a. The University Chief Audit Officer or some other person(s) designated by the President shall be an ex officio member of the Committee.
- b. The Audit Committee shall be the Board Committee on audit.
- c. The Audit Committee shall meet four times per year to consider business related to its audit function. Sufficient opportunity for the internal and independent auditors to meet with the Committee should be provided. At least annually, the Audit Committee, as part of its audit function, shall meet solely with the independent auditor and the internal auditor.
- d. The Audit Committee in its audit role may investigate any matter brought to its attention with full access to all records, facilities, and personnel of the University and the authority to engage other individuals as necessary to carry out its duties.
- e. The responsibilities of the Audit Committee in its audit function include, but are not limited to, a review of the internal audit plan, a review of audits completed, a review of annual audited financial statements, and recommending to the full Board of Curators the appointment of the University's independent and internal auditors.
- f. The Audit Committee may establish processes, procedures, and regulations governing their oversight of the internal and external audit process.

University of Missouri



Board of Curators

Audit Committee Meeting

Wednesday, January 29, 2020

10:30 A.M.

This Board Committee Meeting is being held in conjunction with the February 6, 2020 Board Meeting.

Originating in 321 University Hall, Columbia, Missouri and at remote locations via conference telephone.

Public Session Dial-In Number: 888-606-4788

Participant Code: 177492#

AGENDA

PUBLIC SESSION – 10:30 A.M.

Call to Order – Chair Layman

Roll Call of the Committee

Information

1. Internal Audit and Consulting Quarterly Report, UM (Piranio)
2. Integrity and Accountability Hotline Annual Report 2019 - UM (Piranio)

Action

1. Engagement of Independent Auditors and Related Fees, UM (Rapp)

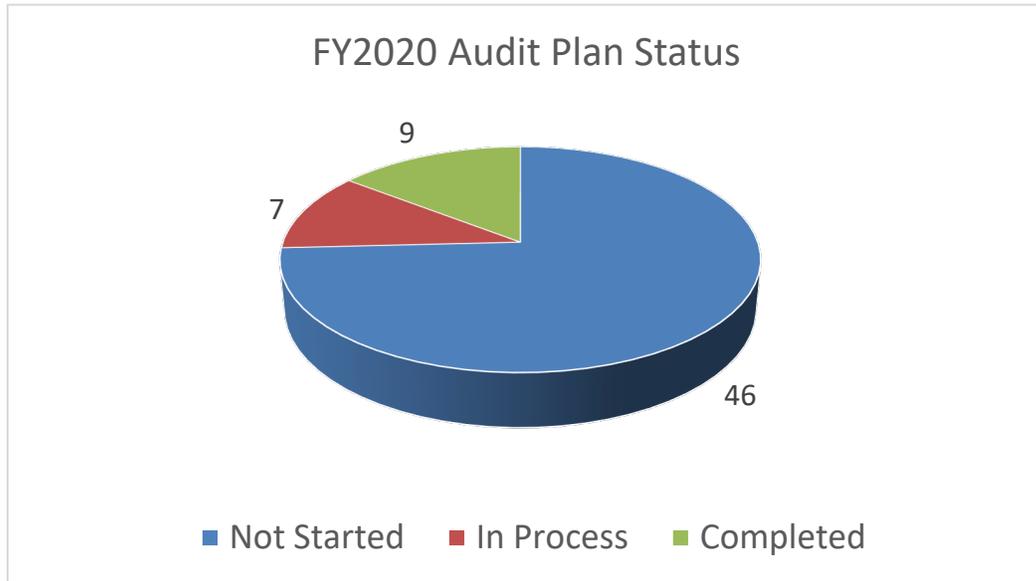
Recess

Internal Audit Quarterly Report - UM
University of Missouri
September 2020

Status of the FY2020 Rolling Audit Plan

- Nine audits completed
- Seven audits in process
- Forty-six audits not started

The following graph represents the status of the FY2020 Audit Plan.



Audit Performance

Internal Audit completed and issued three assurance report since the September 2019 meeting of the Board of Curators.

| Internal Audit Assurance Reports | Report Risk Rating |
|-------------------------------------------------------------------|--------------------|
| One Card Process, UM System, September 2019 | 1 2 3 4 5 |
| Cardiology PACS System, MU Health, September 2019 | 1 2 3 4 5 |
| General Officers' Expense Reports Review, UM System, October 2019 | 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.

February 6, 2020

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 6, 2020

Internal Audit Summary Report
UM System, One Card Process
September 2019



Audit Background

The previously separate travel and purchasing cards were integrated into the One Card program in 2016. The One Card program is designed to provide a more efficient means of making routine purchases and payments by reducing paperwork, allowing for more control at the school or department level, and streamlining the transaction cycle.

A key step in the transition to the One Card program was to move the paper-based reconciliation process from the JPMorgan (JPM) PaymentNet product to an electronic process within the PeopleSoft Travel & Expenses (T&E) module in the Fall of 2017. Moving the process to T&E allowed the utilization of existing electronic workflow approvals and allowed supporting attachments to be scanned and linked to the transaction.

Issues Summary

1. Coordinating audit and analytical reviews currently performed by Supply Chain Analytics, Accounts Payable Shared Services and MU Health will allow increased transparency into trends and issues across the procure to pay cycle.
2. Efficiencies can be gained through adoption of automated data analytic tools and monitoring routines across all procure to pay functions.
3. Training can be enhanced by requiring financially responsible individuals, delegates, and approvers to receive training prior to issuance of a card or assuming review and approval duties and by establishing a consistent process for tracking completion of training. Training would be like that required by cardholders.
4. Opportunity exists to reduce the amount of time for expense report submission and approval and enhance the controls related to transactions processed on cards while the cardholder is on leave.

Management Action Plan Summary

Management is addressing the issues identified. This work will be coordinated with the ongoing implementation efforts identified through the Administrative Review work. After action plans are complete management will have:

1. Developed a data driven monitoring program across One Card and Accounts Payable Shared Services to identify high risk areas, by securing the necessary tools and talent. This data will be utilized to inform and drive monitoring procedures.
2. Developed training for authorized signers. Training is already provided to card holders. Training will be tracked for approvers and card holders in one system.
3. Reduced the amount of time allowed for submission and approval of expense reports and improved communications points to notify card holders and approves that the deadline is approaching.
4. Implemented stricter sanctions for non-compliance with expense report submissions and approval timeline expectations, eliminating the need to delete unapproved expense reports. Implemented a process for monitoring cardholders on leave.

February 6, 2020

Risk Rating Rationale

The approval process for One Cards is appropriately controlled. Opportunities for enhancements that would improve the control environment were identified. Achievement of these enhancements will require leadership support at varying levels across the system.

**Internal Audit Summary Report
Cardiology Picture Archiving and Communications System
August 2019**



Audit Background

Cardiology Picture Archiving and Communications System (CPACS) is a medical imaging system that provides storage and retrieval of cardiovascular-specific images from various modalities including, but not limited to, cardiac ultrasound and X-ray angiography. The images and associated information are electronic protected health information (ePHI) as defined by the Health Insurance Portability and Accountability Act (HIPAA).

In 2016, Cardiovascular Administration at MU Health Care (MUHC) implemented a new McKesson CPACS to replace the legacy GE system that was being discontinued by the vendor. Because CPACS stores and transmits ePHI, it is Data Classification Level (DCL) 4 according to the UM Information Security (InfoSec) Program. This audit assessed the system's compliance with the InfoSec Program to obtain a high-level understanding of its overall security.

Issues Summary

CPACS is out of compliance with the following areas of the InfoSec Program:

1. Technical configurations. Some technical configurations are not compliant because the InfoSec requirement either does not match the vendor-recommended configuration(s) or the necessary functionality is not supported. Compensating controls are in place to address the risk related to these situations. In addition, some required logs are not preserved. This does not directly affect the security of the system, but rather the potential to detect and investigate issues.
2. The granting and revoking access process is not documented.
3. System and application assessments are not being performed at the appropriate intervals and the system is not enrolled in an Enterprise Vulnerability Scanning (EVS) tool. Note: CPACS was subsequently enrolled in the Cerner/Tiger Institute EVS on July 25, 2019,
3. Business Continuity. The business continuity approach is not documented in accordance with the System Business Continuity Classification (SBCC).

Due to the system's impact on MUHC IT security, the Health Information Security Officer was included in the exit meeting and supports both the audit findings and the management action plans.

Management Action Plan Summary

1. Compensating controls are in place for the technical configurations out of compliance with the Information Security Program. No additional action will be taken.
2. Management will document the process for granting and revoking access to CPACS and include the five requirements of a DCL4 system.

February 6, 2020

3. EVS enrollment will provide periodic re-assessments. No additional action is required.
4. Management will document the continuity approach in a Business Impact Analysis (BIA).

Risk Rating Rationale

Although CPACS is out of compliance with the InfoSec program in some areas, a risk rating of 2 has been assigned due to existing compensating controls for the technical configuration deficiencies and because the recent EVS enrollment will identify and report system vulnerabilities for remediation going forward.

**Internal Audit Summary Report
General Officers' Expense Report Review
October 2019**



Audit Background

All employees, including the general officers of the University of Missouri (UM) System, can be reimbursed for expenses incurred while on official University business. Since the UM System is a publicly funded institution, all employees should be good stewards of UM System funds. Further, the general officers set the tone in demonstrating good stewardship. Reimbursement can be claimed for different types of expenses such as business meals, moving, travel, or other miscellaneous expenses. Each type of expense has specific documentation requirements and policies surrounding how the funds can be reimbursed. Expense reports are submitted through the Travel and Expense portal within PeopleSoft. Once the expense reports are approved, the reimbursements are paid to the employee electronically.

Issues Summary

Based on the audit procedures, all expenses reviewed were allowable and the reports were appropriately approved in accordance with applicable policies. Possible enhancements to policies, procedures and associated guidance were discussed with UM System management, but no issues were noted that will require a management action plan.

Management Action Plan Summary

No action plan required.

In addition, the Office of Ethics, Compliance and Audit Services completed two investigations, and continues to monitor risks associated with the revenue cycle implementation initiative at MU Health.

Audits Currently in Process

| Audit Area | Overall Objective | Status | Risk Area(s) |
|-----------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------|
| MU-Grant Effort Reporting | Provide assurance that internal controls related to grant effort verification are adequate to comply with federal Uniform Guidance requirements. | Reporting | Compliance |
| MU Health – Revenue Generating Physician Contracts | Review of processes to ensure compliance with regulations and operational efficiencies. | Reporting | Compliance, Operations |
| MU- 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. | Reporting | Environmental Health & Safety |
| UMSL – 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. | Planning | Environmental Health & Safety |
| MU Health - Retail Pharmacies | Review of select financial and operational activities for the retail pharmacies. | Canceled – System is being replaced | Finance, Operations |
| UM System – Maxient Conduct Manager Security Review | Evaluate the configuration, operation and administration against the requirements of the UM Information Security program. | Fieldwork | Data Security |
| MU – International Programs Study Abroad | Assessment of controls over study abroad programs through the International Center and other academic units. | Planning | Student Safety, Reputation |

In addition, four investigations are currently in process.

February 6, 2020

FY2021 Risk Assessment Process

The FY2021 risk assessment will continue evaluating risks based on our strategic and business objectives and factoring in industry events and risks. The FY2019 risk assessment involved meeting with various functions across each university, the health system and the system. In FY2020 the risk assessment focused on more in-depth conversations with senior leaders at each campus and the health system to better connect strategic and business initiatives to risks and assess if an audit or consulting project would be of value in moving forward achievement of those initiatives.

This year's process will include management conversations, surveys, and quantitative data to:

- Confirm areas important to achieving major objectives
- Continue understanding the management actions for achieving major strategic and business objectives
- Gather university/school/departmental information about the nature of the work and systems used
- Begin incorporating data to better gauge materiality

The compliance gap analysis/ risk assessment work underway to inform implementation of the Ethics and Compliance program will provide additional information for:

- Research
- Data Security
- Campus Safety
- Environmental Health & Safety

The FY2021 Risk Assessment and adjustments to the Rolling Audit Plan will be presented at the June 2020 Audit Committee for recommendation for approval to the Board of Curators.

System Executive Audit and Compliance Committee

Work is underway with leaders across the UM System to establish an Executive Audit and Compliance Committee. Ethics, Compliance and Audit Services will be responsible to this Committee for work related to establishing the system-wide code of conduct/standards, compliance education and training program, and policy management. This committee will also oversee the risk assessment and internal audit work and have a key role in resolving compliance concerns that impact the overall system.

To stay current with compliance trends and risks across the system, this committee will receive periodic reports in areas such as Conflicts of Interests/Commitments, Investigations, Research Compliance, Healthcare Compliance, Finance Compliance, HR Compliance and other relevant areas.

February 6, 2020

The Chief Audit and Compliance Officer, Executive Director of Compliance and Executive Director of Internal Audit will provide support for this committee. A formal charter will be developed with input from leaders to clearly define roles and responsibilities.

University of Missouri System

Board of Curators

January 29, 2020

Audit Committee

Internal Audit and Consulting Report
UM



Summary of Internal Audit Activity

Since Sep 2019 Report to the Audit Committee

- Completed three internal audits, two investigations, and continue to monitor risks associated with the revenue cycle implementation initiative at MU Health
- Finalizing three internal audit reports
- Three internal audits in process
- Actively working four investigations
- Canceled the MU Health Retail Pharmacy Audit

One Card Process UM System



- Summary Observation

The approval process for One Cards is appropriately controlled with enhancement opportunities for improvements discussed with management

- Management Actions

Management actions will result in improved data analytics monitoring; reduced expense report approval times; stricter sanctions for non-compliance and training.

FY2021 Risk Assessment

- Continue assessing risks based on strategic and business objectives
- Factor in industry risks and events
- Achieve through management conversations, surveys and qualitative data

Present to the June Audit Committee for recommendation and approval to the Board of Curators

Executive Audit and Compliance Committee

- Discussions underway for establishing this committee
- Oversee initial work to establish the system-wide code of conduct, compliance education and training, and policy management
- Will receive periodic reports from compliance functions
- Plays a key role in resolving compliance concerns that rise to a system level

Chief Audit and Compliance Officer, Executive Director Compliance and Executive Director Internal Audit will staff and support this committee

2019 Integrity and Accountability Hotline

Continue improving benchmarks by:

- Raising employee awareness and responsibility to report issues
- Educating managers on how to respond to issues raised directly with them
- Ensuring a disciplined and consistent approach to investigating, analyzing, and resolving reported issues
- Developing a holistic view of issues across the UM System to spot areas of consistent concern

Questions?

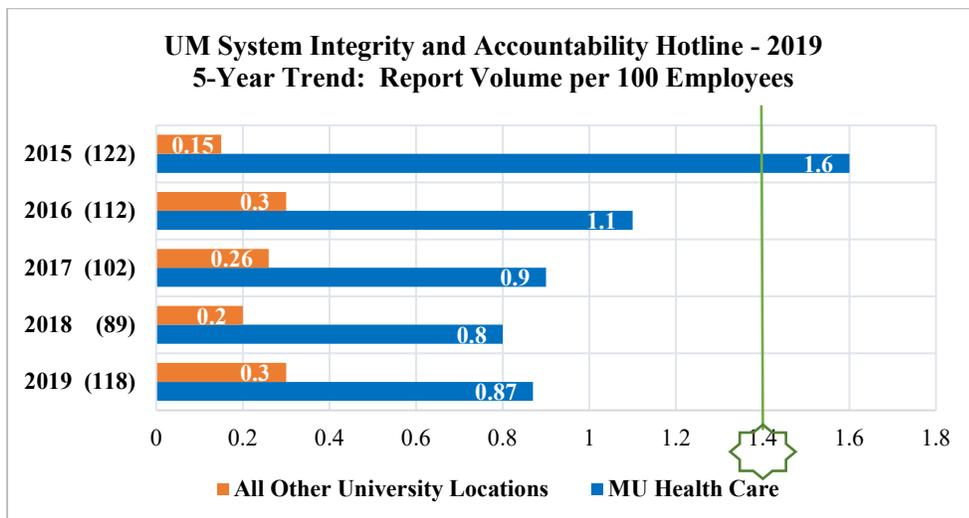
Integrity and Accountability Hotline Annual Report 2019
UM

The University of Missouri System first implemented a third-party-hosted hotline for reporting financial fraud in December 2007, further expanding it to include additional reporting categories in January 2011. In late 2018, the hotline transitioned to an updated platform (EthicsPoint), allowing for improved intake, report categorization, and case management capabilities. The hotline was also rebranded as the *Integrity and Accountability Hotline*, reaffirming the University System commitment to institutional accountability, transparency, and the protection of the university community. Throughout 2019, efforts to improve visibility and awareness of the hotline were executed across the University System, and resources were committed to hire a trained investigator, in support of improved investigation quality.

Analysis and benchmarking of hotline data helps an organization gain a better understanding of its culture, effectiveness of communications with employees, investigation quality, and employee knowledge of reporting channels. This report compares data collected through the UM System hotline 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 benchmarks utilized in this report are based on CY2018; CY2019 data will be published in April 2020). To provide a better understanding of the University’s program history and performance, we are including five years of data to illustrate trends.

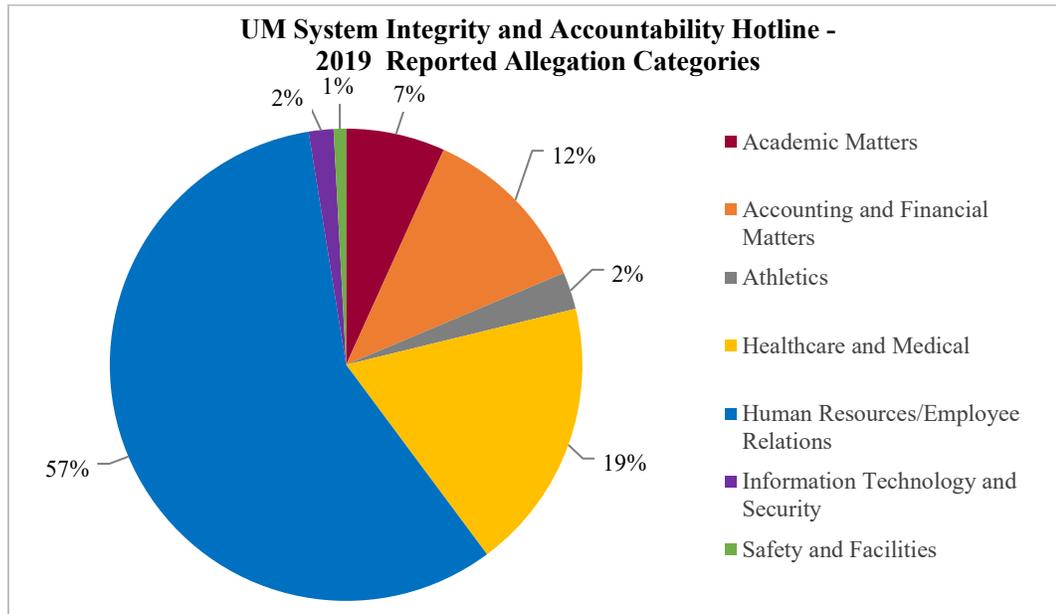
Report Volume per 100 Employees

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 three 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.



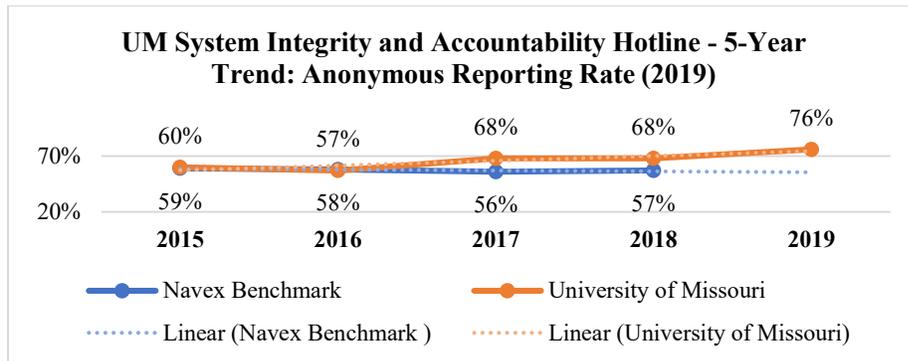
Report Allegation Categories

The kinds of reports an organization receives are an indication of areas where the organization may need to devote resources, as well as a potential measure of the effectiveness of efforts to address previously identified areas of concern. Fifty-seven percent (57%) of reports fell into the HR category; this is slightly lower than benchmark data, which fluctuates between 69 – 73%. Forty-one percent (41%) of the HR reports involved MU Health Care; 21% involved UMKC, and 10% involved MU. The highest percentage of reports in the Medical category were due to HIPAA-related issues (41%) and Patient Care/Rights issues (36%). Sixty-four percent (64%) of the Accounting and Financial reports involved Accounting/Auditing, Conflict of Interest, and Fraud/Theft/Embezzlement concerns across the University.



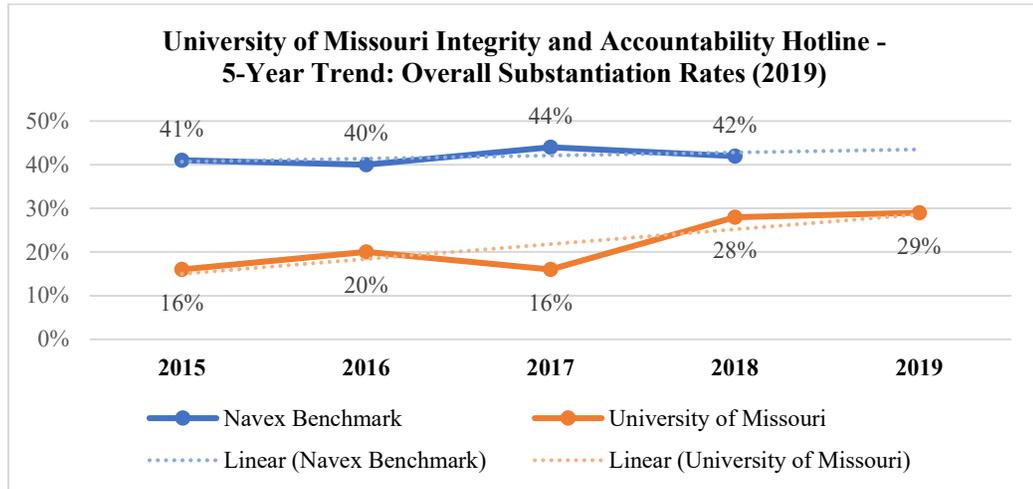
Anonymous vs. Named Reporters

Anonymous report metrics show the percentage of reporters who chose to withhold their identity. A lower rate of anonymous reporting is an indicator of trust. Although the benchmark rate has been trending lower, the University’s rate of anonymous reporting is trending higher.



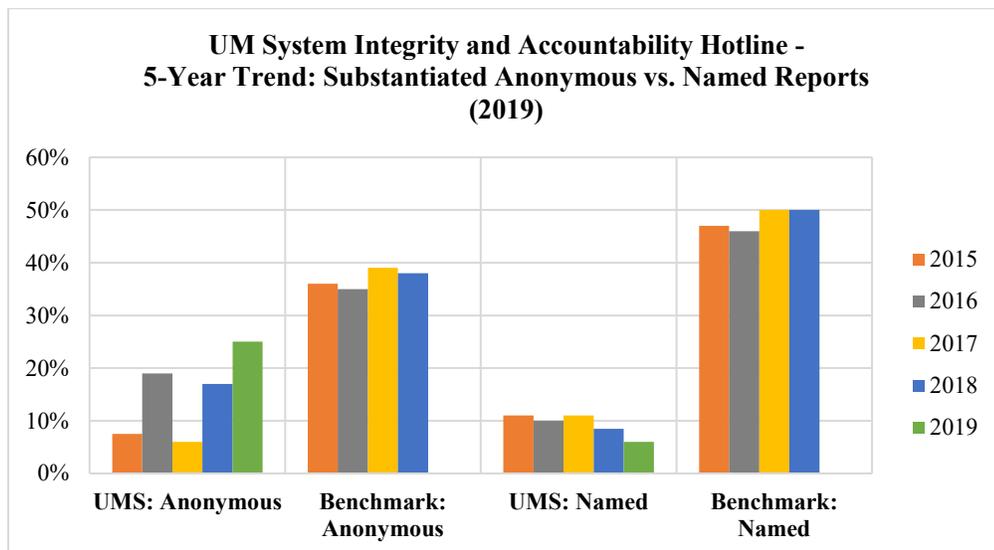
Substantiated Reports

The overall substantiation rate reflects the percentage of allegations which were determined to have at least some merit. A high substantiation rate reflects a well-informed employee base making high-quality reports, coupled with effective investigation processes. Benchmark substantiation rates are trending higher over time; University rates are lower compared to benchmarks, but also trending higher overall.



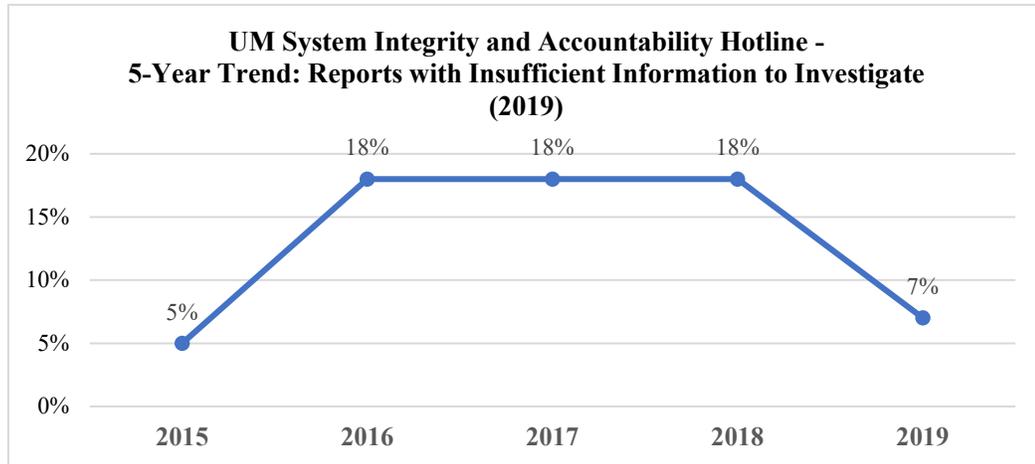
Substantiated Anonymous vs. Named Reports

There is often reluctance to take anonymous reports seriously; however, research has shown that reporters typically withhold names out of fear of retaliation or a desire to not be involved, rather than because a report is deliberately false or frivolous. 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. Benchmark substantiation rates in all categories continue to increase, indicating that organizations are receiving more high-quality and actionable reports. Of note, substantiation of anonymous reports at the UM System have risen significantly over the past two years.



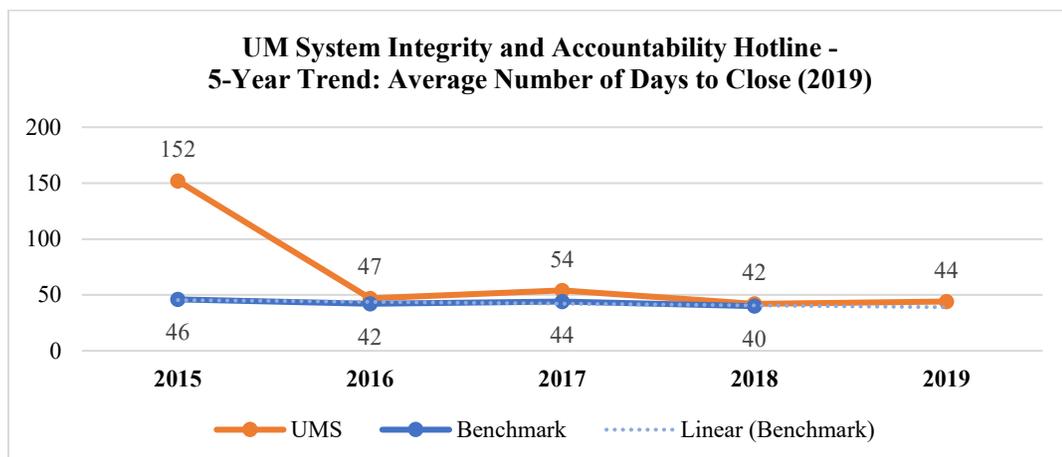
Insufficient Information

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 was noted in 2019, meaning more specific and actionable information was received from reporters. We believe this may be a result of the enhanced reporting functionality of the EthicsPoint platform, and efforts to improve awareness of the hotline across the UM System community in 2019.



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. Significant effort has been placed on completing investigations timelier at the University in the past few years.



Conclusions and Opportunities for Improvement

For reported concerns coming through the Hotline, the UM System has improved:

- Overall substantiation rates
- Reduction in the percentage cases with insufficient information to investigate
- Average number of days to close

These improvements are a result of focusing on the quality of investigations and increasing awareness through distribution of posters and frequent leadership communications.

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 education• Continued communications from leadership |
| Educate managers on how to respond to issues raised directly with them | 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">• Adding investigators• Informing leadership of substantiated issues |
| Develop a holistic view of issues across the UM System to spot areas of consistent concern | In collaboration with HR and Title IX, begin tracking reports and resolutions from all intake methods. |

External Auditor's Report
UM

At the February 6, 2020 Board of Curators meeting, Rachel Dwiggin, Partner with BKD, LLP will present a summary of the FY 2019 Financial Statement Audit, NCAA Agreed Upon Procedures, and the audit scope for fiscal year 2020.

The University of Missouri 2019 financial statement audit was completed on October 15, 2019. 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 2019 were completed by the January 15th deadline. The reports are available upon request.

The Fiscal Year 2020 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, 2020.

University of Missouri System

Report to the Board of Curators, Audit Committee and Management

October 15, 2019

Results of the 2019 financial statement audit and other required
communications



Contents**2019 Audit Results**

| | |
|----------------------------------------------|---|
| Summary of Our Audit Approach & Results..... | 2 |
| Significant Estimates | 3 |
| Opinion | 3 |
| Required Communications..... | 4 |
| Networking and Learning Opportunities | 7 |

Appendix

| | |
|--------------------------------------------------------------------------------|------------|
| Management Representation Letter & Schedule of Uncorrected Misstatements | Attachment |
|--------------------------------------------------------------------------------|------------|

October 15, 2019

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, 2019. 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, 2019, 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, 2019, 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. 83, <i>Certain Asset Retirement Obligations</i>, was adopted during the fiscal year ended June 30, 2019 |
| <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.



Networking and Learning Opportunities

| Event | Date |
|----------------------------------------------------------------------------------|------------------|
| Kansas City CFO Seminar | October 24, 2019 |
| Not-for-Profit, Higher Education & Public Sector Day Long Seminar | January 9, 2020 |
| Higher Education Roundtable with colleges and universities throughout the region | February 2020 |

* * * * *

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
October 15, 2019

October 15, 2019



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

To Whom It May Concern:

We are providing this letter in connection with your audits of our financial statements as of and for the year ended June 30, 2019 and 2018. 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 April 10, 2019, 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.

University of Missouri System COLUMBIA | KANSAS CITY | ROLLA | ST. LOUIS
Office of Vice President for Finance . 118 University Hall . Columbia, MO 65211 . 573-882-3611 www.umsystem.edu

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February 6, 2020

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- (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 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.
11. Except as reflected in the financial statements, there are no:
- (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.
12. 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.
13. 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.
14. 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.
15. 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.
16. Adequate provisions and allowances have been accrued for any material losses from:
- (a) Uncollectible receivables.
 - (b) Reducing obsolete or excess inventories to estimated net realizable value.
 - (c) Sales commitments, including those unable to be fulfilled.
 - (d) Purchase commitments in excess of normal requirements or above prevailing market prices.
 - (e) Medicare/Medicaid and other third-party contractual, audit or other adjustments.

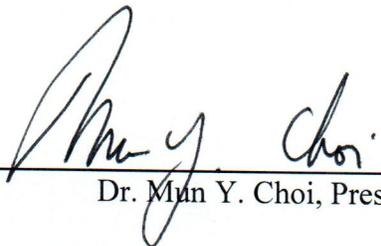
17. Except as disclosed in the financial statements, we have:
 - (a) Satisfactory title to all recorded assets, and they are not subject to any liens, pledges or other encumbrances.
 - (b) Complied with all aspects of contractual and grant agreements, for which noncompliance would materially affect the financial statements.
18. 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.
19. 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.
20. We have notified you of any instances of noncompliance with applicable disclosure requirements of the SEC Rule 15c2-12 and applicable state laws.
21. 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.
22. 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.
23. We acknowledge that we are responsible for compliance with applicable laws, regulations and provisions of contracts and grant agreements.
24. 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.
25. 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.
26. 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.
27. We have a process to track the status of audit findings and recommendations.
28. 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.
29. 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.
30. 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.

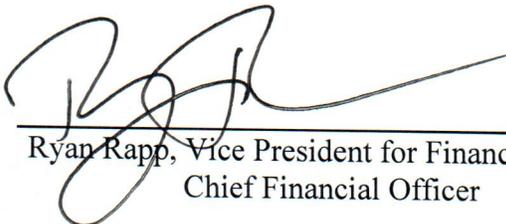
31. The fair values of financial and nonfinancial assets and liabilities, if any, recognized in the financial statements or disclosed in the notes thereto are reasonable estimates based on the methods and assumptions used. The methods and significant assumptions used result in measurements of fair value 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.
32. We identified two material Asset Retirement Obligations under GASB 83 related to our nuclear research reactors. Outside of these two asset retirement obligations we believe there are no additional asset retirement obligations as defined by GASB 83.
33. We evaluated a cyber-security attack at the Hospital for potential loss contingency related to exposure of personal health information (PHI). We informed all individuals with PHI that was potentially exposed. We determined that no accrual was required at June 30, 2019 for potential losses associated with the cyber attack. The System maintains a cyber security policy with a \$500,000 deductible and \$30 million insured coverage for potential losses. The carrier has accepted the claim for any potential losses.
34. The supplementary information required by the Governmental Accounting Standards Board (GASB), 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.
35. 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.
36. 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.

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- (d) The reimbursement methodologies and principles employed are in accordance with applicable rules and regulations.
 - (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.
37. 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.



Dr. Mun Y. Choi, President



Ryan Rapp, Vice President for Finance and
Chief Financial Officer

University of Missouri System

ATTACHMENT

This analysis and the attached "Schedule of Uncorrected Misstatements (Adjustments Passed)" reflects 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 | 1,392,504 | (1,876) | 1,390,628 | -0.13% |
| Non-Current Assets & Deferred Outflows | 7,913,472 | 10,611 | 7,924,083 | 0.13% |
| Current Liabilities | (1,508,427) | (5,432) | (1,513,859) | 0.36% |
| Non-Current Liabilities & Deferred Inflows | (2,750,163) | | (2,750,163) | |
| Current Ratio | 0.92 | | 0.92 | -0.43% |
| | | | | |
| Total Assets & Deferred Outflows | 9,305,976 | 8,735 | 9,314,711 | 0.09% |
| Total Liabilities & Deferred Inflows | (4,258,590) | (5,432) | (4,264,022) | 0.13% |
| Total Net Position | (5,047,386) | (3,303) | (5,050,689) | 0.07% |
| | | | | |
| Total Revenue | (3,860,548) | 4,039 | (3,856,509) | -0.10% |
| Total Expense | 3,681,556 | 1,008 | 3,682,564 | 0.03% |
| Change in Net Position | (178,992) | 5,047 | (173,945) | -2.82% |

University of Missouri System

ATTACHMENT

This analysis and the attached "Schedule of Uncorrected Misstatements (Adjustments Passed)" reflects 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 | 4,072,419 | 2,965 | 4,075,384 | 0.07% |
| Total Liabilities | (276,580) | | (276,580) | |
| Total Net Position | (3,795,839) | (2,965) | (3,798,804) | 0.08% |
| | | | | |
| Additions | (360,533) | (2,965) | (363,498) | 0.82% |
| Deductions | 284,133 | | 284,133 | |
| Change in Net Position | (76,400) | (2,965) | (79,365) | 3.88% |

Client: University of Missouri System

Period Ending: June 30, 2019

Pension & OPEb

SCHEDULE OF UNCORRECTED MISSTATEMENTS (ADJUSTMENTS PASSED)

| Description | Financial Statement Line Item | Factual (F), Judgmental (J), Projected (P) | Assets & Deferred | | Liabilities & | | Fund Balance | | | Net Effect on Following Year | | |
|---------------------------------|-------------------------------|--------------------------------------------------|-------------------|----------|-----------------------------------------|----------|----------------|----------|------------|------------------------------|----------------|------|
| | | | Outflows | | Deferred Inflows | | Additions | | Deductions | | Change in Net | Fund |
| | | | DR | (CR) | DR | (CR) | DR | (CR) | DR | (CR) | DR | (CR) |
| MV Change in Alt Investments | | F | 2,965 | 0 | (2,965) | 0 | 0 | 0 | 0 | 2,965 | (2,965) | |
| | | | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| Total passed adjustments | | | <u>2,965</u> | <u>0</u> | <u>(2,965)</u> | <u>0</u> | <u>0</u> | <u>0</u> | <u>0</u> | <u>2,965</u> | <u>(2,965)</u> | |
| | | | | | Impact on Change in Net Position | | (2,965) | | | | | |
| | | | | | Impact on Fund Balance | | (2,965) | | | | | |



University of Missouri System

Board of Curators

Rachel Dwiggin, CPA

OPEN – AUD – INFO 3-22

February 6, 2020

BKD

OUR GOALS FOR TODAY

1

2019 Audit Results

2

NCAA Agreed-Upon Procedures Results

3

2020 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

REQUIRED COMMUNICATIONS

- Communicated during planning

| Area | Comments |
|---------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Significant Accounting Policies | Described in Note 1 of the financial statements. GASB 83 was adopted during fiscal year 2019. |
| Alternative Accounting Treatments | No matters are reportable. |
| Financial Statement Disclosures | <ul style="list-style-type: none">• Fair Value of Assets and Liabilities• Retirement, Disability & Death Benefit Plan• Other 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 – current year and prior year turnaround• IBNR Reserve calculation• Reclassify patient refunds and third party settlements• Hospital inventory for projected differences• 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 2019 (St. Louis and S&T was performed in 2018)

2020 EXTERNAL AUDIT SCOPE

1 Engagements

2 Audit Timeline

3 Audit Approach

4 Appendix: Personnel

5 Questions

ENGAGEMENTS

- Audit of financial statements of
 - University of Missouri System
 - Capital Region Medical Center
- Single Audit in accordance with OMB Uniform Guidance
- Minimum Agreed-Upon Procedures required by NCAA for
 - Columbia
 - Kansas City



AUDIT TIMELINE

- Preliminary audit work
 - Pre-audit planning meeting – Spring 2020
 - Interim procedures, risk assessment & other planning – May 2020
 - Student financial aid testing – July 2020
- Final audit work
 - Fieldwork procedures – August/September/October 2020
 - Issuance of financial statement audits – October 2020
 - Additional federal program testing – October 2020 – January 2021
- NCAA procedures – November/December 2020

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. 84, *Fiduciary Activities*

- The System has already begun the implementation process and evaluating potential impacts

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 |
|-------------------|------------------------------------------|-------------------------------------------------------------------------------------------|
| Abe Cole | Client Relationship Partner | Phone: 816.701.0226 E-mail: acole@bkd.com |
| 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 |
| Nick Chambers | Engagement Director for Health System | Phone: 314.231.5544 E-mail: nchambers@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?

Thank You!

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 2020 for fees of \$625,315 plus expenses not to exceed \$70,565. The total fees and expenses of \$695,880 represent a 2.1% increase over the prior fiscal year.

Fiscal year 2020 fees cover the following audit services: combined financial statements of the University of Missouri System, compliance audit of the University of Missouri System in accordance with OMB Uniform Guidance; financial statements of Capital Region Medical Center; and, minimum agreed-upon procedures required by the NCAA for the Intercollegiate Athletics Departments of the Columbia and Kansas City campuses.

Fees for required NCAA Athletic Department minimum agreed upon procedures did not change from the previous year due to the timing of the audit for Division I and Division II programs. The NCAA requires 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 will not be required until fiscal year 2021.

University of Missouri System

Fiscal year ended June 30, 2020

| | Fees | | | | Expenses | | | | Total Fees & Expenses FY 2019 | Total Fees & Expenses FY 2020 |
|--------------------------------------------------------------------------------------------------------------------------------------------|-------------------|----------------------|--------------------|--------------------|------------------|----------------------|--------------------|------------------------|-------------------------------|-------------------------------|
| | 6/30/2019 Fees | Inflation Adjustment | Known scope change | Total Fees FY 2020 | 6/30/2019 Fees | Inflation Adjustment | Known scope change | Total Expenses FY 2020 | | |
| Combined financial statements of the University of Missouri System | \$ 262,632 | \$ 5,515 | \$ - | \$ 268,147 | \$ 37,215 | \$ 782 | \$ - | \$ 37,996 | \$ 299,847 | \$ 306,144 |
| Compliance audit of the University of Missouri System in accordance with OMB Uniform Guidance | \$ 147,797 | \$ 3,104 | \$ - | \$ 150,901 | \$ 12,760 | \$ 268 | \$ - | \$ 13,028 | \$ 160,557 | \$ 163,928 |
| Financial statements of the University Health System | \$ 85,063 | \$ 1,786 | \$ - | \$ 86,849 | \$ 8,507 | \$ 179 | \$ - | \$ 8,685 | \$ 93,570 | \$ 95,535 |
| Financial statements of the Capital Region Medical Center | \$ 80,810 | \$ 1,697 | \$ - | \$ 82,507 | \$ 7,443 | \$ 156 | \$ - | \$ 7,599 | \$ 88,253 | \$ 90,106 |
| Minimum agreed-upon procedures required by the NCAA for the Intercollegiate Athletics Departments of the Columbia and Kansas City campuses | \$ 36,152 | \$ 759 | \$ - | \$ 36,911 | \$ 3,189 | \$ 67 | \$ - | \$ 3,256 | \$ 39,342 | \$ 40,168 |
| Total | \$ 612,454 | \$ 12,862 | \$ - | \$ 625,315 | \$ 69,114 | \$ 1,451 | \$ - | \$ 70,565 | \$ 681,567 | \$ 695,880 |

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 \$207.00. 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, 2020 for fees of \$695,880.

Roll call vote of Committee: YES NO

Curator Graham
Curator Layman
Curator Steelman

The motion _____.

Roll call vote: YES NO

Curator Brncic
Curator Chatman
Curator Graham
Curator Layman
Curator Snowden
Curator Steelman
Curator Sundvold
Curator Williams

The motion _____.

No. 2

Recommended Action - Resolution for Executive Session of the Audit Committee,
February 6, 2020

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 Audit Committee meeting February 6, 2020, 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 Graham | | |
| Curator Layman | | |
| Curator Steelman | | |

The motion _____.

February 6, 2020

HEALTH AFFAIRS

HEALTH AFFAIRS COMMITTEE

Maurice B. Graham, Chair

Ronald G. Ashworth (non-curator member)

John R. Phillips (non-curator member)

David L. Steelman

Michael A. Williams

1. The Health Affairs Committee shall include curators and may include additional non-curator members appointed by the Board Chair, subject to approval of the Board. The Board Chair, subject to approval of the Board, shall determine the number of curators and non-curator members to appoint to 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. Committee members may be reappointed to serve additional terms. Non-curator members may resign their committee membership by providing written notice to the Board chair. Non-curator members of the Health Affairs Committee serve at the pleasure of the Board of Curators and may be removed by the Board Chair at any time, subject to approval of the Board. Non-curator vacancies shall be filled in the same manner as original appointments.
2. The Health Affairs Committee will assist 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. The Health Affairs Committee shall receive and review regular reports from University of Missouri Health Care ("MU Health Care") and the MU School of Medicine's faculty practice plan ("University Physicians"). Areas of oversight for the Health Affairs Committee shall minimally include: mission, strategy, governance, compliance, operations, and coordination of the clinical, teaching, and research missions. The Health Affairs Committee may also request information and reports, receive referrals from the Board and University officers, and initiate such other actions as may be appropriate or necessary to assist the Board in overseeing health care issues and coordinating clinical, teaching, and research missions of other System and campus units.
3. The Health Affairs Committee shall meet at least four times per year to consider business related to the clinical health care operations of the University and coordination of those operations in furtherance of the University's teaching, research, and clinical missions. The Health Affairs Committee shall receive reports from appropriate officers of MU Health Care and University Physicians at such meetings and may also request information and reports from other

campus or System officers as appropriate. The Board Chair, subject to approval of the Board, may appoint a staff liaison to the committee to assist in developing the agenda for Committee meetings and transmitting Committee recommendations.

4. 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 Curators 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.

5. The Health Affairs Committee may identify significant issues related to health care matters of the University and require advance approval and coordination of those issues in furtherance of the teaching, research, and clinical missions of the University.

University of Missouri



Board of Curators

Health Affairs Committee Meeting

Thursday, January 30, 2020
1:00 P.M.

This Board Committee Meeting is being held in conjunction with the February 6, 2020 Board of Curators Meeting.

Originating from Missouri Orthopaedic Institute Conference Room 2252 & 2257, Columbia, Missouri.

AGENDA

PUBLIC SESSION – 1:00 P.M.

Call to Order – Chair Graham

Information

1. School of Medicine Report (Zweig)
2. MU Health Care Report (Curtright)
3. NextGen Update (Choi and Cartright)
4. MU Health Care Technology Update (Bryan Bliven)
5. Quarterly Financial Report, MU Health (Kay Davis)
6. Quarterly Compliance Report, MU Health (Jennifer May)

Action

1. Minutes Approval, November 13, 2019 Health Affairs Committee Meeting
2. Resolution for Executive Session of the Health Affairs Committee Meeting

EXECUTIVE SESSION

2:00 P.M. – HEALTH AFFAIRS COMMITTEE MEETING – EXECUTIVE SESSION
(time is approximate)
Location: Missouri Orthopaedic Institute Conference Room 2252 & 2257, Columbia, MO

The Health Affairs Committee will hold an executive session of the January 30, 2020 meeting, pursuant to Section 610.021(1), 610.021(2), 610.021(3), 610.021(12) and 610.021(13) RSMo, for consideration of certain confidential or privileged communications with University Counsel, real estate, personnel and contract items, all as authorized by law and upon approval by resolution of the Health Affairs Committee.

Recess



School of Medicine

University of Missouri

Health Affairs Committee
Steve Zweig, MD, Interim Dean

Admissions 2019



Meet the **CLASS OF 2023**

112
Students
CURRENTLY ENROLLED



Average Science GPA: **3.7**
Average Total GPA: **3.75**
Average MCAT Score: **509**

GEOGRAPHIC REPRESENTATION



TEXAS - 1
PENNSYLVANIA - 1
NORTH CAROLINA - 1
NEW YORK - 1
KANSAS - 1
RHODE ISLAND - 1
TENNESSEE - 1
ILLINOIS - 2
MINNESOTA - 3
CALIFORNIA - 4
MISSOURI - 96

3,366
TOTAL APPLICATIONS
highest number of applications
ever received by the school

405
Interviews
scheduled

157
Applicants
accepted

Students from socioeconomically
disadvantaged backgrounds:

22%

Students from
rural areas:

16%

Students from Missouri:

86%

34%

Students who self-identify
as an ethnic minority

17%

Students who self-identify as
underrepresented minorities

AGE RANGE: **20** **39**



59



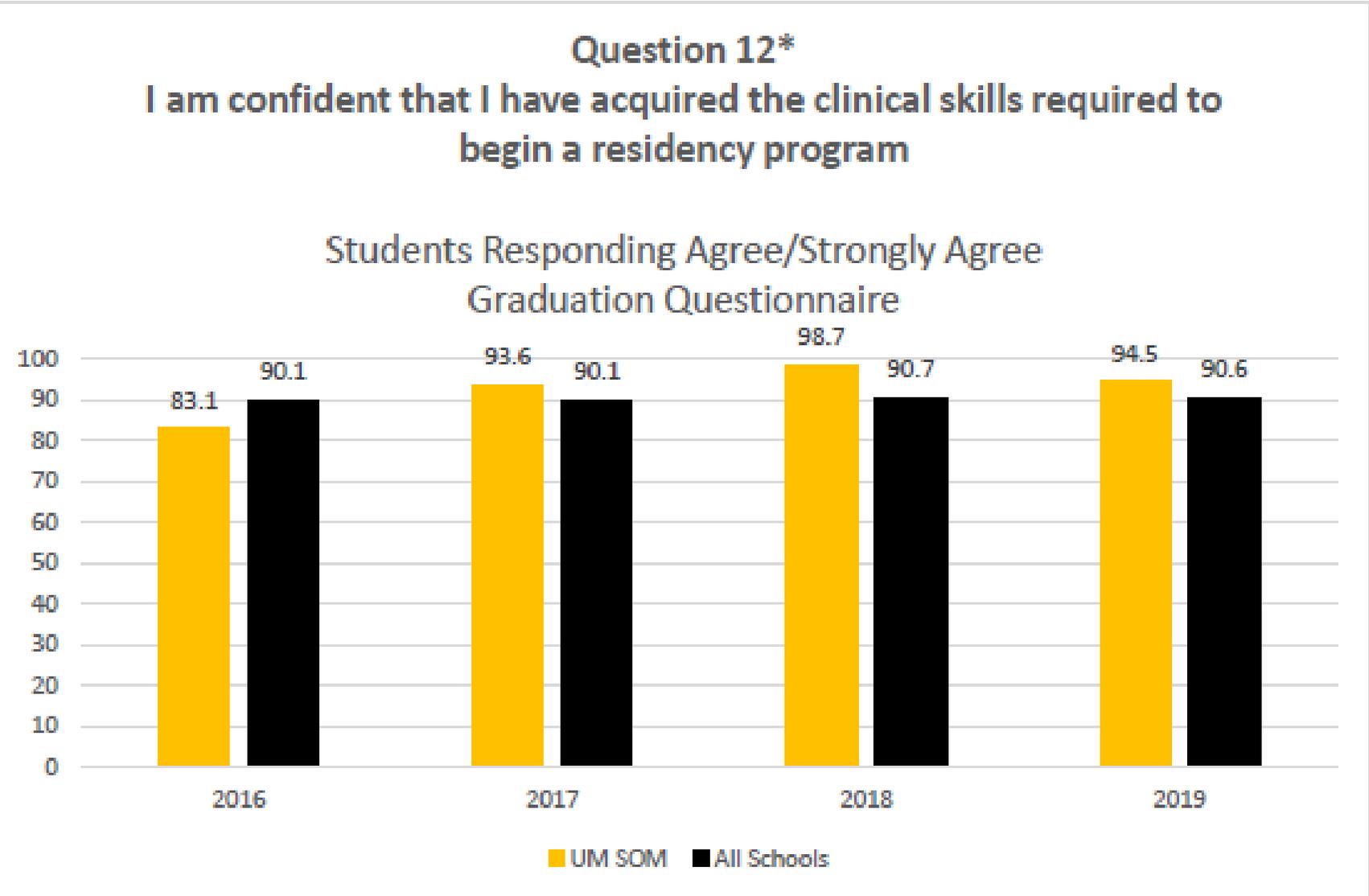
53

What Our Students Are Saying

“I want to be the kind of physician who ...”

- ... does the right thing even when it's difficult.
- ... actively seeks opportunities to learn from, reflect on and adapt to the ever-changing world of medicine for the good of my patients.
- ... is excited to be guided to and through the unknown.
- ... advocates for my patients, especially when they cannot be an advocate for themselves.
- ... delivers open and honest, culturally competent care tailored to each patient's needs.
- ... puts the well-being of patients over profits and self-interests.

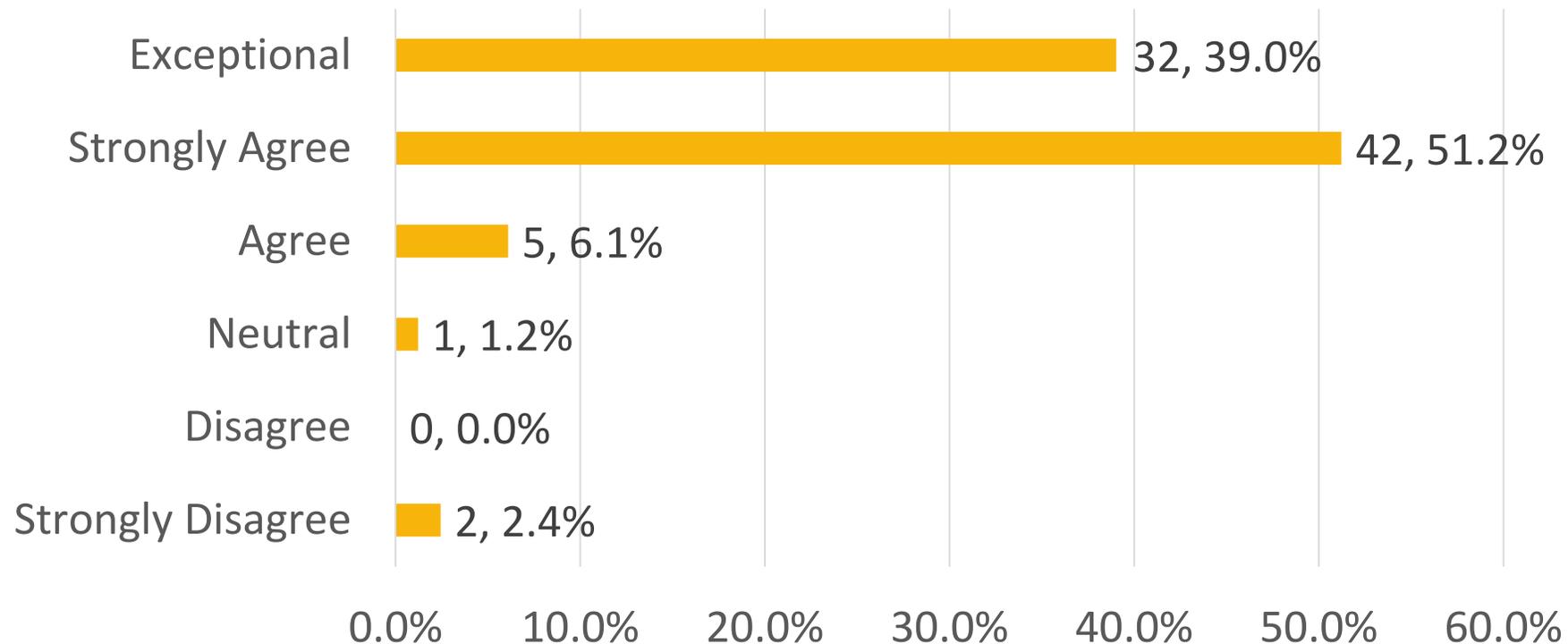
Medical Student Education



Medical Student Education

Accomplishments

- Program Directors Survey (2018)
- “Overall, this MU graduate demonstrates the qualities of a good physician.”



University Physicians

UP Productivity First 6 Months FY2020

| Productivity Analysis | FY19 | FY20 | Net increase | % |
|------------------------------|---------------|---------------|---------------------|----------|
| Charges | \$289,831,091 | \$313,979,613 | +\$24,148,522 | + 8.3 |
| Net Payments | \$103,509,326 | \$115,127,035 | +\$11,617,709 | +11.2 |
| Physicians (FTE) | 509 | 517 | | |

SOM Research

Research Expenditures – FY19 vs. FY20

| <u>Prior YTD</u> | <u>FY2020 to date</u> | <u>Net increase</u> | <u>%</u> |
|------------------|-----------------------|---------------------|----------|
| \$16,487,997 | \$22,604,606 | +\$6,116,609 | +37% |

Strategic Plan – Major Goals

1. Train, attract and retain exceptional talent
2. Fuel discovery through collaboration
3. Make translation an aspiration
4. Align and grow clinical research
5. Create a structure that sustains excellence

Areas of Strength to Support NextGen PHI

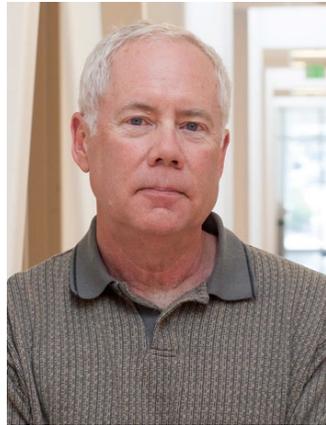
| Area | Funding over 5 years (millions of dollars) | Number of anticipated hires |
|-----------------------------------|-----------------------------------------------|--------------------------------|
| Cardiovascular & Metabolic | \$ 31.1 million | 7 |
| Oncology | 10.0 | 8 |
| Virology & Immunology | 17.4 | 10 |
| Neurosciences | 8.3 | 4 |
| Chronic Disease/Outcomes research | 6.9 | 4 |
| Reproductive Biology | | 3 |
| Data Science/Informatics | | 2 |
| Other | | 2 |

PHI -MU Major Grants & Awards

- Midwest Biomedical Accelerator Consortium (MBArc)
- One of 5 NIH-sponsored REACH (Research Evaluation and Commercialization Hub) programs
- Involves all 4 UM universities to commercialize new medical technologies
- PIs: Bill Fay, Sheila Grant, Bill Turpin
- Total funding: \$3.9M



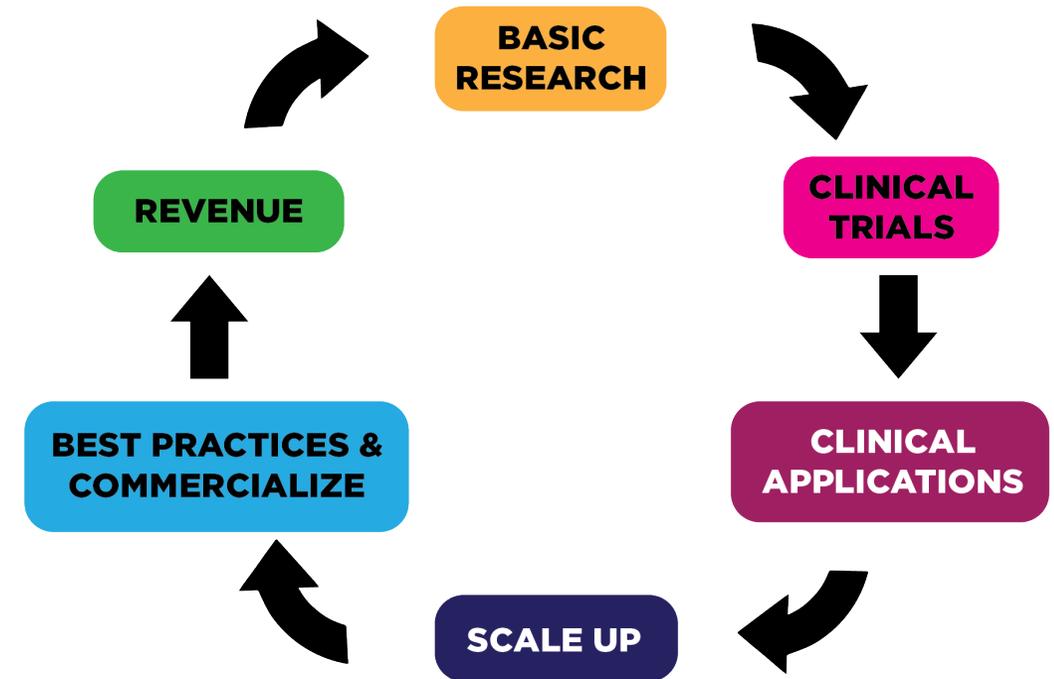
Bill Fay



Bill Turpin

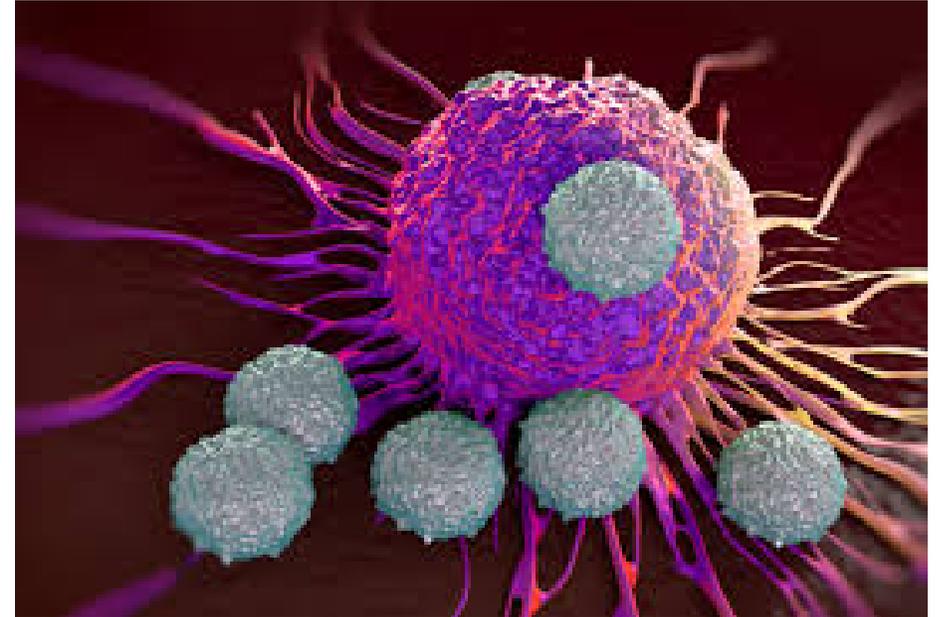


Sheila Grant



PHI - MU Major Grants & Awards

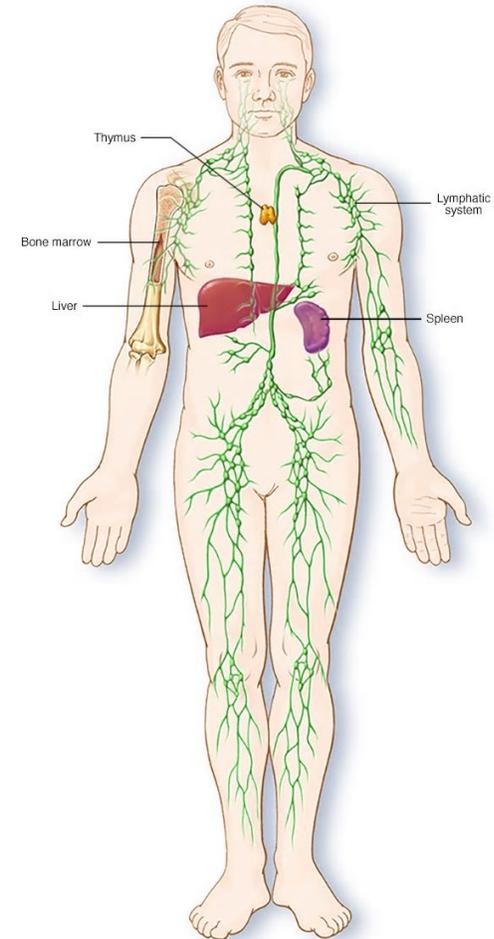
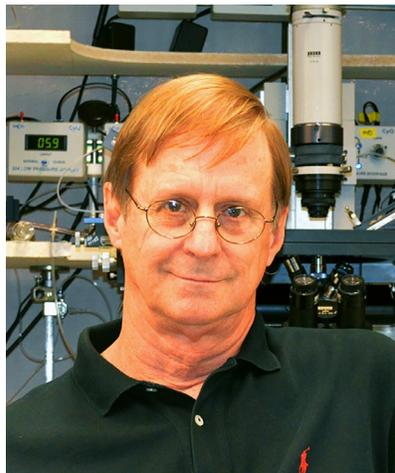
- Cancer Moonshot Project (NIH U01)
- *Human CD3-epsilon co-potentiation to boost immunotherapy*
- PI: Diana Gil-Pages
- Total funding: \$3.7M



The NIH grant will further research on immunotherapy that will teach the immune system to recognize and attack cancer cells.

PHI -MU Major Grants & Awards

- Lymphatic Biology and Disease
- R01: *Lymphatic Pacemaking and Pumping in Lymphedema: Function, Dysfunction, and Rescue*
- PI: Michael J. Davis
- Total funding: >\$5M



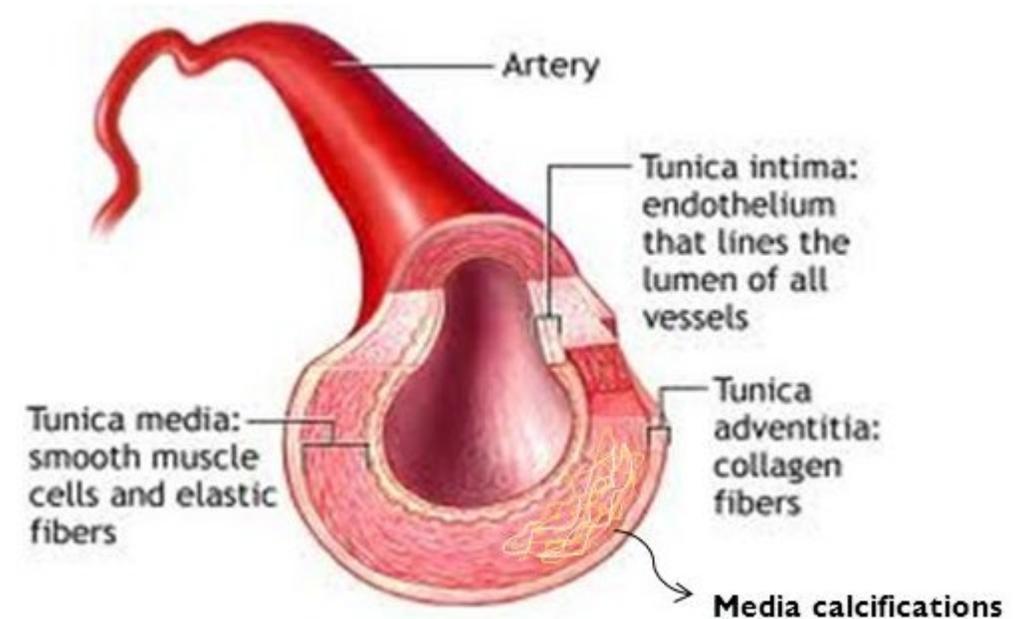
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Human lymphatic system

OPEN-HEALTH AFF - INFO 1-11

PHI - MU Major Grants & Awards

- Arterial stiffness in diabetes
- R01: *Estrogen Receptor- α Signaling in Endothelial Cells Exacerbates Arterial Stiffening via Up-regulation of ENaC in Insulin Resistant Females*
- PI: Camila Manrique Acevedo
- Total funding: \$3.5M



de Oliveira Alvim. Int. J. Cardiovasc. Sci. 2017;30

MU Major Grants & Awards

An Innovative Model to Increase Primary Care Physicians for Rural and Underserved Missouri

- PI: Kathleen Quinn, MU School of Medicine
- \$4.3M Grant
- Health Resources and Services Administration (HRSA)
- Largest grant for rural medicine in UM history



**15% OF ALL AMERICANS
LIVE IN RURAL AREAS**

Rural Americans are at **greater risk of death** from 5 leading causes than urban Americans

- Heart Disease
- Cancer
- Unintentional Injury
- Chronic Lower Respiratory Disease
- Stroke

Infrastructure to advance clinical research

- **Functions**
 - Research design/coordination
 - Data analysis
 - Statistical support
 - Informatics/Bioinformatics
 - Grants and contract support
 - Grant writing
 - Navigators
- **Partners:** Tiger Institute, MU Informatics, Clinical Research Center, NextGen PHI



Questions?



Health Care

CEO Update

Jonathan Curtright, Chief Executive Officer

Key Strategic Objective – Stewardship

MU Health Care is committed to ensuring stewardship and efficiency on behalf of our patients in the state.

- Grow volume and market share
- Ensure revenue cycle efficiency
- Bend the cost curve
 - Efficiency
 - Standardization
 - Utilization

- **No surprise**
- **No sweat**
- **No stagnation**
- **No sacred cows**



Organizational Structure

MU Health Care Organizational Structure

Executive Vice Chancellor for Health Affairs

Jonathan Curtright
Chief Executive Officer

Mary Beck, DNP
Chief Nursing Officer

- Amy Trueblood
- Julia Settles
- DONs – dotted line

Function
- Prof. Nursing Practices
- Medical Liability
- Accreditation
- Risk Management

Stevan Whitt, MD
Chief Clinical Officer

- Quality Officer
- Koby Clements
- Susan Heimsoth
- Beth Van Hove
- Linda Johnson
- GME
- Medical Staff
- Donna Phillippe

Function
- Associate CMOs
- Medical Directors
- Value-Based Care
- Quality and Safety
- Infection Control
- Clinical Analytics
- HNM and MPACT

Jeremy Fotheringham
Chief Operating Officer

- Kevin Gwin
- Keri Simon
- Deb Deeken
- TBD – WCH
- TBD – Ambulatory
- Bob Schaal
- Roger Higginbotham
- Matt Waterman
- Brad Myers

Function
- Hospital Operations
- Ambulatory Services
- Surgical, Procedural Svcs
- Pharmacy & Lab Services
- Retail Clinical Services
- Facilities Planning and Ops
- Clinical Service Lines
- Patient Experience
- Corporate Partnerships

Mike Koehler
Chief Administrative Officer

- Marty McCormick
- Teresa Snow
- Peter Callan
- Beth Alpers
- Jason Miller
- Lorraine Mixon-Page (SOM)

Function
- Human Resources
- Diversity/Inclusion
- Strategic Planning Process
- Marketing
- Communications & Media Relations

Kay Davis
Chief Financial Officer (Interim)

- Teresa Brooks
- Paula Littleton
- David Parker

Function
- Budget
- Finance Operations
- Financial Analytics
- Revenue Cycle
- Business Planning
- Managed Care
- Supply Chain

Jennifer May, JD
Chief Compliance Officer (Matrix)

- Katie Tegerdine
- Nicole Epstein
- Sean Rivera

Function
- Privacy Officer
- Data Security
- Compliance
- Corporate Integrity Agreement

Vince Cooper
Executive Director
Payer Strategy & Contracting

- Deanna Godsey
- Jennifer Tisone
- Melissa Rish

Function
- Payer Strategy
- Contracting
- Employer Health Solutions
- Managed Care Reimbursement

Bryan Bliven
Chief Information Officer

- Tiger Institute
- Tom Selva, MD
- CRMC IT
- Clinical Engineering
- Project Management Office

James Stannard, MD
Chief Strategic Initiatives

- Tom Tisone

Function
- Strategic Initiatives

Gaspere Calvaruso
President,
CRMC

- Capital Region Center
- Capital Region MDs
- Jefferson City Integration Strategies

Office of General Counsel
(Matrix)

- Legal Team

Function
- Legal Counsel

Advancement

- Zach Silvers
- Yvonne Miller

Function
- MUHC, SOM Advancement

Quality and Safety

Quality Update: Vizient Performance

Icons represent Percentile Ranks for specified time periods. (NOTE: Lower values are desired.)
 Benchmarked against Vizient AMC results from the last twelve months.
 Run charts represent trends back to Jan '16 when available.

Percentile Rank
 1 100

Performance Period
 Latest 3 Months

Values Based On
 All Adult Encounters

Run Chart Display
 Quarterly

| Vizient Overall | Mortality | Effectiveness | Safety | |
|----------------------------|------------------------------|-------------------------------|------------------------------|-------------------------------------------|
| Q&A Study Percentile Rank | Mortality Index | Unplanned 30 Day Readmissions | PSI-90 Composite (RTM) | Hospital Acquired Conditions - Infections |
| FY19 through Q4 | Sep' 19 - Nov' 19 | Aug' 19 - Oct' 19 | RTM Dec' 18 - Nov' 19 | Oct' 19 - Dec' 19 |
| 41 PR: 41 38 out of 93 | 0.80 PR: 24 23 out of 95 | 11.0% PR: 41 39 out of 95 | 1.17 PR: 85 80 out of 94 | 0.36 Target: 0.44 |
| | | | | |

Top Performing Vizient Service Lines / Metrics

| | | | | |
|-----------------------------------|---------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| See Vizient Q&A Study Performance | <ul style="list-style-type: none"> Gynecology (1) Obstetrics (1) Urology (1) | <ul style="list-style-type: none"> Neurosurgery (3) Neurology (7) General Surgery (18) | <ul style="list-style-type: none"> PSI06 (1) PSI14 (1) PSI09 (18) | <ul style="list-style-type: none"> HAI-04 (0.00) HAI-02 (0.12) HAI-03 (0.54) |
|-----------------------------------|---------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|

Worst Performing Vizient Service Lines / Metrics

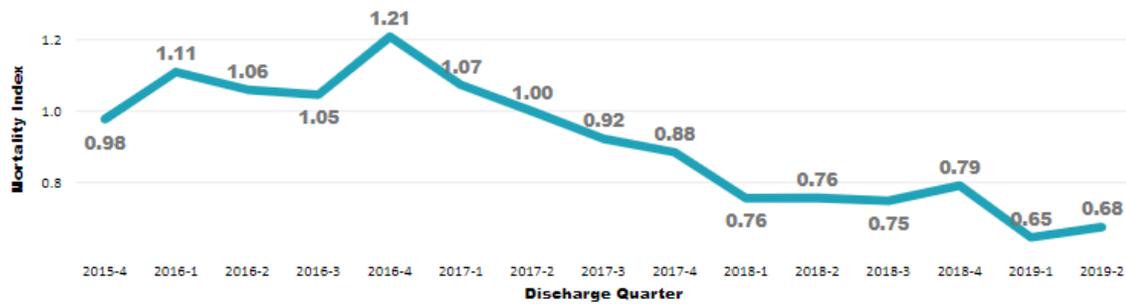
| | | | | |
|-----------------------------------|-------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| See Vizient Q&A Study Performance | <ul style="list-style-type: none"> CT Surgery (99) Cardiology (95) Oncology (69) | <ul style="list-style-type: none"> Orthopedics and Spine (93) Gynecology (91) Cardiology (87) | <ul style="list-style-type: none"> PSI08 (100) PSI10 (100) PSI13 (92) | <ul style="list-style-type: none"> HAI-01 (0.66) HAI-06 (0.65) HAI-05 (0.57) |
|-----------------------------------|-------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|

Moving forward: Improve coding

- Dramatically improve documentation and coding to improve risk capture

Mortality Index and CMI Improvement Relative to Expected Mortality

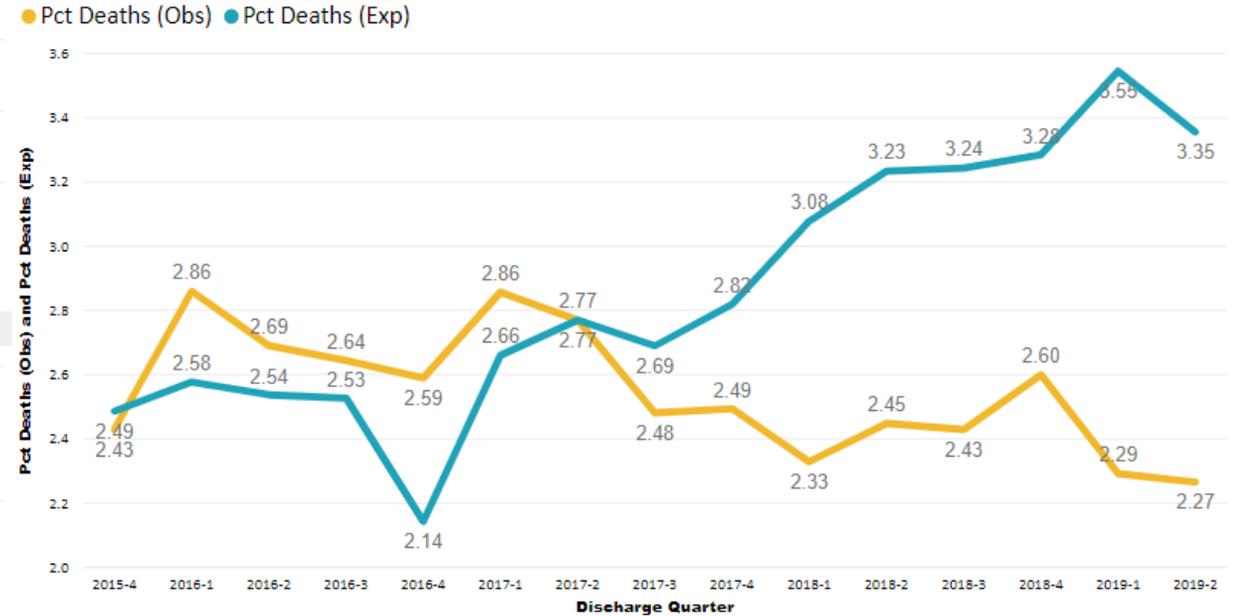
Mortality Index by Discharge Quarter



CMI by Discharge Quarter



Pct Deaths (Obs) and Pct Deaths (Exp) by Discharge Quarter



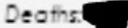
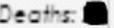
Source: Stanford Health Care

Moving forward: Sepsis Lives Saved

Sepsis

CY18

Latest

| | CY18 | Latest |
|--------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Mortality Index | 80  Value: 1.11 Deaths:  N:  | 18  Value: 0.78 Deaths:  N:  Top Quartile: 0.81 |
| Unplanned 30 Day Readmissions | 63  Value: 16.25 Readmissions:  N:  | 15  Value: 12.85 Readmissions:  N:  Top Quartile: 13.75 |
| LOS Index | 32  Value: 0.94 Avg. LOS: 6.97 N: 890 | 49  Value: 0.98 Avg. LOS: 6.94 N: 201 Top Quartile: 0.92 |

769

High Alerts

170

Very High Alerts

137

Tiger Teams Called

256

NEWS Driven Physician Assessments

▼ 18%

Floor Patients Transferring to ICU

▼ 37%

General Floor Code Blues

11

Overall Lives Saved

Moving forward: Tiered Huddles

400 issues resolved through tiered huddles since August

TIER 1: ISSUE RAISED AT WCH NURSING UNIT - occurs at 9:30 a.m.

ED nurse at Women's and Children's Hospital finds wrong ventilation bag stocked on crash cart.

TIER 2: ISSUE ESCALATED TO WCH HOSPITAL LEVEL - occurs at 10 a.m.

After discussion, others at WCH find incorrect bag on their carts.

TIER 3: ISSUE ESCALATED TO HEALTH SYSTEM LEVEL - occurs at 10:30 a.m.

Wrong bags also identified at University Hospital; issue resolved across entire system!

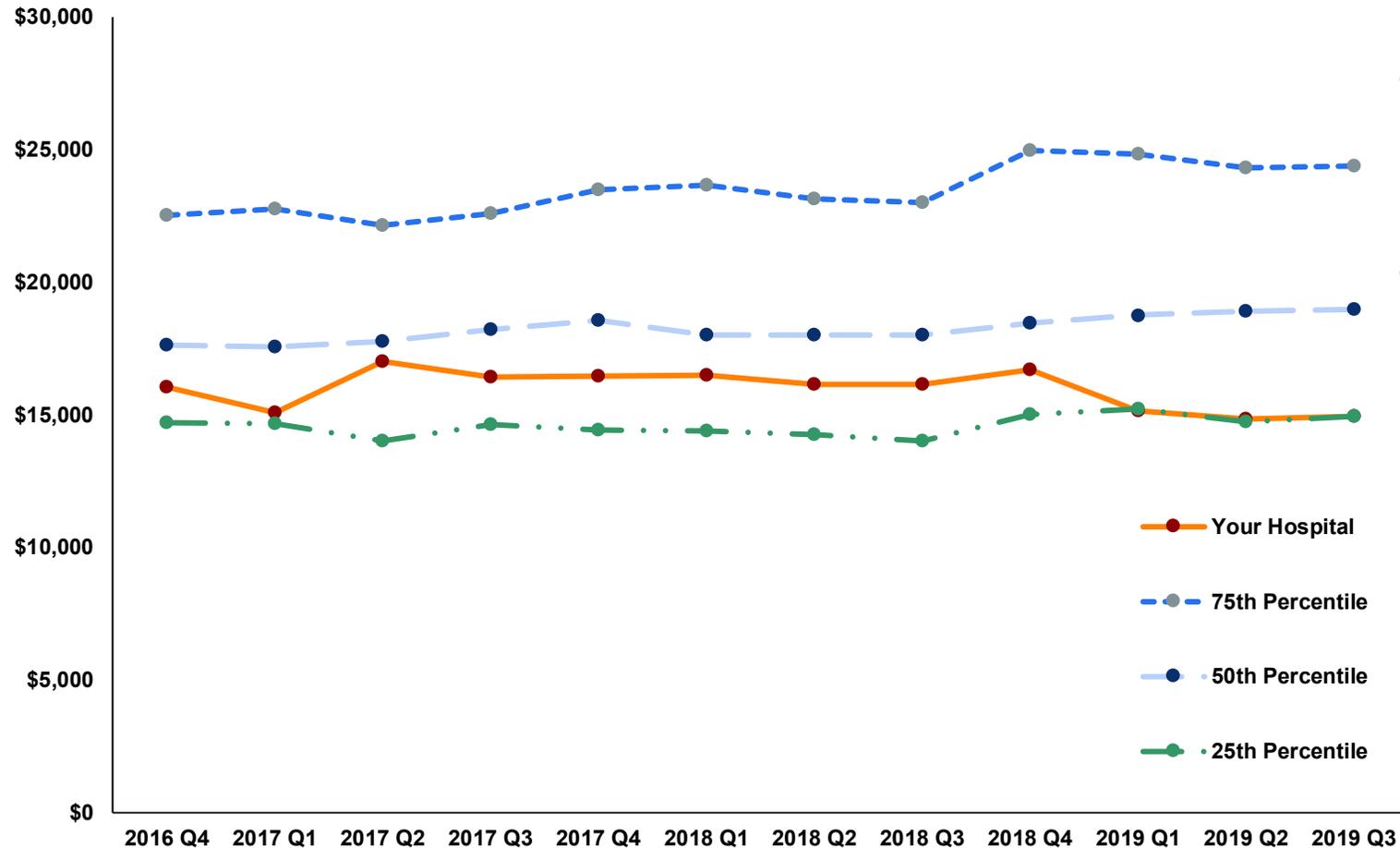


Stewardship and Efficiency

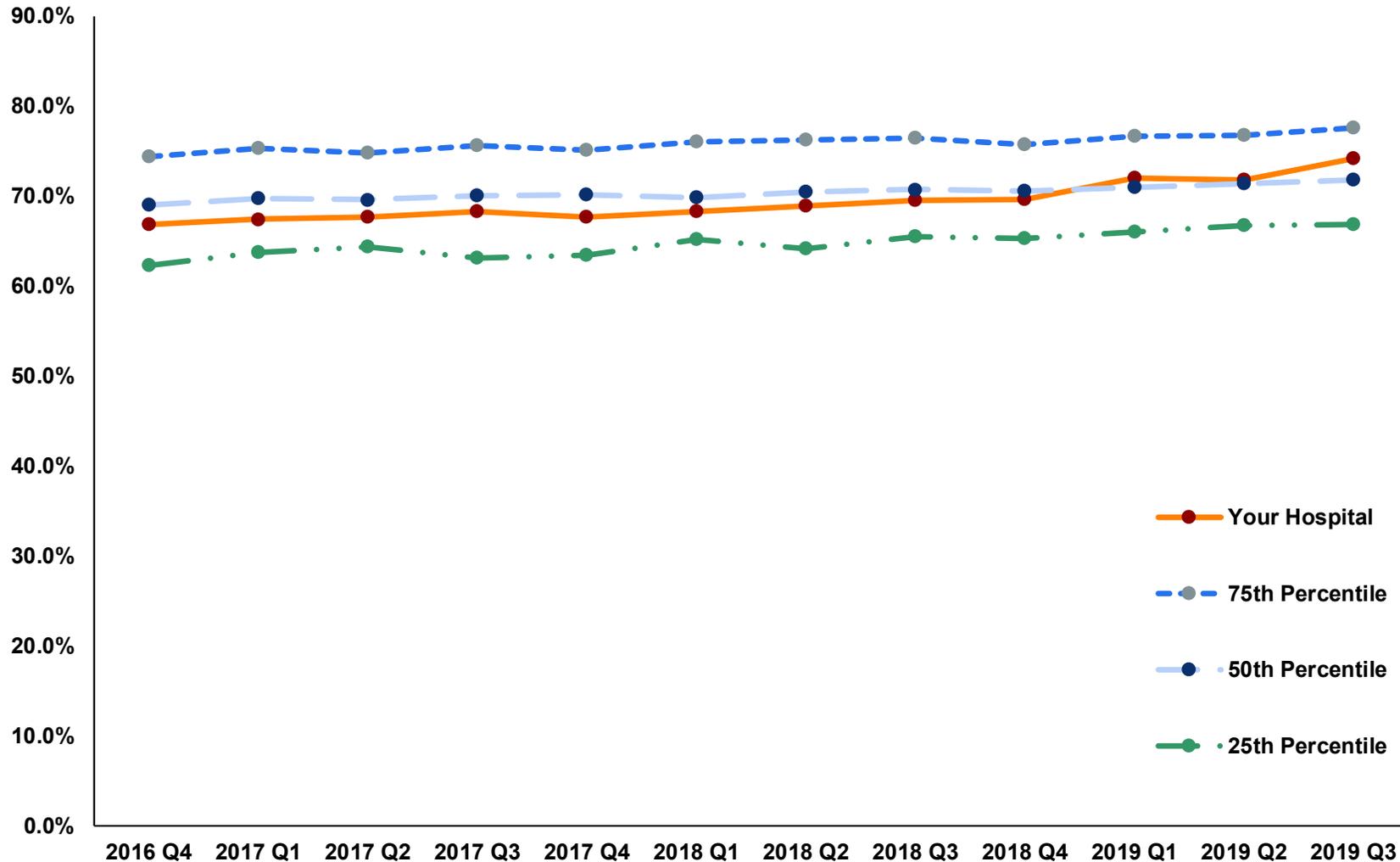
Expense Per Adjusted Discharge

Financially Responsible

- Historically performing slightly below the median
- Recent decrease to 25th percentile reflects savings and efficiencies realized through stewardship efforts



Net Revenue Discount Rate



Revenue deductions are near national median, though increasing

- Reflective of changes in payor mix and increasing payor pressures
- Equates to approximately \$100M in increased deductions
- Charity care >75th percentile

Closure of Pinnacle Regional Hospital



Caleb Rowden @calebrowden · 8h

Read my full statement re: the decision by Pinnacle to close their hospital in Boonville and Cooper County. We will continue to monitor and work toward a positive resolution for impacted individuals throughout #MidMo.

Rowden Statement on Boonville Hospital Closure

JEFFERSON CITY, MO—Today Senator Caleb Rowden (R-Columbia), released the following statement regarding the closure of Pinnacle’s hospital in Boonville:

“I’m dismayed by Pinnacle’s decision to close their hospital in Boonville and am outraged by reports of how the company has treated their employees and patients—my constituents.

Pinnacle ceased surgical operations after the Missouri Department of Health and Senior Service (DHSS) discovered Pinnacle was not sterilizing surgical tools and equipment. DHSS also found that Pinnacle suspended lab services due to corporate refusal to pay for federally mandated lab proficiency tests. Despite the best efforts of DHSS to work with Pinnacle to keep the hospital open, the company made the decision not to correct critical violations.

After numerous discussion with DHSS throughout the day yesterday, I’m relieved to learn the agency has persuaded Pinnacle to **suspend** their license, rather than **terminate** it, in order to allow any potential buyers to repair and reopen the hospital as quickly as possible. **I am further encouraged by MU Health Care’s decision to step up and hold open interviews in Boonville for affected staff.** I will be working with DHSS and county officials to ensure as many avenues to reopening the hospital remain open.

Details on MU Health Care interviews:

- Thursday, January 16 and Tuesday, January 21
- 10am-4pm
- Isle of Capri Boonville, 100 Isle of Capri Blvd, Boonville, MO 65233

Senator Caleb Rowden
State Senator — District 19
Missouri Senate Majority Leader

“I am further encouraged by MU Health Care’s decision to step up and hold open interviews in Boonville for affected staff.”

— Sen. Caleb Rowden

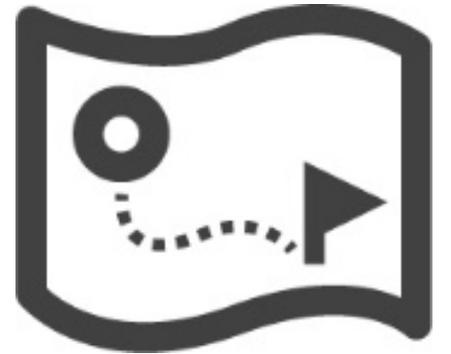
“I’ve not seen anything like this before. The support while we are in devastation is absolutely amazing.”

— job fair attendee

Appendix

Chief Financial Officer Recruitment

- Partnered with leading executive search firm
- **375 candidates** screened by firm
- **5 candidates** part of Round 1 in mid-January
- **2-3 candidates** to return early February for Round 2
- Final decision targeted for March



Academic Health Center Plan



Make a Distinct Impact

1. Train, Attract & Retain Exceptional Talent
2. Fuel Discovery Through Collaboration
3. Make Translation an Aspiration
4. Align and Grow Clinical Research
5. Create a Structure that Sustains Excellence



Grow Our Ability to Serve

1. Optimize Clinical and Operational Performance
2. Serve the Rural Market More Effectively
3. Enhance the Ambulatory Footprint
4. Develop New Payer/Employer Products and Strategies
5. Enhance Select Service Lines to Achieve Excellence



Align MU's Capabilities in Health

1. Expand Interprofessional Education
2. Develop Rural Health
3. Build Diversity & Inclusion Strategy
4. Define Shared Research Support & Infrastructure
5. Understand MU Health & Campus Synergies

Tiered Huddles

- Help **improve safety, the patient experience, quality of care** and more.
- Open up communication channel between **frontline staff and leaders.**
- A quick, efficient way to **address issues.**
- Adopted systemwide: **170** tier 1 huddles, **12** tier 2 huddles and **1** tier 3 huddle.



PI Priorities Update

Original Teams

- All-cause readmissions
- Pressure Injuries
- Sepsis
- PE/DVT
- Heart Failure
- COPD
- AMI/PCI
- CABG/Valve
- Hip/Femur
- Major Bowel
- Spinal Fusion
- Post-Op Respiratory Failure

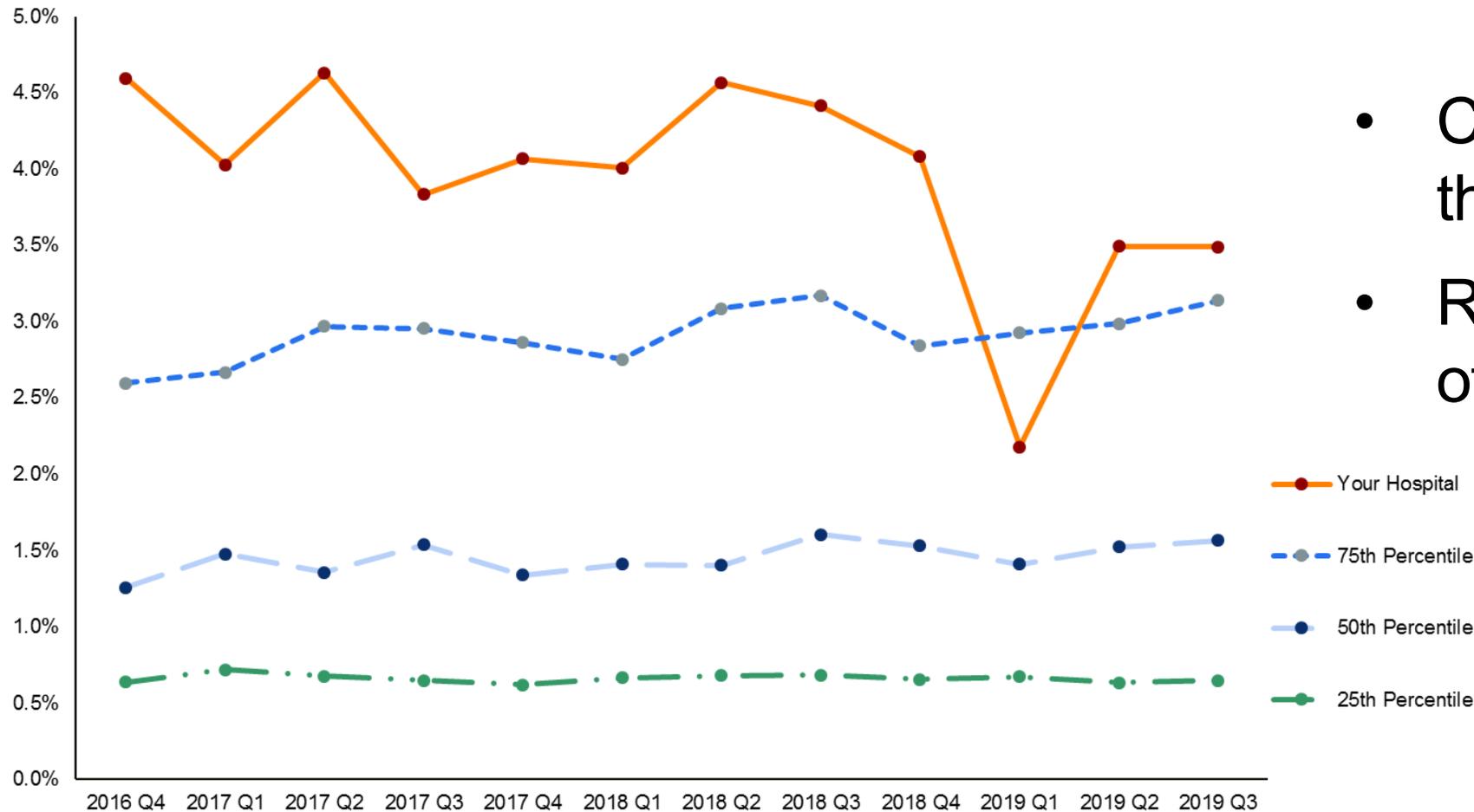
Newest Teams

- Documentation/Coding
- Serious Illness & Advanced Disease
- Bariatric Surgery (BPCI-Advanced)

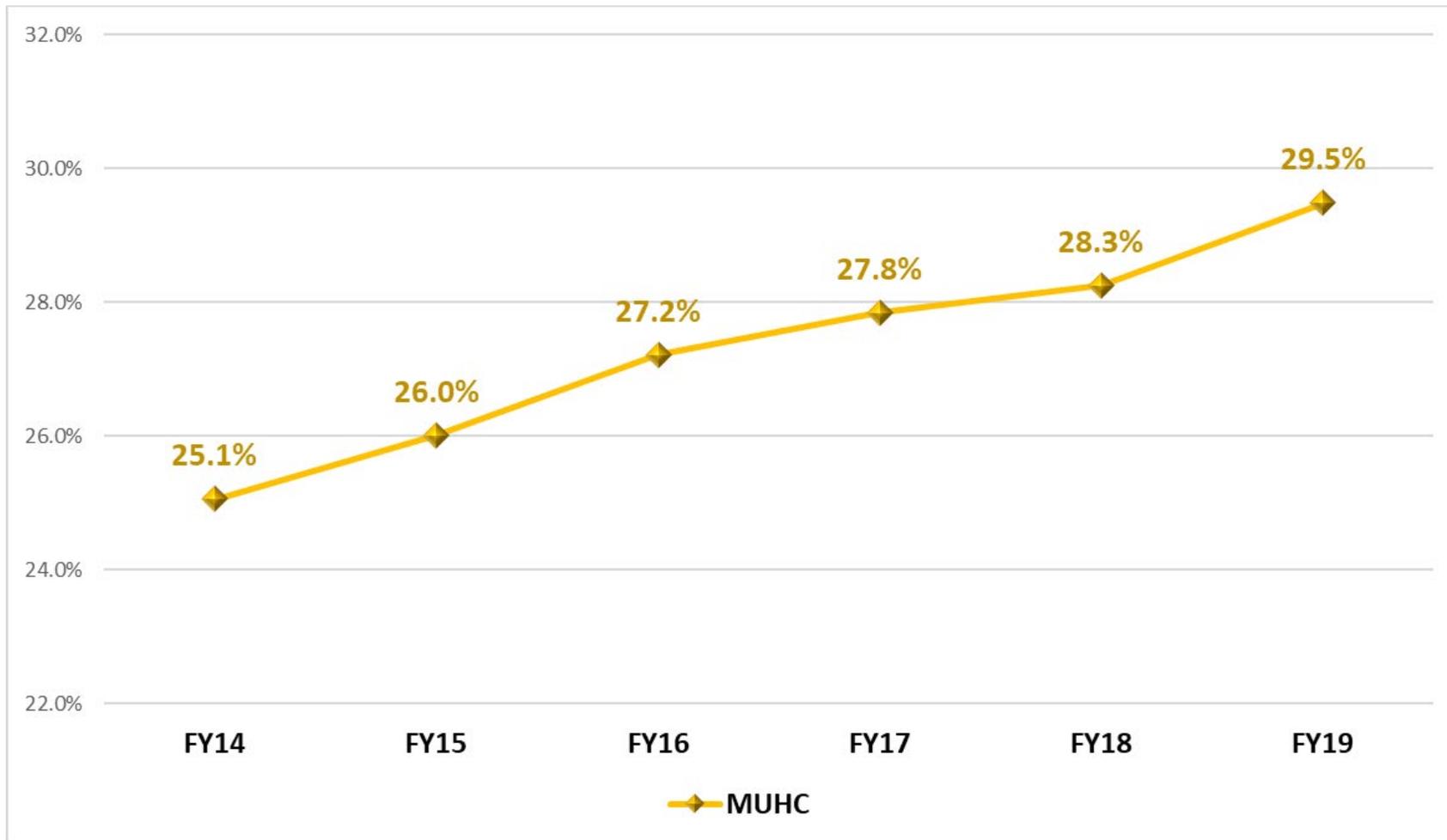
Charity Care Charges Share of Total Charges

Committed to our mission

- Charity care well above the 75th percentile
- Recent drop is reflective of streamlining practice



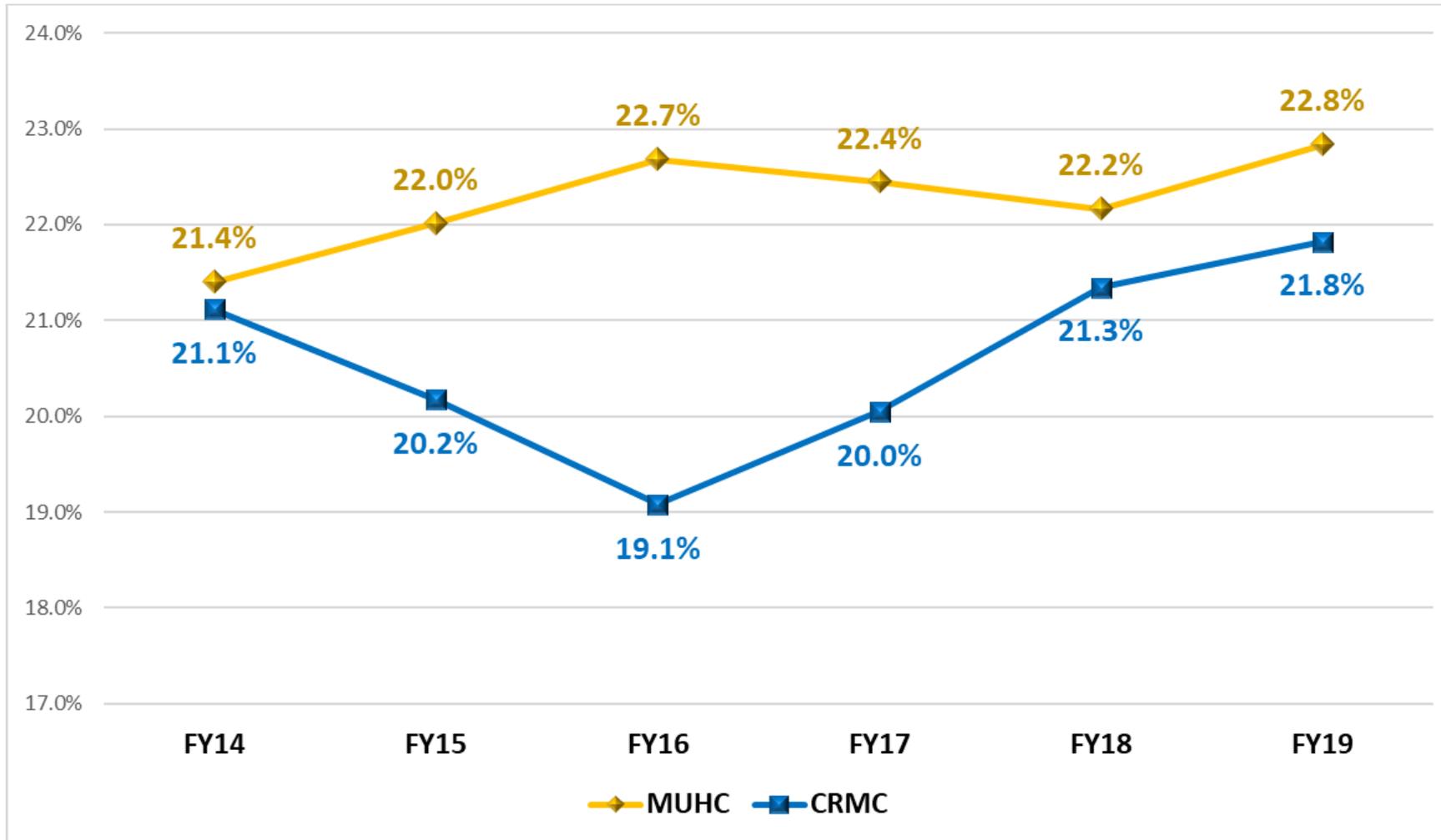
MUHC Inpatient Market Share – Service Area



**17.7% growth in
25-county
service area
market share,
FY14 to FY19**

Source: HIDIP
Does not include Normal Newborns

Capital Region Medical Center Inpatient Market Share



3.3% growth in 8-county service area market share, FY14 to FY19

Source: HIDIP
Does not include Normal Newborns

NEXT GEN UPDATE

There are no materials for this information item.



Tiger Institute Update

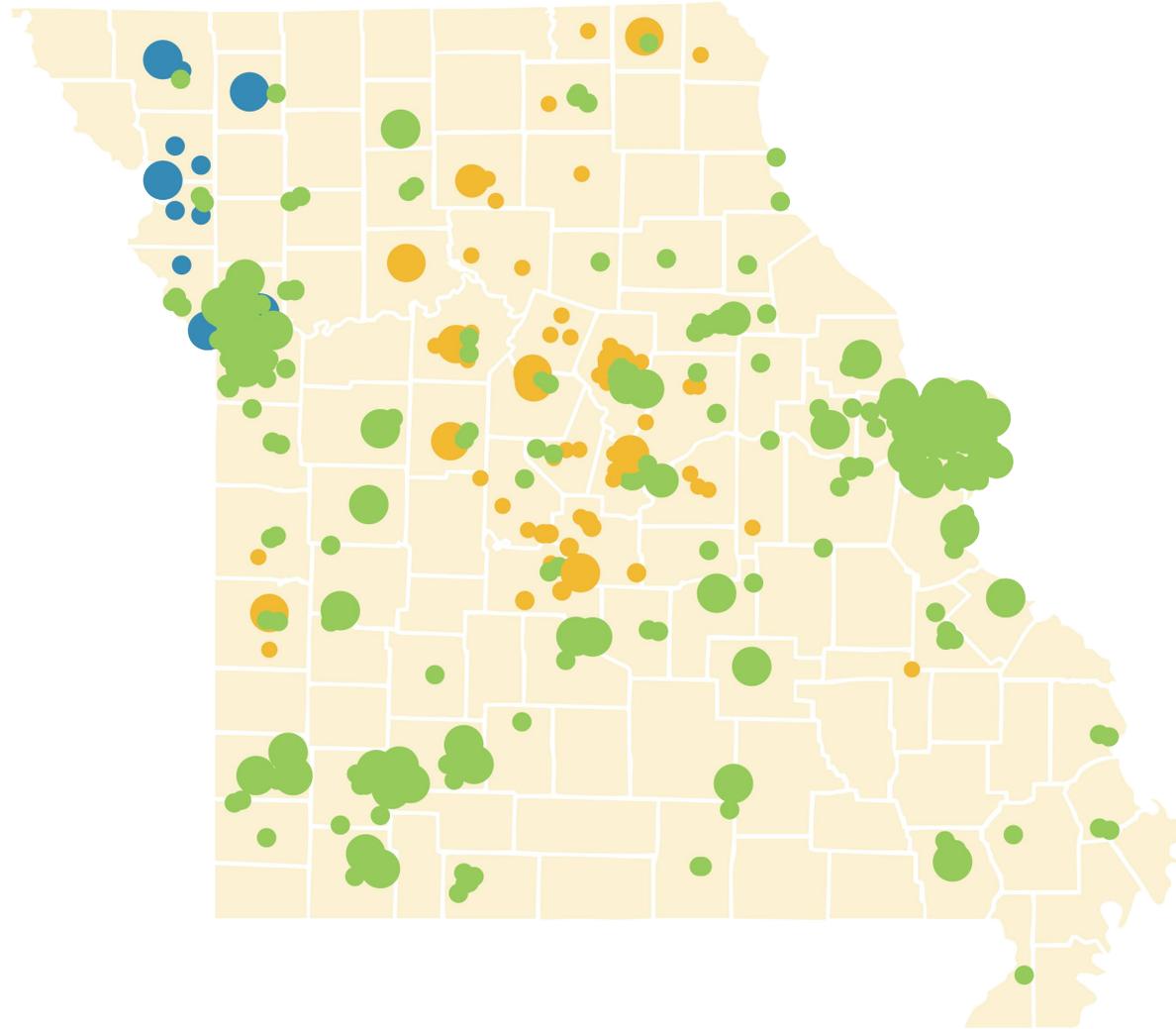
10 Years of Tiger Institute



10 Years of Tiger Institute



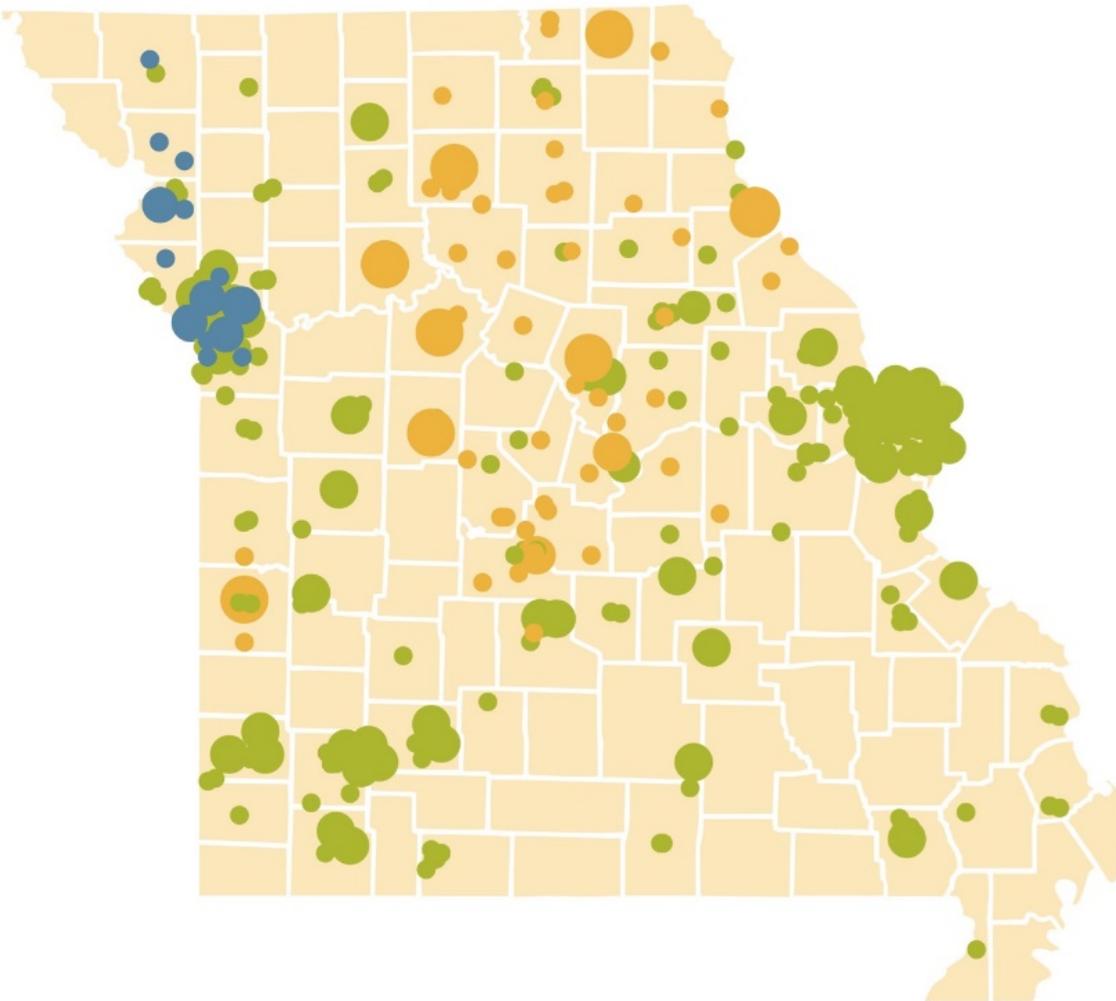
Health Alliance HIE



- 11-12
 - Capital Region Hospital
 - Carrol County Memorial Hospital
 - Community Health Center of Central MO
 - Jefferson City Medical Group
 - Nevada Regional Medical Center
 - Samaritan Hospital
 - Scotland County Hospital
 - University of Missouri Health Care
 - University of Missouri Physicians
- 13-14
 - Cooper County Memorial Hospital
 - Family Health Center
 - Howard A. Rusk Rehabilitation Center
 - Lewis and Clark Information Exchange
 - Robert Sparks
 - The Bluffs
- 15-16
 - Advanced Senior Care
 - Bothwell Regional Health Center
 - Capital Region Medical Clinics
 - Columbia Family Medical Group
 - Columbia Surgical Associates
 - Iron County
 - Namaste Health Center
 - Pyramid Home Health
- 17
 - Fitzgibbon Hospital/The Living Center
 - Hometown Homecare & Hospice
 - Orthopedic Home Health
 - SSM Health
 - Women's Wellness Center
- 18
 - Davita Dialysis
 - G.I. Associates
 - Missouri Health Connections
 - Missouri Heart Center
 - VA Hospitals/ Clinics
- 19
 - Lake Regional Health System
 - Pershing Hospital Center

Health Alliance Today

HIE CONNECTIONS (MISSOURI LOCATIONS)



TIHA Member

- Advanced Senior Care
- Bothwell Regional Health Center
- The Bluffs (SNF)
- Capital Regional Medical Center
- Carroll County Memorial Hospital
- Columbia Family Medical Group
- Columbia Surgical Associates
- Community Health Center of Central MO
- Family Health Center
- Fitzgibbon Hospital/The Living Center
- G.I. Associates
- Hannibal Regional Healthcare System
- Hometown Homecare & Hospice
- Howard A. Rusk Rehabilitation Center
- Jefferson City Medical Group
- Lake Regional Health System
- Missouri Heart Center

- Namaste Health Care
- Nevada Regional Medical Center
- The Neighborhoods (SNF)
- Orthopaedic Home Health
- Pershing Health System
- Pyramid Home Health
- Scotland County Hospital
- University of Missouri Health Care
- University Physicians
- Women's Wellness Center

Regional and Nationwide HIE Connections

- Lewis and Clark Information Exchange
- SSM Health
- VA Hospitals / Clinics
- DaVita Dialysis
- Missouri Health Connection

**Commonwell Health Alliance connections not included*

Key Initiatives

- Regional care platform
- Revenue cycle transition
- Performance improvement initiatives
- Data infrastructure
- Industry partnerships - NextGen



Regional Academic Care Platform



Health Care

- One shared patient record
- Smooth transitions of care
- Coordinated Care



Revenue Cycle Transition

- Integrated clinical and revenue cycle platform
- Scale across the region
- Phased approach
 - Registration and scheduling



Performance Improvement Initiatives

Original Teams

- All-cause readmissions
- Pressure injuries
- Sepsis
- PE/DVT
- Heart failure
- COPD
- AMI/PCI
- CABG/valve
- Hip/femur
- Major bowel
- Spinal fusion
- Post-op respiratory failure

Newest Teams

- Documentation/coding
- Serious illness and advanced disease
- Bariatric surgery (BPCI-advanced)



Data Infrastructure – Analytics

- **Power BI** will be our enterprise Business Intelligence tool
- **Azure** will be utilized as a provider of cloud computing and data storage



- Improve access to information
- Enable self-service analytics
- Scale the impact of analysts



| INPATIENT DAYS | Wed | Thu | Fri | Sat | Sun | Mon | Tue | Wed | Thu |
|--------------------|-------|-------|-------|-------|-------|-------|-------|-------|-------|
| Hospitals | 01/08 | 01/09 | 01/10 | 01/11 | 01/12 | 01/13 | 01/14 | 01/15 | 01/16 |
| UH, EXC MOI & MUPC | 322 | 304 | 284 | 289 | 291 | 341 | 310 | 282 | 287 |
| MOI | 20 | 18 | 18 | 16 | 11 | 12 | 18 | 24 | 13 |
| MUPC | 52 | 52 | 42 | 44 | 46 | 41 | 38 | 40 | 44 |
| WCH | 109 | 112 | 101 | 98 | 98 | 88 | 96 | 86 | 94 |
| Total | 503 | 486 | 445 | 447 | 446 | 482 | 462 | 432 | 438 |
| Newborn | 14 | 15 | 14 | 14 | 11 | 10 | 12 | 8 | 7 |

| TRENDED TOTAL DISCHARGES (IP) | April | May | June | July | August | September | October | November | December |
|-------------------------------|-------|-------|-------|-------|--------|-----------|---------|----------|----------|
| Hospitals | 1,441 | 1,499 | 1,416 | 1,478 | 1,473 | 1,442 | 1,568 | 1,391 | 1,620 |
| UH, EXC MOI & MUPC | 127 | 142 | 146 | 170 | 140 | 148 | 171 | 158 | 160 |
| MOI | 226 | 254 | 232 | 260 | 241 | 238 | 272 | 244 | 264 |
| MUPC | 488 | 458 | 431 | 440 | 492 | 429 | 459 | 493 | 522 |
| WCH | 2,282 | 2,353 | 2,225 | 2,348 | 2,346 | 2,257 | 2,470 | 2,286 | 2,566 |
| Total | 161 | 164 | 166 | 171 | 153 | 168 | 195 | 193 | 184 |
| Newborn | 76.1 | 75.9 | 74.2 | 75.7 | 75.7 | 75.2 | 79.7 | 76.2 | 82.8 |

| OCCUPANCY RATE (Based on Inpatient Midnight Census) | MTD | MTD Proj | Bud | Var % | YTD Proj | YTD Bud | Var % | PYTD | Var % |
|-----------------------------------------------------|-------|----------|-------|--------|----------|---------|--------|-------|---------|
| Hospitals | 81.5% | 81.5% | 80.6% | 0.8% | 79.2% | 75.0% | 4.3% | 71.1% | 8.1% |
| UH, EXC MOI & MUPC (352 Beds) | 47.0% | 47.0% | 30.1% | 16.9% | 43.1% | 32.2% | 11.0% | 30.4% | 12.8% |
| MOI (35 Beds) | 74.9% | 74.9% | 85.5% | -10.6% | 79.2% | 81.9% | -2.7% | 81.9% | (2.7%) |
| MUPC (61 Beds) | 67.5% | 67.5% | 66.7% | 0.8% | 51.6% | 62.0% | -10.4% | 66.9% | (15.3%) |
| WCH (159 Beds) | 75.1% | 75.1% | 74.1% | 1.1% | 69.9% | 69.4% | 0.5% | 68.3% | 1.6% |

| AVERAGE LENGTH OF STAY | MTD | PM YTD | Bud | Var % | YTD Proj | YTD Bud | Var % | PYTD | Var % |
|------------------------|------|--------|------|--------|----------|---------|--------|------|--------|
| Hospitals | 5.91 | 5.71 | 6.02 | 1.7% | 5.74 | 5.58 | (2.9%) | 5.51 | (4.3%) |
| UH, EXC MOI & MUPC | 2.83 | 3.00 | 2.80 | (1.1%) | 2.97 | 2.80 | (6.2%) | 2.77 | (7.3%) |
| MOI | 5.94 | 5.92 | 7.18 | 17.4% | 5.93 | 6.29 | 5.8% | 6.10 | 2.8% |
| MUPC | 5.42 | 5.56 | 6.56 | 17.4% | 5.53 | 6.20 | 10.7% | 6.14 | 9.8% |
| WCH | 5.59 | 5.53 | 6.05 | 7.7% | 5.53 | 5.61 | 1.4% | 5.53 | (0.0%) |

| FTE/AOB | MTD | PM YTD | Bud | Var % | YTD Proj | YTD Bud | Var % | PYTD | Var % |
|--------------------|-------|--------|-------|---------|----------|---------|--------|-------|--------|
| Hospitals | 6.28 | 6.47 | 6.85 | 8.3% | 6.38 | 6.96 | 8.3% | 7.10 | 10.2% |
| UH, EXC MOI & MUPC | 10.45 | 11.27 | 13.71 | 23.8% | 11.04 | 13.57 | 18.6% | 13.00 | 15.1% |
| MOI | 4.18 | 3.71 | 3.77 | (11.0%) | 3.77 | 3.84 | 2.0% | 3.63 | (3.7%) |
| MUPC | 5.80 | 5.79 | 5.52 | (5.2%) | 5.74 | 5.60 | (2.5%) | 5.80 | 0.9% |
| WCH | 6.00 | 5.94 | 6.11 | 1.7% | 5.89 | 6.21 | 5.1% | 6.27 | 6.1% |

| NEWBORN STATS | MTD | MTD Proj | Bud | Var % | YTD Proj | YTD Bud | Var % | PYTD | Var % |
|---------------|------|----------|------|---------|----------|---------|--------|-------|--------|
| Deliveries | 104 | 202 | 227 | (11.0%) | 1,550 | 1,593 | (2.7%) | 1,543 | 0.5% |
| Patient Days | 181 | 351 | 322 | 9.0% | 2,447 | 2,646 | (7.5%) | 2,543 | (3.8%) |
| Discharges | 96 | 186 | 165 | 12.7% | 1,250 | 1,291 | (3.2%) | 1,240 | 0.8% |
| ALOS | 1.89 | 1.89 | 1.95 | (3.3%) | 1.96 | 2.05 | (4.5%) | 2.05 | (4.5%) |

Variances below -5% are RED and above 5% are GREEN

| INPATIENT DAYS | MTD | MTD Proj | Bud | Var % | YTD Proj | YTD Bud | Var % | PYTD | Var % |
|--------------------|-------|----------|--------|---------|----------|---------|---------|--------|--------|
| Hospitals | 4,773 | 9,249 | 8,900 | 3.9% | 60,521 | 57,380 | 5.5% | 54,841 | 10.4% |
| UH, EXC MOI & MUPC | 266 | 515 | 392 | 31.4% | 3,354 | 2,904 | 15.5% | 2,750 | 22.0% |
| MOI | 742 | 1,438 | 1,616 | (11.0%) | 10,434 | 10,747 | (2.9%) | 10,758 | (3.0%) |
| MUPC | 1,604 | 3,109 | 3,308 | (6.0%) | 18,867 | 21,339 | (11.6%) | 20,513 | (8.0%) |
| WCH | 7,385 | 14,311 | 14,216 | 0.7% | 93,176 | 92,370 | 0.9% | 88,862 | 4.9% |
| Total | 462 | 462 | 459 | 0.7% | 433 | 430 | 0.9% | 413 | 4.9% |

| DISCHARGES | MTD | MTD Proj | Bud | Var % | YTD Proj | YTD Bud | Var % | PYTD | Var % |
|--------------------|-------|----------|-------|-------|----------|---------|--------|--------|--------|
| Hospitals | 807 | 1,564 | 1,479 | 5.7% | 10,536 | 10,274 | 2.6% | 9,956 | 5.8% |
| UH, EXC MOI & MUPC | 94 | 182 | 140 | 30.0% | 1,129 | 1,038 | 8.8% | 993 | 13.7% |
| MOI | 125 | 242 | 225 | 7.6% | 1,761 | 1,709 | 3.0% | 1,765 | (0.2%) |
| MUPC | 296 | 574 | 504 | 13.9% | 3,409 | 3,442 | (1.0%) | 3,343 | 2.0% |
| WCH | 1,322 | 2,562 | 2,348 | 9.1% | 16,835 | 16,463 | 2.3% | 16,057 | 4.8% |
| Total | 83 | 83 | 76 | 9.1% | 78 | 77 | 2.3% | 75 | 4.8% |

| HOSPITAL SURGERIES - CHARGED | MTD | MTD Proj | Bud | Var % | YTD Proj | YTD Bud | Var % | PYTD | Var % |
|------------------------------|-------|----------|-------|---------|----------|---------|---------|--------|---------|
| Hospitals | 480 | 930 | 819 | 13.6% | 6,356 | 6,312 | 0.7% | 6,027 | 5.5% |
| UH, EXC MOI & MUPC | 228 | 442 | 411 | 7.5% | 2,868 | 2,842 | 0.9% | 2,892 | (0.8%) |
| MOI | 238 | 461 | 483 | (4.6%) | 3,420 | 3,589 | (4.7%) | 3,404 | 0.5% |
| L&D OR | 36 | 70 | 105 | (33.3%) | 585 | 737 | (20.6%) | 715 | (18.2%) |
| MCOS | 179 | 347 | 355 | (2.3%) | 2,480 | 2,632 | (5.8%) | 2,528 | (1.9%) |
| Total | 1,161 | 2,250 | 2,173 | 3.5% | 15,709 | 16,112 | (2.5%) | 15,566 | 0.9% |
| Daily Average | 73 | 73 | 70 | 3.5% | 73 | 75 | (2.5%) | 72 | 0.9% |

| ER VISITS - CHARGED | MTD | MTD Proj | Bud | Var % | YTD Proj | YTD Bud | Var % | PYTD | Var % |
|---------------------|-------|----------|-------|-------|----------|---------|-------|--------|-------|
| Hospitals | 2,482 | 4,809 | 4,185 | 14.9% | 32,537 | 30,496 | 6.7% | 29,403 | 10.7% |
| UH | 1,506 | 2,918 | 2,709 | 7.7% | 16,933 | 16,866 | 0.4% | 16,218 | 4.4% |
| WCH | 3,988 | 7,727 | 6,894 | 12.1% | 49,470 | 47,362 | 4.5% | 45,621 | 8.4% |
| Total | 249 | 249 | 222 | 12.1% | 230 | 220 | 4.5% | 212 | 8.4% |

| OBSERVATIONS & SHORT STAYS DISCHARGED | MTD | MTD Proj | Bud | Var % | YTD Proj | YTD Bud | Var % | PYTD | Var % |
|---------------------------------------|-----|----------|-------|---------|----------|---------|-------|--------|--------|
| Hospitals | 274 | 531 | 309 | 71.8% | 3,616 | 2,553 | 41.6% | 3,965 | (8.8%) |
| UH, EXC MOI & MUPC | 21 | 41 | 46 | (11.5%) | 406 | 245 | 65.6% | 251 | 61.6% |
| MOI | 40 | 78 | 72 | 7.6% | 641 | 486 | 31.8% | 456 | 40.5% |
| MUPC | 405 | 785 | 771 | 1.7% | 5,581 | 5,537 | 0.8% | 5,394 | 3.5% |
| WCH | 740 | 1,328 | 1,198 | 10.8% | 10,243 | 8,821 | 16.1% | 10,066 | 1.8% |
| Total | 43 | 43 | 39 | 10.8% | 48 | 41 | 16.1% | 47 | 1.8% |

| CLINIC VISITS | MTD | MTD Proj | Bud | Var % | YTD Proj | YTD Bud | Var % | PYTD | Var % |
|--------------------|--------|----------|--------|---------|----------|---------|--------|---------|-------|
| Hospitals | 32,024 | 61,173 | 56,668 | 7.9% | 410,294 | 394,214 | 4.1% | 388,053 | 5.7% |
| Clinic Visits | 1,106 | 2,112 | 2,666 | (20.8%) | 13,837 | 13,893 | (0.4%) | 13,347 | 3.7% |
| Quick Care Visits | 1,354 | 2,585 | 2,838 | (8.9%) | 17,241 | 15,668 | 10.0% | 15,391 | 12.0% |
| Urgent Care Visits | 34,484 | 65,870 | 62,172 | 5.9% | 441,372 | 423,775 | 4.2% | 416,791 | 5.9% |
| Total | 3,137 | 3,137 | 2,961 | 5.9% | 2,982 | 2,863 | 4.2% | 2,816 | 5.9% |

CURRENT MONTH

YEAR TO DATE

Discharges by Service



| Service | Daily Avg This Mo | Daily Avg Last Mo | Var | YTD | Prior YTD | YTD Var |
|-----------------------------|-------------------|-------------------|------------|---------------|---------------|------------|
| CHILD HEALTH | 6.3 | 5.8 | 0.4 | 1,140 | 1,157 | -17 |
| EMERGENCY MEDICINE | 0.3 | 0.1 | 0.1 | 46 | 35 | 11 |
| FAMILY MEDICINE | 6.8 | 6.4 | 0.3 | 1,256 | 1,194 | 62 |
| GENERAL MEDICINE | 28.0 | 28.1 | -0.1 | 5,669 | 5,129 | 540 |
| GENERAL SURGERY | 12.9 | 12.4 | 0.5 | 2,702 | 2,605 | 97 |
| NEUROLOGY | 4.9 | 4.2 | 0.8 | 932 | 799 | 133 |
| OBSTETRIC/GYNECOLOGY | 7.6 | 7.5 | 0.1 | 1,682 | 1,726 | -44 |
| OPHTHALMOLOGY | | | | 1 | 4 | -3 |
| ORTHOPAEDIC SURGERY | 6.4 | 5.7 | 0.7 | 1,388 | 1,518 | -130 |
| OTOLARYNGOLOGY | 0.1 | 0.4 | -0.3 | 118 | 116 | 2 |
| PHYSICAL MEDICINE REHABILIT | | | | 2 | 4 | -2 |
| PSYCHIATRY | 7.9 | 8.2 | -0.3 | 1,752 | 1,763 | -11 |
| RADIOLOGY | 0.2 | 0.0 | 0.2 | 10 | 7 | 3 |
| Total | 81.3 | 78.9 | 2.3 | 16,698 | 16,057 | 641 |

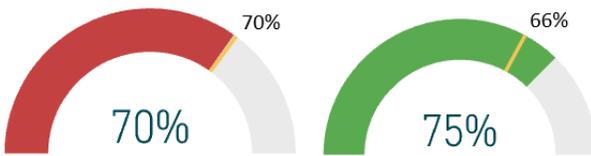
DISCHARGES



MIDNIGHT CENSUS



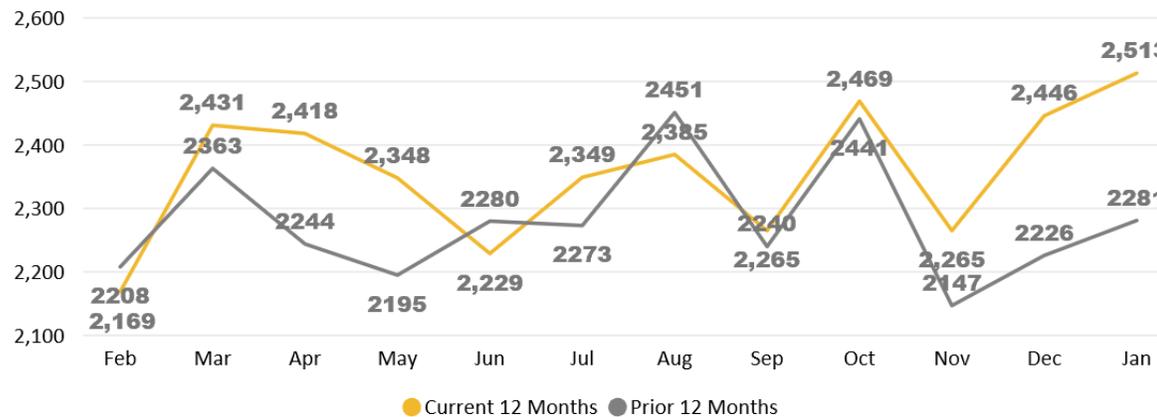
OCCUPANCY RATE



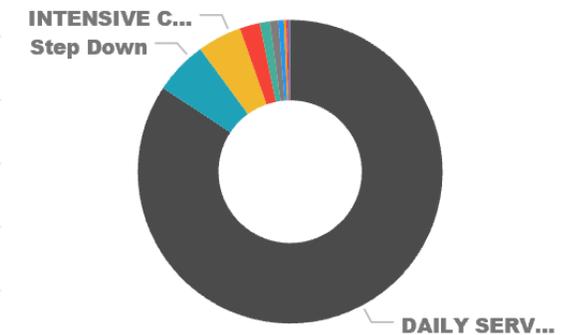
LENGTH OF STAY



RTM Trend



MTD Accomodations



CURRENT MONTH

YEAR TO DATE

Discharges by Service



| Service | Daily Avg This Mo | Daily Avg Last Mo | Var | YTD | Prior YTD | YTD Var |
|-------------------------|-------------------|-------------------|-------------|---------------|---------------|------------|
| CHILD HEALTH | 6.3 | 5.8 | 0.4 | 1,140 | 1,157 | -17 |
| EMERGENCY MEDICINE | 0.1 | 0.1 | 0.0 | 42 | 35 | 7 |
| FAMILY MEDICINE | 6.8 | 6.4 | 0.4 | 1,258 | 1,194 | 64 |
| GENERAL MEDICINE | 27.7 | 28.1 | -0.4 | 5,661 | 5,129 | 532 |
| CARDIOLOGY | 4.7 | 4.4 | 0.3 | 963 | 870 | 93 |
| GASTROENTEROLOGY | | | | 2 | 4 | -2 |
| GENERAL MEDICINE | 21.3 | 21.4 | -0.1 | 4,197 | 3,696 | 501 |
| HEMATOLOGY/ONCOLOGY | 0.3 | 0.2 | 0.1 | 55 | 160 | -105 |
| INFECTIOUS DISEASE | | | | 7 | | 7 |
| NEPHROLOGY | | | | 1 | 18 | -17 |
| PULMONARY DISEASE | 1.5 | 2.2 | -0.8 | 435 | 381 | 54 |
| GENERAL SURGERY | 13.1 | 12.4 | 0.7 | 2,708 | 2,605 | 103 |
| NEUROLOGY | 4.7 | 4.2 | 0.5 | 924 | 799 | 125 |
| OBSTETRIC/GYNECOLOGY | 7.9 | 7.5 | 0.4 | 1,694 | 1,726 | -32 |
| OPHTHALMOLOGY | | | | 1 | 4 | -3 |
| Total | 81.1 | 78.9 | 2.2 | 16,692 | 16,057 | 635 |

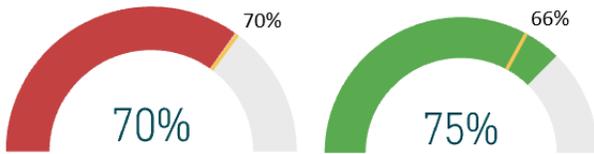
DISCHARGES



MIDNIGHT CENSUS



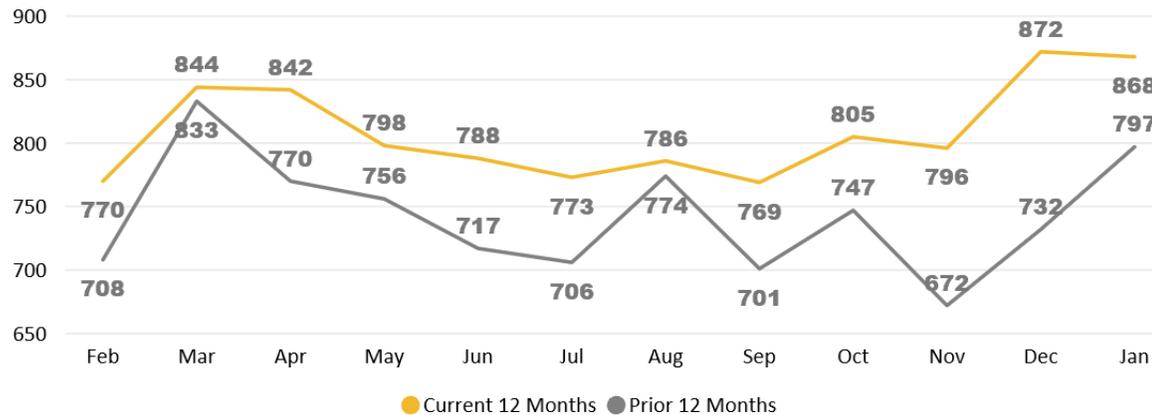
OCCUPANCY RATE



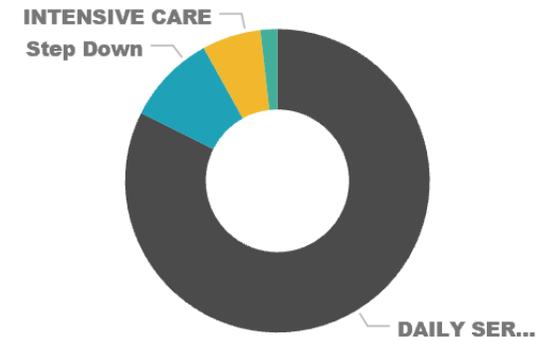
LENGTH OF STAY



GENERAL MEDICINE



MTD Accomodations



Industry Partnerships - NextGen



2020 Topics

- Networks and data use
- Continuous improvement
- Cybersecurity
- Cross-organizational governance



Questions?



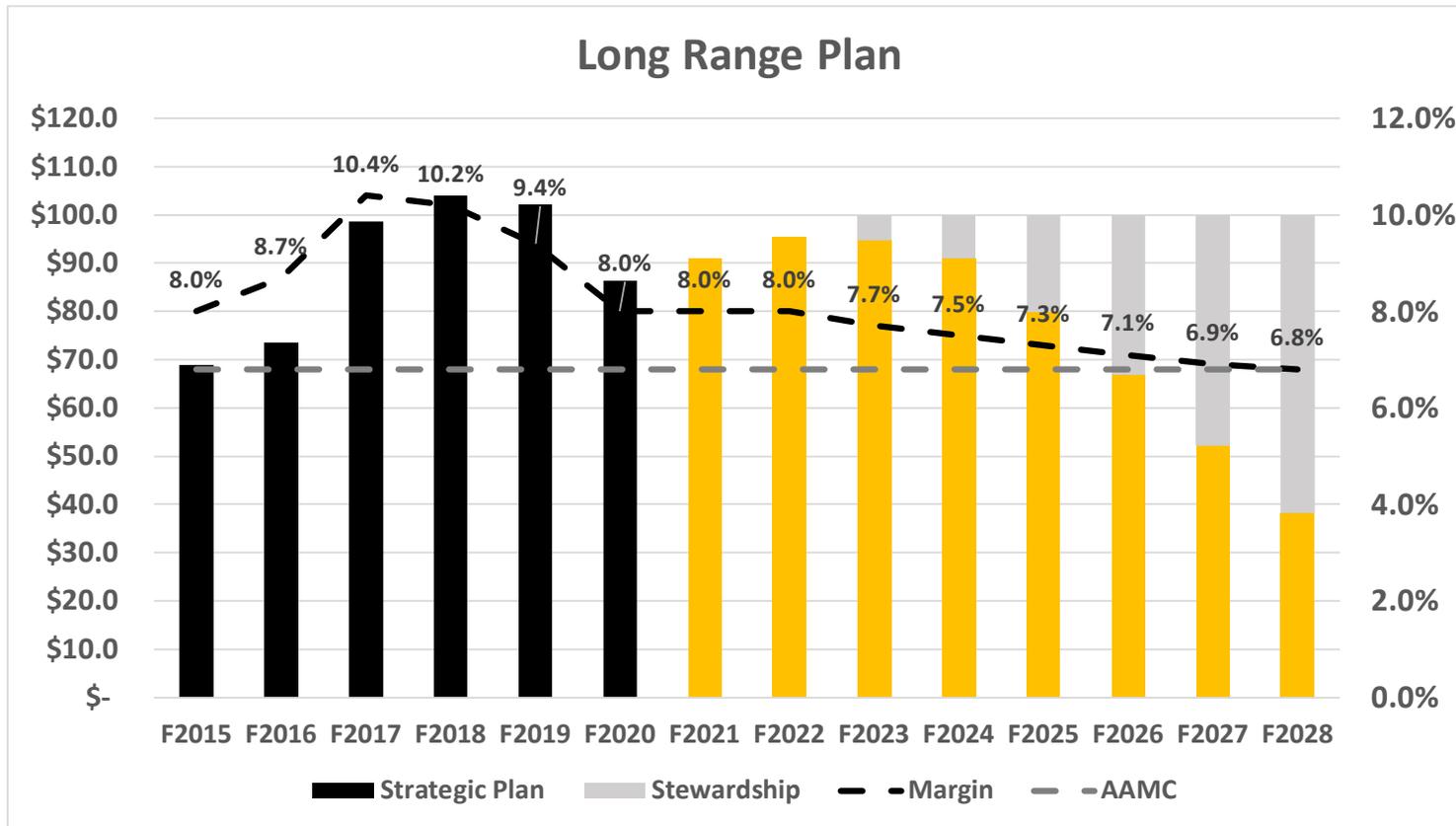
Health Care

Health Affairs Committee Finance Update

January 30, 2020

LONG-RANGE FINANCIAL PLAN

Achieving our long-range financial plan is critical to fund our day-to-day needs, invest in facility expansion and continually invest in our tripartite mission.



Challenges

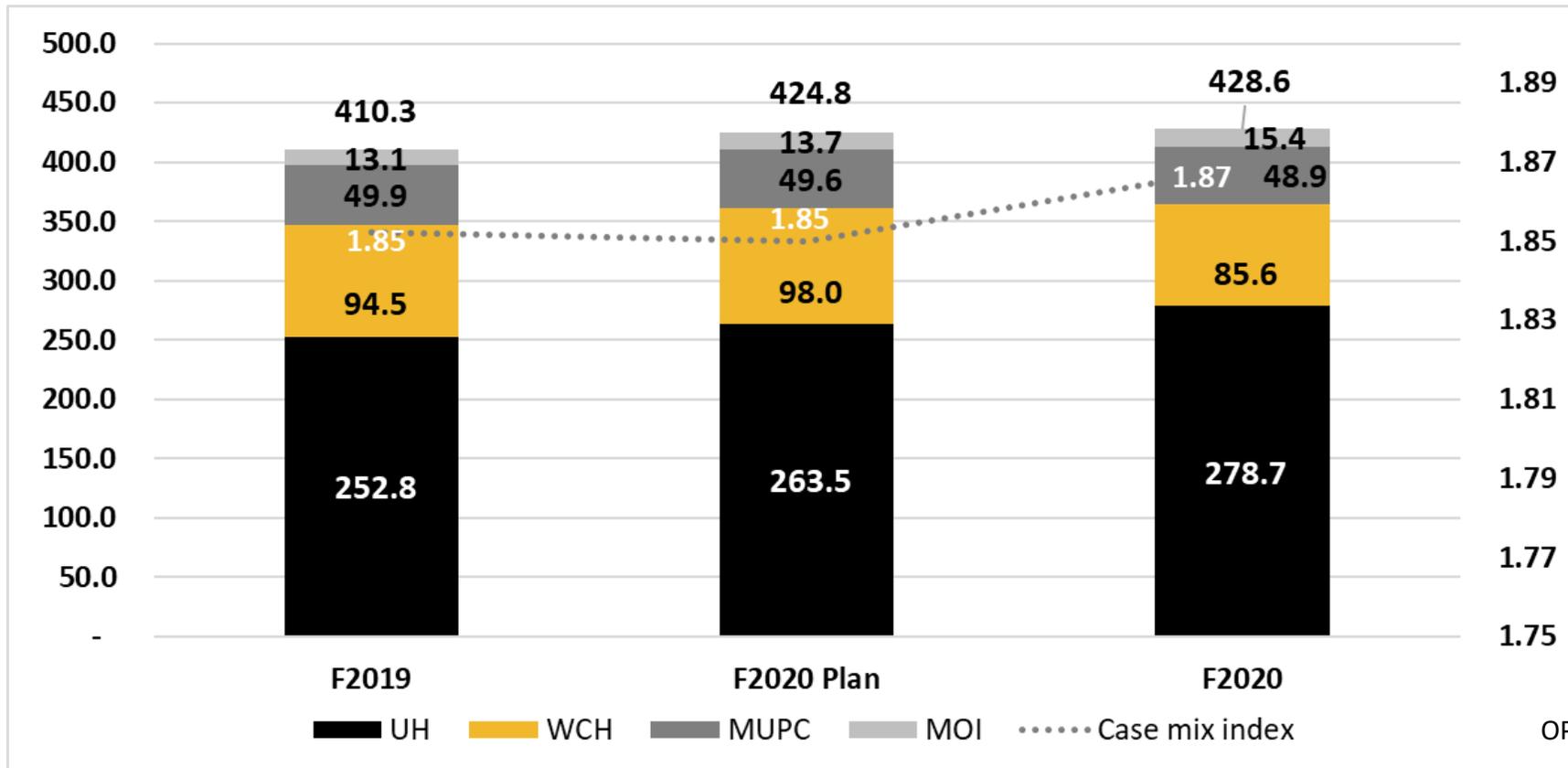
- Increased payor pressures
- Cost inflation outstripping revenue growth

Response

- Financial accountability
- Stewardship and efficiency
- Strategic growth

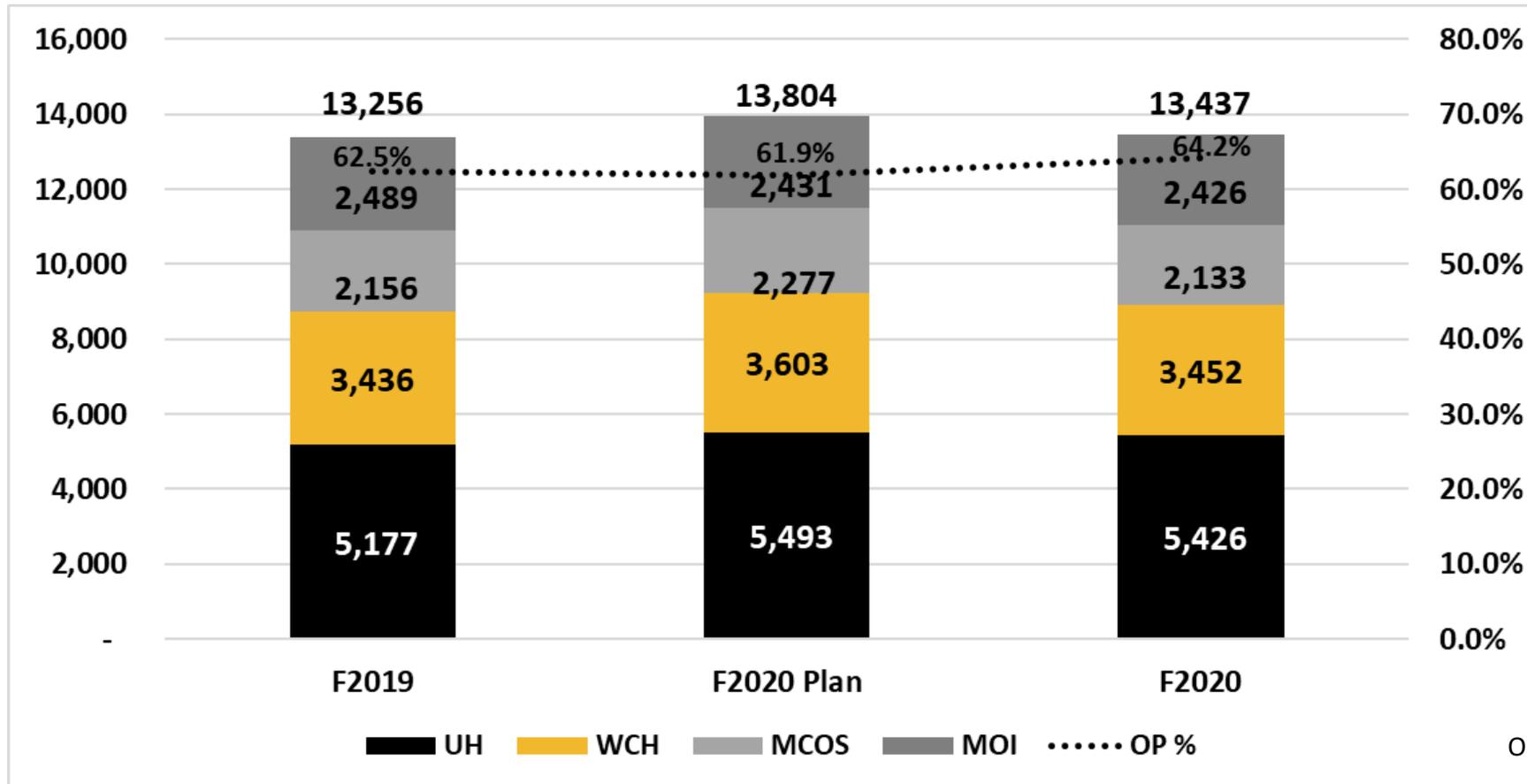
PATIENT UTILIZATION – AVERAGE DAILY CENSUS

- Average Daily Census was 4.5% higher than last year with strong performance in our adult medical populations
- Increase in patient acuity was driven by cardiac surgery and complex medical cases.



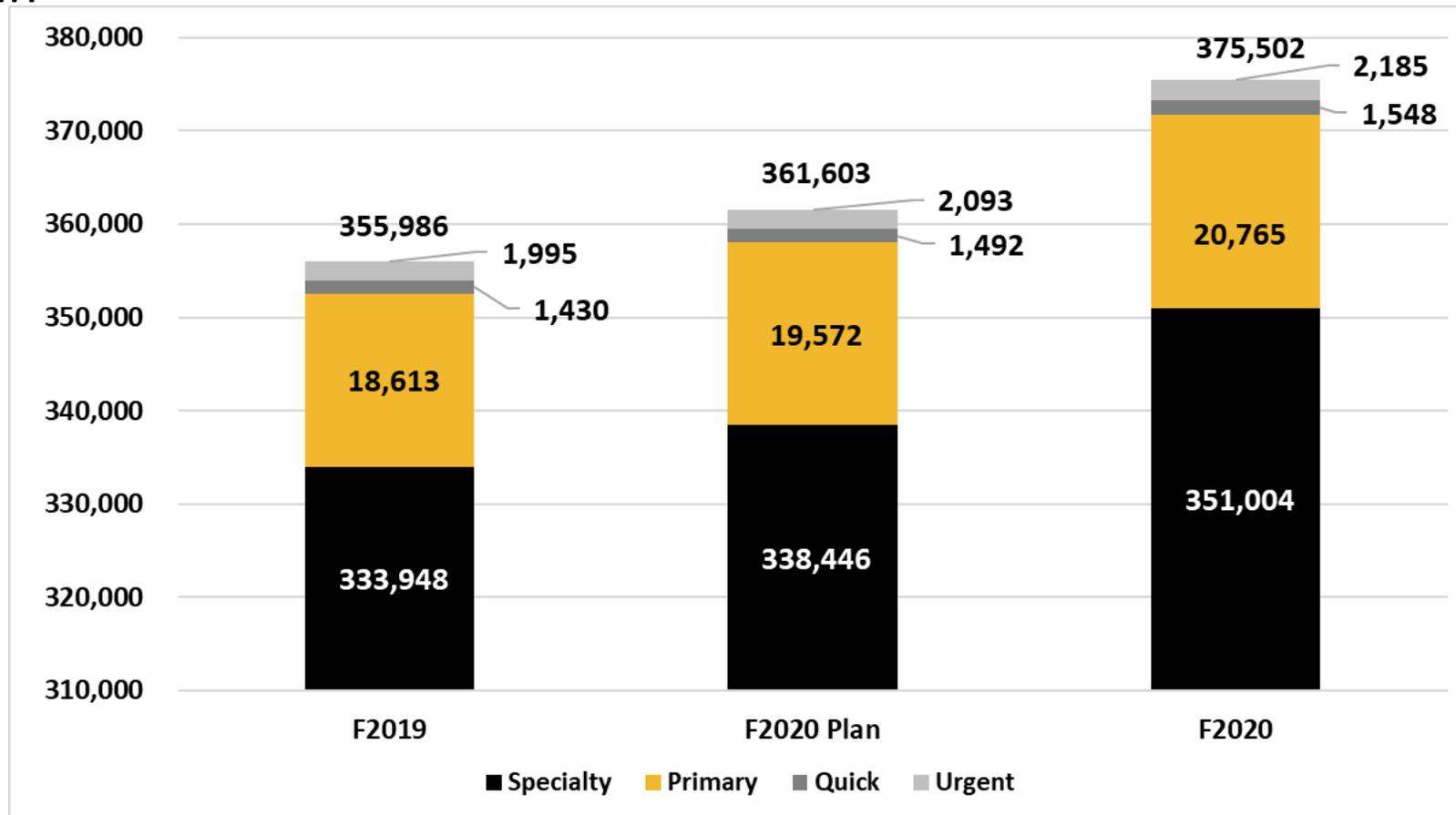
PATIENT UTILIZATION - SURGERIES

- Total surgeries were 2.6% lower than plan, but are slightly above prior year.
- The decrease was primarily driven by surgeon departures in key areas, but recruitment is active.



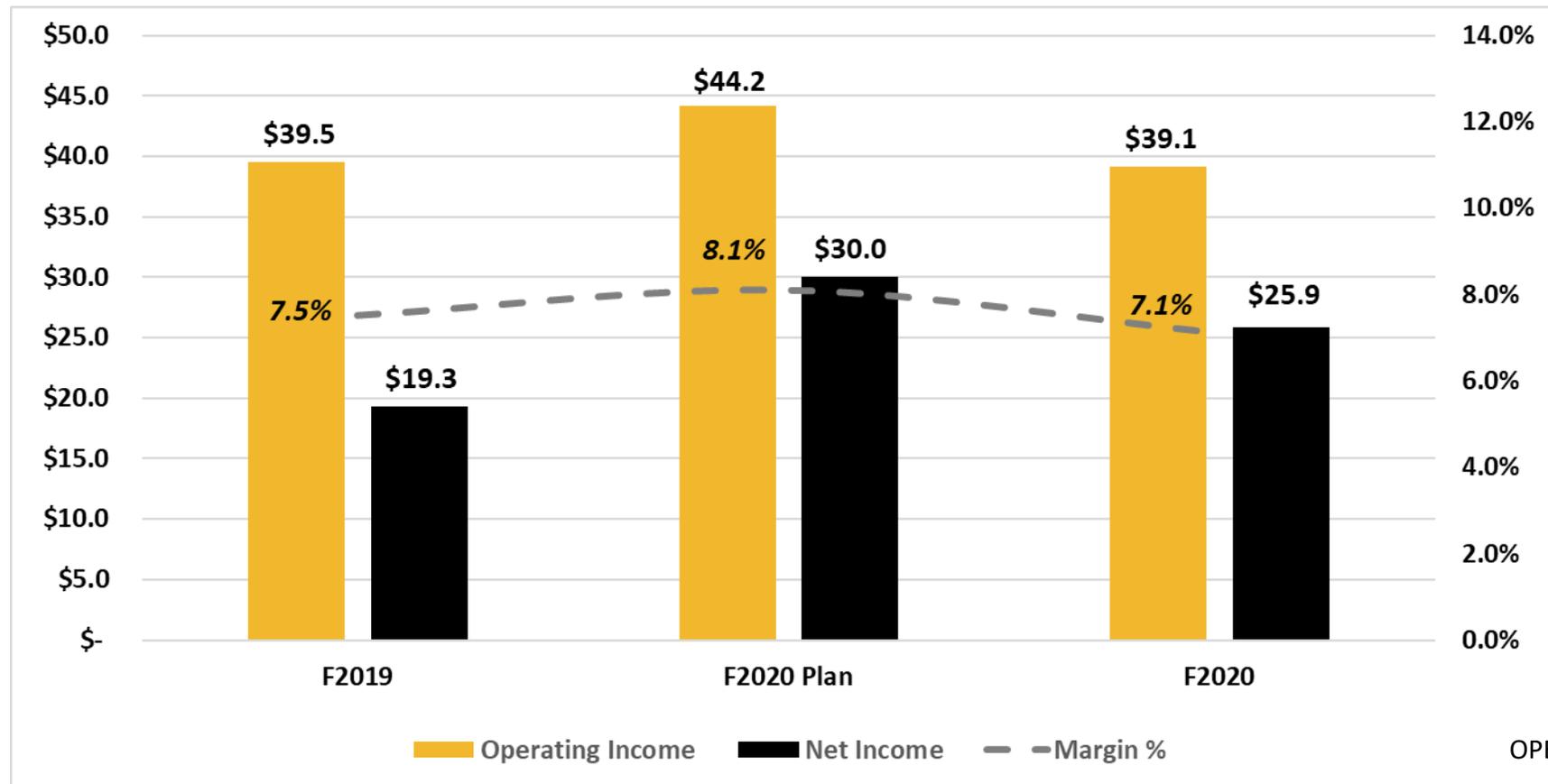
PATIENT UTILIZATION – CLINIC VISITS

- Clinic visits were 3.8% higher than plan and 5.5% higher than prior year
- All clinic service lines continue to see growth, with specialty clinics increasing 6.5% over plan



FINANCIAL RESULTS – DECEMBER YEAR-TO-DATE

- Total operating income of \$39M was 11.5% under plan and 1% lower than prior year of \$39.5M
- Net income of \$25.8M was (\$4M) unfavorable to plan and \$6.5M higher than prior year



FINANCIAL RESULTS - RATIOS AND BENCHMARKS

Most ratios and benchmarks continue to track with Moody's A rated medians with Days Cash on Hand and Net Days Revenue in AR unfavorable to the medians.

| Actual | Plan | Consolidated Financial Results | Prior Year | FY20 Annual Plan | Moody's A Rated |
|----------------------------------------|-----------|--------------------------------------|------------|------------------|-----------------|
| <i>(\$000's)</i> | | | | | |
| \$551,247 | \$545,994 | Net Revenues | \$526,100 | \$1,013,800 | |
| (512,129) | (501,786) | Operating Expenses | (486,591) | (939,400) | |
| 39,117 | 44,208 | Operating Income | 39,509 | 73,400 | |
| (13,263) | (14,228) | Non-operating Revenues, Net | (20,207) | (25,800) | |
| \$25,854 | \$29,981 | Change in Net Assets | \$19,302 | \$47,600 | |
| FINANCIAL RATIOS AND BENCHMARKS | | | | | |
| 7.1% | 8.1% | Operating Margin Percent | 7.5% | 8.0% | 2.2% |
| 4.0% | 4.9% | Annualized Return on Total Assets | 3.2% | 4.9% | 3.9% |
| 192.5% | 204.4% | Cash to Total Debt | 183.7% | 199.7% | 131.3% |
| 24.1% | 24.1% | Debt to Capitalization | 26.7% | 24.0% | 32.2% |
| 4.3 | 3.9 | Maximum Annual Debt Service Coverage | 3.8 | 3.9 | 4.7 |
| 200.4 | 209.5 | Days Cash on Hand | 213.7 | 215 | 215.1 |
| 50.7 | 49.8 | Net Days Revenue in AR | 52.6 | 50.0 | 45.9 |

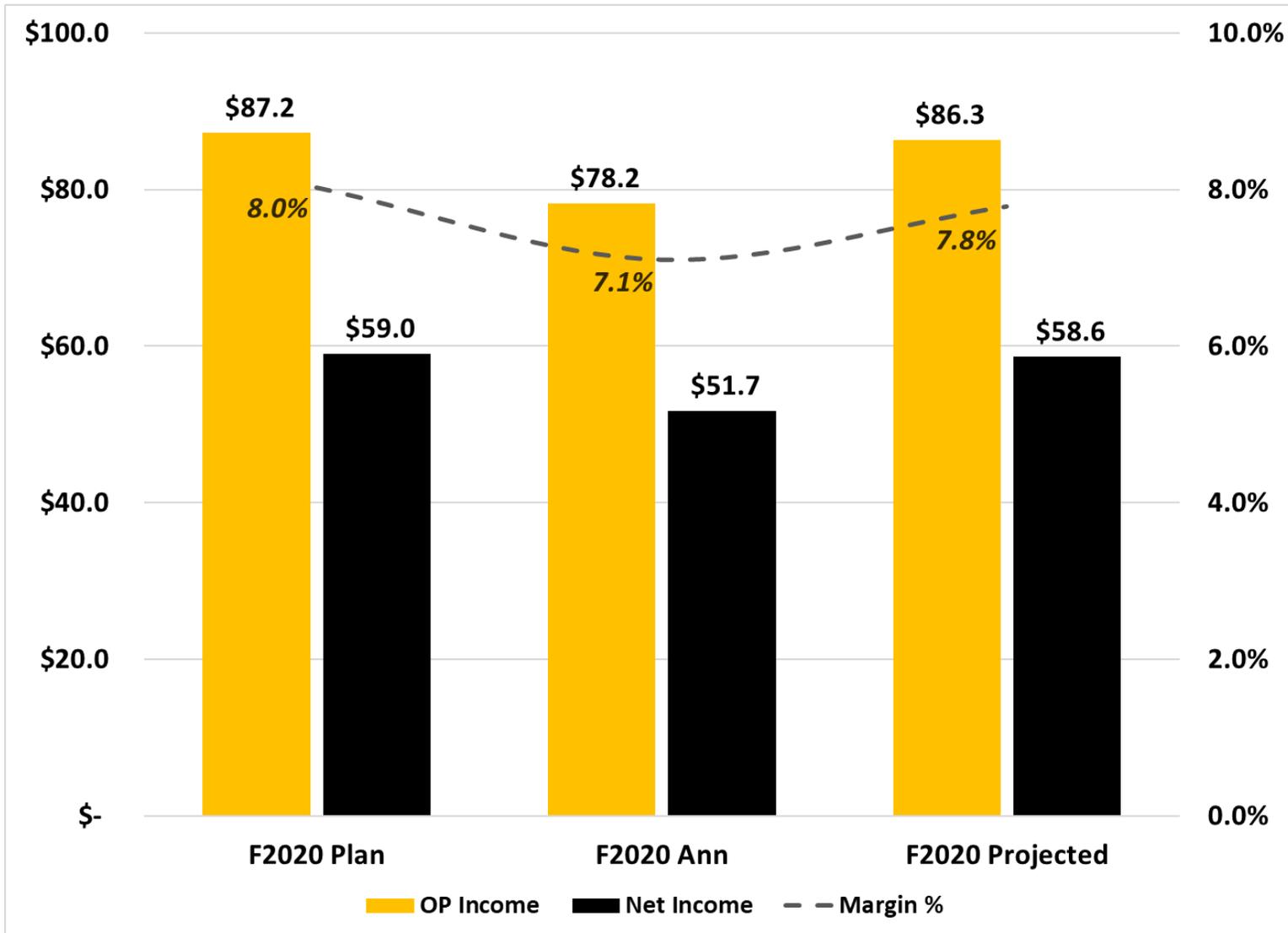
BY20 - LOOKING FORWARD

- Strategic Growth
 - Continued planning and implementation of Cardiovascular, Neurosciences, Oncology, and Child Health service line plans
- Access to Care
 - Ensuring access to primary care, emergency room and operating rooms, to meet our strategic growth goals
- Stewardship and Efficiency
 - Ongoing engagement by leadership team to identify opportunities to improve revenue capture and expense efficiency

STEWARDSHIP AND EFFICIENCY

- \$20M of expense reductions implemented last spring
 - expense/adjusted discharge dropped to best quartile among peers
- Identifying additional revenue and expense opportunities now
 - Consolidation of duplicative services
 - Management restructuring
 - Supply standardization and pricing
 - Care variation reduction
 - Efficient scheduling and room turns
- This is an effort we must continue year after year

FY20 PROJECTION



Accounting for growth trends and our stewardship and efficiency initiatives, MU Health Care should finish FY2020 near the budgeted target

CONCLUSION

MU Health Care is:

- Growing
- Operationally strong
- Financially resilient
- Not surprised by the headwinds of payer pressures and inflation
- Responsive to ensure excellent stewardship and demonstrated efficiency

Compliance Update

Corporate Integrity Agreement

Reporting Period 3

- Annual Report filed 9/30/2019
- No comments received to date

Reporting Period 4

- Training Modules are live and staff are in process of completing
- Developing proposal for training plan changes for RP5
- Claims Review facility list and selection will occur in spring 2020

Compliance: Work Plan YTD

FY2020 Work Plan

- 102 current efforts
 - 35 planned efforts
 - 67 additions
- 15 monitoring efforts (ongoing)

Improvement Items planned

- Refine compliance communication methods
- Adopt additional functionality from Healthicity

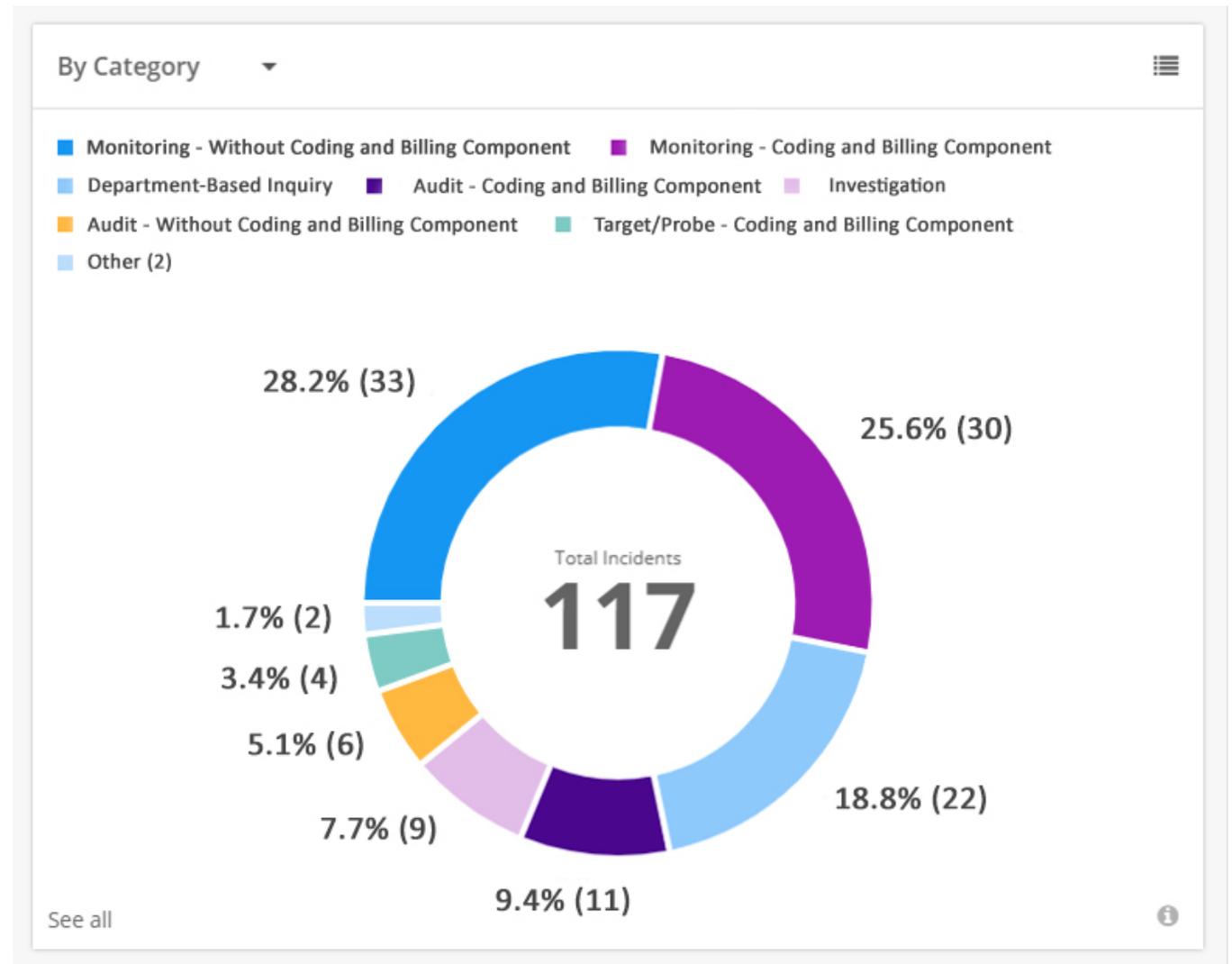
FY20 Work Plan Completion Percentage

| | |
|-----|------------------|
| 64% | • Audits |
| 56% | • Investigations |
| 66% | • Probes/Targets |

Compliance: Healthicity

Incident Management, Tracking and Reporting Software Tool

- Implemented Q2 FY20
- Includes privacy, information security and corporate compliance activities
 - Assign
 - Track
 - Collaborate
- Reporting Tools
 - Automated
 - Granular

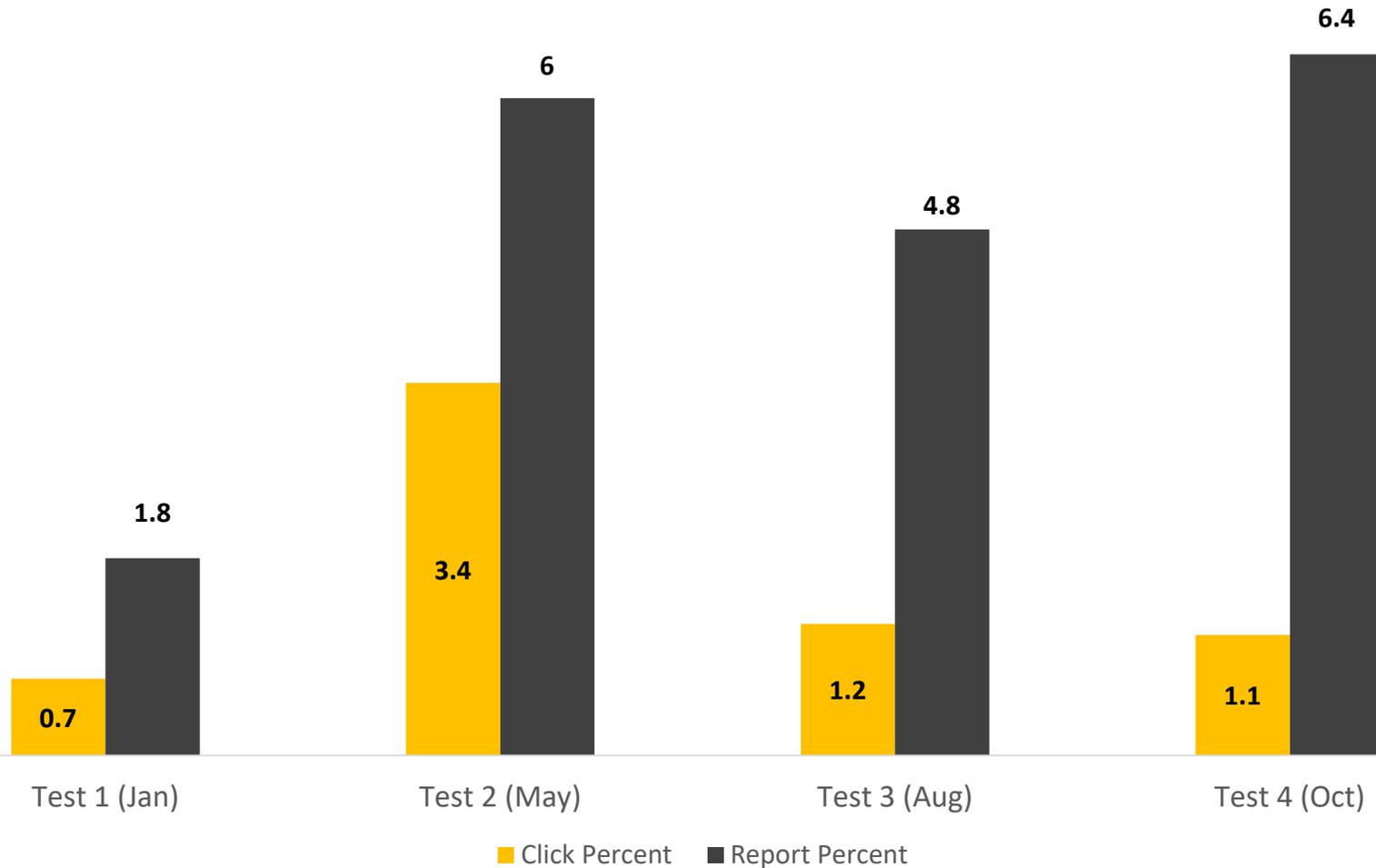


Information Security: Pen Testing

- Penetration, or “Pen”, Test
 - Simulated cyber attack against a computer system to check for exploitable vulnerabilities
- Tested MU Health’s network that communicates with the Internet between August and November 2019
- Preliminary findings:
 - Unable to gain access or place malicious code
 - Identified opportunities to improve security across all systems reviewed
 - 9 “critical” and 23 “high” areas to address identified
 - Examples were out-of-date software or missing security patches

Information Security: Phishing Tests

PHISHING TEST TRENDED FOR MU HEALTH



From the 2019 HIMSS Cybersecurity Survey:

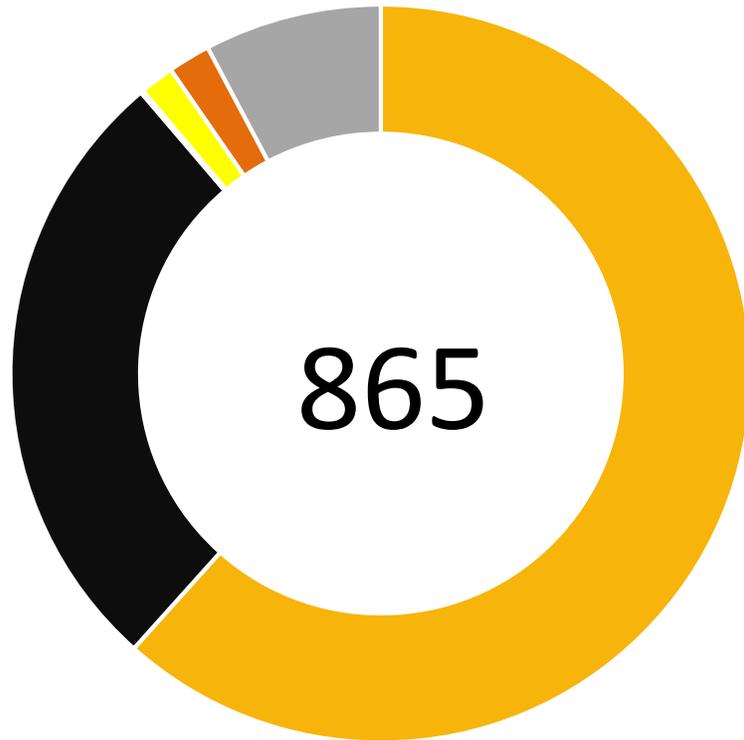
- 82% of survey respondents perform some level of phishing tests
- 40% of those have a click rate of 10% or lower
- Average click rate for health care phishing tests is 8%

Info Sec: Data Security Strategy

- **Multi-factor authentication**
 - Enabled on email web-portal; pending on email clients (Outlook)
- **Malware mitigation**
 - Removing administrative rights on end-user devices
 - Establishing approved software “app stores”
- **Data-loss prevention mechanisms**
 - Restricting USB drives on workstations
 - Options in Microsoft Office 365 and Azure
- **Email security**
- **Web-content filtering**

Privacy Program Update

Privacy/HIPAA Investigations and Findings



- Investigation, No Reportable Breach
- Reportable Breach, under 500
- Reportable Breach, +500
- AODs
- Subpoenas
- Walk throughs

Improvement Items Planned for CY20

- Revamp privacy education materials
- Create a central database in the EMR to track disclosures of PHI
- Expand monitoring functions through the addition of new audit reports

Organized Health Care Arrangement

Organized Health Care Arrangement, or “OHCA,” status provides expanded ability to share data among OHCA members for health care operations purposes, without the requirement that patients be in common.

- **Established with Lake Regional Health System in summer 2019**
 - Capital Region Medical Center reviewing documents now
- **Sharing of patient information in the common EMR platform**
- **Legal agreement with operational guidelines**
 - Common statement in Notices of Privacy Practices
 - OHCA members maintain their own HIPAA privacy and security policies and procedures, but harmonized through a review process

Organized Health Care Arrangement

HIPAA allows separate covered entities to designate themselves as an OHCA if they participate in one or more of the following activities:

- (i) provide a clinically integrated care setting in which individuals typically receive health care from more than one participant; and/or
- (ii) provide an organized system of health care in which the participants hold themselves out to the public as participating in a joint arrangement and participate in one or more of the following joint activities:
 - (a) utilization review;
 - (b) quality assessment and improvement activities; and/or
 - (c) payment activities.

- **Exception under the HIPAA Breach Notification Rule applies to inadvertent disclosures of PHI between OHCA partners**
- **Do not have joint and several liability for HIPAA violations**



Privacy Policy

MU Health Care OHCA Participants

MU Health Care currently participates in an organized health care arrangement (OHCA) with other health care providers in central Missouri. We do this to enhance the delivery of care and care coordination to improve patient experience as they are treated jointly by health care providers.

The OHCA participants share access to MU Health Care's electronic medical record and might, under certain circumstances, access your medical and billing information for treatment or health care operations purposes to improve, manage and coordinate your care without seeking your advance authorization, but only to the extent permitted by law.

The arrangement also enables participants to integrate patient portals into the MU Health Care portal, HEALTHConnect. The patient portal allows patients to securely message doctors, schedule appointments and access their health history across the shared electronic medical record system.

Current participants include:

- MU Health Care
- Lake Regional Health System

Organized Health Care Arrangement

Items planned for CY20

- Onboarding of Capital Region Medical Center
- Development of a Regional Governance Group
 - operations subcommittee to include:
 - health information management
 - compliance, privacy and information security
 - revenue cycle
 - quality
 - regulatory

No. 1

Recommended Action - Minutes, November 13, 2019 Health Affairs Committee Meeting

It was moved by _____ and seconded by _____, that the minutes of the November 13, 2019 Health Affairs Committee meeting, held in conjunction with the November 21, 2019 Board of Curators Meeting, be approved as presented.

| Roll call vote of Committee: | YES | NO |
|------------------------------|-----|----|
|------------------------------|-----|----|

Mr. Ashworth

Curator Graham

Mr. Phillips

Curator Steelman

Curator Williams

The motion _____.

February 6, 2020

No. 2

Recommended Action – Resolution for Executive Session of the Board of Curators Health Affairs Committee Meeting, January 30, 2020

It was moved by _____ and seconded by _____, that there shall be an executive session with a closed record and closed vote of the Board of Curators Health Affairs Committee meeting January 30, 2020 for consideration of:

- **Section 610.021(1), RSMo**, relating to matters identified in that provision, which include legal actions, causes of action or litigation, and confidential or privileged communications with counsel; and
- **Section 610.021(2), RSMo**, relating to matters identified in that provision, which include leasing, purchase, or sale of real estate; and
- **Section 610.021(3), RSMo**, relating to matters identified in that provision, which include hiring, firing, disciplining, or promoting of particular employees; and
- **Section 610.021(12), RSMo**, relating to matters identified in that provision, which include sealed bids and related documents and sealed proposals and related documents or documents related to a negotiated contract; and
- **Section 610.021 (13), RSMo**, relating to matters identified in that provision, which include individually identifiable personnel records, performance ratings, or records pertaining to employees or applicants for employment.

Roll call vote of the Committee: YES NO

Mr. Ashworth
Curator Graham
Mr. Phillips
Curator Steelman
Curator Williams

The motion _____.

January 30, 2020

GENERAL BUSINESS (continued)

UNIVERSITY OF MISSOURI – COLUMBIA
CAMPUS HIGHLIGHTS
CHANCELLOR CARTWRIGHT

There are no materials for this information item.

STRATEGIC THEME REPORT
NEXT GEN/eLEARNING

There are no materials for this information item.

GOOD AND WELFARE OF THE BOARD

There are no materials for this information item.

No. 2

Recommended Action - Resolution for Jamie L. Farmer

It was endorsed by President Choi, recommended by Chair Brncic, moved by Curator _____ and seconded by Curator _____, that the following resolution recognizing the dedicated service of Jamie L. Farmer to the University be approved:

RESOLUTION

WHEREAS, Jamie L. Farmer served the people of Missouri with distinction as a member of the University of Missouri Board of Curators from April 6, 2017 until August 26, 2019; and

WHEREAS, during her term, Curator Farmer was a member of several committees, including Academic, Student and External Affairs; Compensation and Human Resources; Finance; Governance, Resources and Planning; and was appointed Chair of the Audit Committee in 2017; and

WHEREAS Curator Farmer served as Chair of the External Affairs, Marketing and Advancement Committee in 2018 and 2019 with a focus on activities and efforts that influence public perception and private support of the entire University System, its mission and collective vision; and

WHEREAS, thanks to her professional expertise, Jamie provided valuable insights into the governance and business aspects of the University that included capital projects planning and more thoughtful prioritization of funding for improved results; and

WHEREAS, UM President Mun Choi has said, “Curator Farmer’s focus on performance and measurable outcomes was an important driving force for the new strategic plans for the four universities. We’ll continue to steward the university with the continued focus on achieving excellence, transparency, and accountability.”; and

WHEREAS, not only is Jamie a graduate of the University of Missouri–Columbia Trulaske College of Business, she is a successful entrepreneur and avid runner; and

WHEREAS, the University of Missouri System, and its programs and constituents, will continue to benefit from her leadership, expertise, and support:

NOW, THEREFORE, BE IT RESOLVED, that the Board of Curators, on behalf of the students, faculty, staff and alumni of the University of Missouri System, and on behalf of the citizens of the State of Missouri, does hereby adopt this resolution in sincere appreciation of the dedicated and devoted leadership of Jamie L. Farmer;

AND ALSO, that her future relations with the University of Missouri System be formally recognized by bestowing the title of “Curator Emeritus” upon Jamie L. Farmer; and

BE IT FURTHER RESOLVED, that the Secretary of the Board of Curators cause this resolution to be spread upon the minutes of this meeting and that a duly inscribed copy thereof be furnished to Jamie L. Farmer.

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

Curator Brncic

Curator Chatman

Curator Graham

Curator Layman

Curator Snowden

Curator Steelman

Curator Sundvold

Curator Williams

The motion _____.

No. 3

Recommended Action – Resolution for Executive Session of the Board of Curators Meeting February 6, 2020

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 6, 2020 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 Layman
Curator Snowden
Curator Steelman
Curator Sundvold
Curator Williams

The motion _____.

February 6, 2020