

# Board of Curators Meeting - Public Session

University of Missouri System  
 James River and Dogwood Canyon Halls, White River Conference Center,  
 Springfield, Missouri  
 2024-06-27 13:15 - 17:00 CDT

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<b>V. AUDIT, COMPLIANCE AND ETHICS COMMITTEE - EXECUTIVE SESSION (11:50 AM, time is approximate)</b>	
Location: Sportsman's Lodge, White River Conference Center The Audit, Compliance and Ethics Committee will hold an executive session of the June 27, 2024 meeting, pursuant to Section 610.021(1), 610.021(17) and 610.021(21) RSMo, for consideration of certain confidential or privileged communications between a public governmental body and its auditor, and computer information systems, as authorized by law and upon approval by resolution of the Audit, Compliance and Ethics Committee.	
<b>VI. 12:15 PM - LUNCHEON for Board of Curators and University of Missouri System Leadership</b>	

Location: White River Hall

**VII. RECONVENE PUBLIC SESSION (1:15 PM, time is approximate)**

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Location: White River Hall Dial In Number: 848-999-1066

**XIX. BOARD OF CURATORS MEETING - EXECUTIVE SESSION CONTINUED, IF**

**NEEDED (upon conclusion of Press Conference)**

Location: Sportsman's Lodge, White River Conference Center The Board of Curators will hold an executive session of the June 27, 2024 meeting, pursuant to Sections 610.021(1), 610.021(2), 610.021(3), 610.021(12), 610.021(13) and 610.021(21) RSMo, for consideration of certain confidential or privileged communications with university counsel, personnel, property, litigation and contract items, and computer information system security, all as authorized by law and upon approval by resolution of the Board of Curators.



## Vision

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

## Mission

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

## Missouri Compacts for Achieving Excellence

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



Excellence in Student Success



Excellence in Research and Creative Works



Excellence in Engagement and Outreach



Inclusive Excellence



Excellence in Planning, Operations and Stewardship

## Core Values

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



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

## Guiding Principles

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

## Board Value Statement

Board of Curators of the University of Missouri establish the following statement of values to guide members in the governance of the University of Missouri pursuant to the Constitution and the Revised Statutes of the State of Missouri:

1. **Trustworthy & Transparent Communication.** We value an environment of openness, collaboration and honesty with each other above all else, and support open communication and the free expression of ideas. We will endeavor to communicate with each other and with all University stakeholders with honesty and integrity. We will perform our duties ethically and avoid conflicts of interest.
2. **Respect.** We are respectful of each other and all University stakeholders in our interactions. We believe that civility, courtesy, decency and tolerance are critical when engaging in discussions with others with whom we may not agree. We encourage independent judgment and the sharing of a diversity of thoughts, and accept others' unique perspectives as valuable contributions to governing discussions.
3. **Healthy Board Governance.** We are committed to a healthy culture of board governance, one that is dedicated to sustaining the trust and support for the University of Missouri. We will devote time and effort needed to responsibly and capably perform our duties. We will exercise responsible stewardship and uphold our fiduciary duties as Curators. We will fully prepare for, attend and participate in board meetings, and seek to continually increase our understanding of, and adherence to, the standards for effective board governance.
4. **Support and Hold Accountable Leadership.** We are committed to supporting the leadership throughout the University of Missouri, while also holding that leadership accountable for the effective management of the University. We will establish, communicate and monitor clear performance expectations for leadership directly reporting to the Board, and will hold such leadership accountable to maintain the highest standard of ethical behavior. In supporting University leadership, we will endeavor to avoid involvement in matters delegated to the Administration.
5. **Strategic Vision.** We are committed to fully understanding, supporting and, when appropriate, challenging the short and long-term strategic priorities of the University of Missouri's constituents. We will challenge University leadership to continually develop and assess strategic plans that will be effective in supporting the Missouri Compacts for Achieving Excellence: Excellence in Student Success, Excellence in Research and Creative Works, Excellence in Engagement and Outreach, Inclusive Excellence and Excellence in Operations, Planning and Stewardship.



No. 1

Recommended Action – Resolution for Executive Session of the Board of Curators Meeting June 27, 2024

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 June 27, 2024 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 (21), RSMo**, relating to records that identify the configuration of components or the operation of a computer, computer system, computer network, or telecommunications network, and would allow unauthorized access to or unlawful disruption of a computer, computer system, computer network, or telecommunications network of a public governmental body.

Roll call vote of the Board:	YES	NO
Curator Blitz		
Curator Fry		
Curator Graves		
Curator Holloway		
Curator Krewson		
Curator Layman		
Curator Sinquefield		
Curator Wenneker		
Curator Williams		

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

June 27, 2024

No. 1

Recommended Action - Resolution for Executive Session of the Audit, Compliance and Ethics Committee, June 27, 2024

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that there shall be an executive session with a closed record and closed vote of the Board Audit, Compliance and Ethics Committee meeting June 27, 2024, 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; and
- **Section 610.021 (21), RSMo**, relating to records that identify the configuration of components or the operation of a computer, computer system, computer network, or telecommunications network, and would allow unauthorized access to or unlawful disruption of a computer, computer system, computer network, or telecommunications network of a public governmental body.

Roll call vote of the Committee:                      YES                      NO

Curator Holloway

Curator Krewson

Curator Sinquefield

Curator Williams

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

UNIVERSITY OF MISSOURI  
BOARD CHAIR REPORT

There are no materials for this information item.

# PRESIDENT'S REPORT

Mun Y. Choi

*Board of Curators Meeting*

**June 27, 2024**



UMKC

MISSOURI  
S&T

UMSL

University of Missouri System

# Congratulations Graduates

9,554 total degrees were awarded in Spring 2024.



# UM Leadership Appointments



**Marisa Chrysochoou**  
*Dean of the MU  
College of Engineering*



**Michael Hoehn, II**  
*Inaugural Program  
Director, NextGen MURR*



**Matt Martens**  
*Provost and Executive Vice  
Chancellor for Academic Affairs*



**Jeremy Scarbrough**  
*Associate Vice Chancellor  
for Health Systems*



**Srinand Sreevatsan**  
*Dean of the MU College  
of Veterinary Medicine*



**Kara Whatley**  
*MU Vice Provost for Libraries  
and University Librarian*



**Sarah Diem**  
*Interim Dean, College of Education  
and Human Development*



**Laird Veatch**  
*Athletic Director,  
Mizzou Athletics*



**Alexander Holsinger**  
*Vice Provost of  
Faculty Affairs*



**Shu Schiller**  
*Dean of the  
College of Business*



**Dr. Robin Gore**  
*Vice Chancellor for  
Student Success*



**Barry Robbins**  
*Chief Information Officer*



**James D. Sterling**  
*Vice Provost and Founding  
Dean of Kummer College*



**Ben Canlas**  
*UM Vice President of Information  
Technology & MU Chief Information Officer*

# Additional State Funding

HB 3	HB 6	HB 8	HB 20
<p><b>\$1M</b> for MU A-Lot program (one-time)</p>	<p><b>\$10M</b> for MU meat processing plant</p>	<p><b>\$1M</b> added to the Missouri National Guard Tuition Assistance Program</p>	<p><b>\$25M</b> for UMSL's Engineering Program</p>
<p><b>\$1M</b> for the Missouri Returning Heroes Program (one-time)</p>	<p><b>\$3M</b> for MU's Eckles Hall Wine &amp; Grape Institute</p>		<p><b>\$20M</b> for MU's Radioisotope distribution center</p>
<p><b>\$250K</b> for S&amp;T Project Lead the Way</p>			

## ARPA Funds



**\$52.25M** – NextGen



**\$25M** – “Advancing Missouri’s STEM Education and Workforce Development” Initiative



**\$20M** – UMKC Health Sciences District



**\$25M** – Campus of the Future Transformation efforts

# Admissions Update

## FTC Accepted (Active) Students

06/10/24	2022	2023	2024
MU	5,120	5,299	6,243 (18%)
UMKC	1,320	1,456	1,518 (4%)
S&T	1,148	1,309	1,447 (11%)
UMSL	421	520	561 (8%)



# Admissions Update

## Transfer Students

06/10/24	2022	2023	2024
MU			
UMKC			
S&T			
UMSL			

# Faculty Success Highlights



**UMSL**

**Aimee Dunlap**  
*Biology*

Governor's Award for Excellence  
in Teaching 2024 UMSL recipient



**UMKC**

**Gayle Levy**  
*World Languages and Cultures*

Governor's Award for  
Excellence in Teaching 2024  
UMKC recipient



**MU**

**Lee Ann Lowery**  
*Occupational Therapy*

Governor's Award for Excellence  
in Teaching 2024 Mizzou recipient



**MISSOURI  
S&T**

**Joshua Schlegel**  
*Nuclear Engineering*

Governor's Award for Excellence  
in Teaching 2024 S&T recipient

# Faculty Success Highlights



**UMSL**

**Dr. Xuemin Wang**  
*Biology*

Recipient of the 2024 Terry Galliard Medal from the International Symposium on Plant Lipids



**UMKC**

**Dr. Jeff Rydberg-Cox**  
**Dr. Diane Mutti-Burke**  
*Co-directors, Center for Digital and Public Humanities*

Awarded \$5 million by the Andrew W. Mellon Foundation to fund humanities internships



**MU**

**Dr. Dennis Trout**  
*History*

Awarded a Rome Prize Fellowship from the American Academy in Rome.



**MISSOURI S&T**

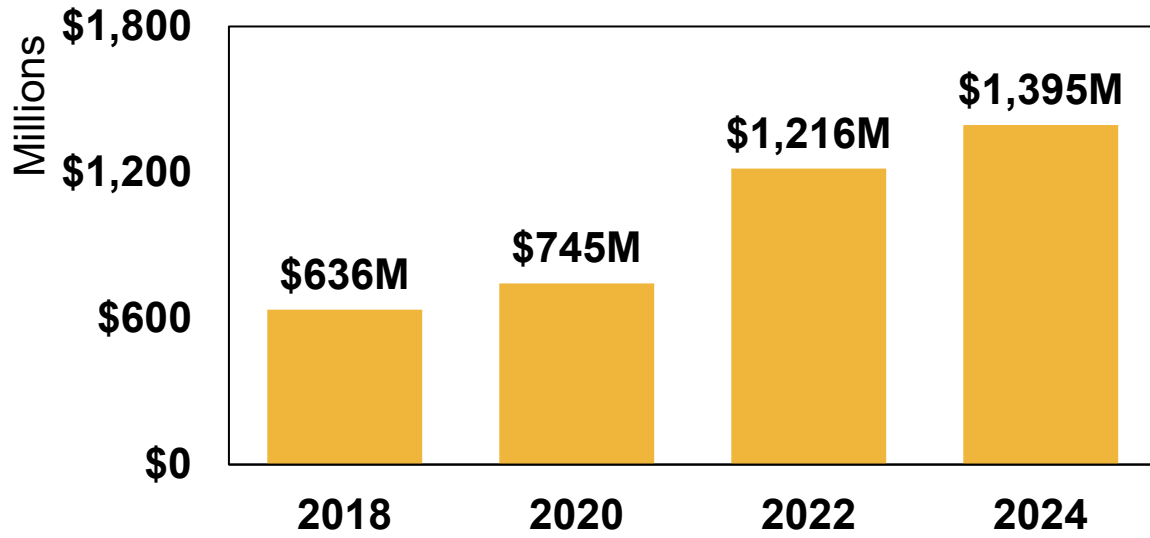
**Dr. Baojun Bai**  
*Petroleum Engineering*

Recipient of the Improved Oil Recovery Pioneer Award from the Society of Petroleum Engineers

# FYTD Total R&D Proposals

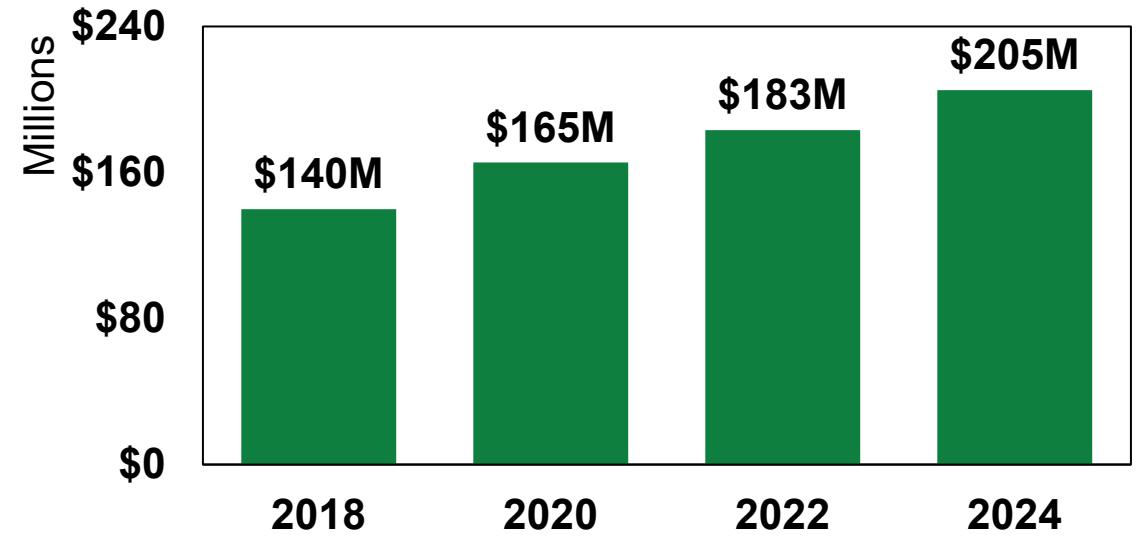
**MU**

**119%**



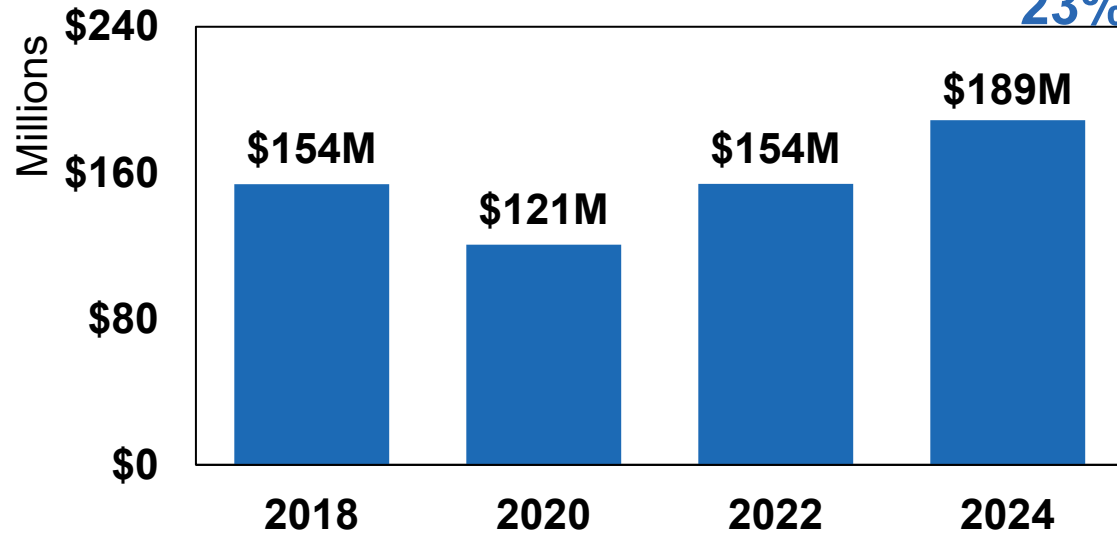
**S&T**

**46%**



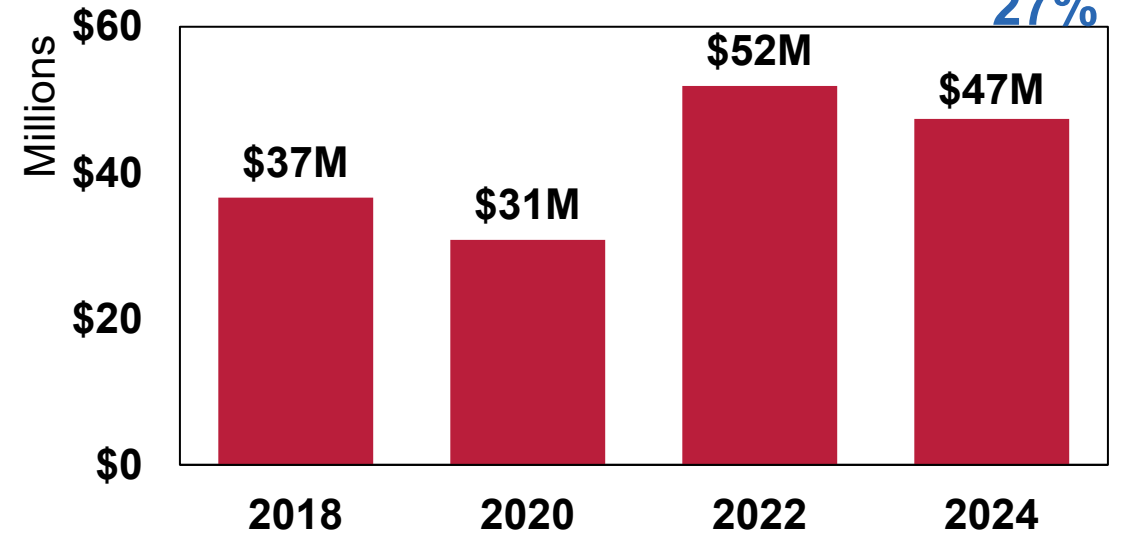
**UMKC**

**23%**



**UMSL**

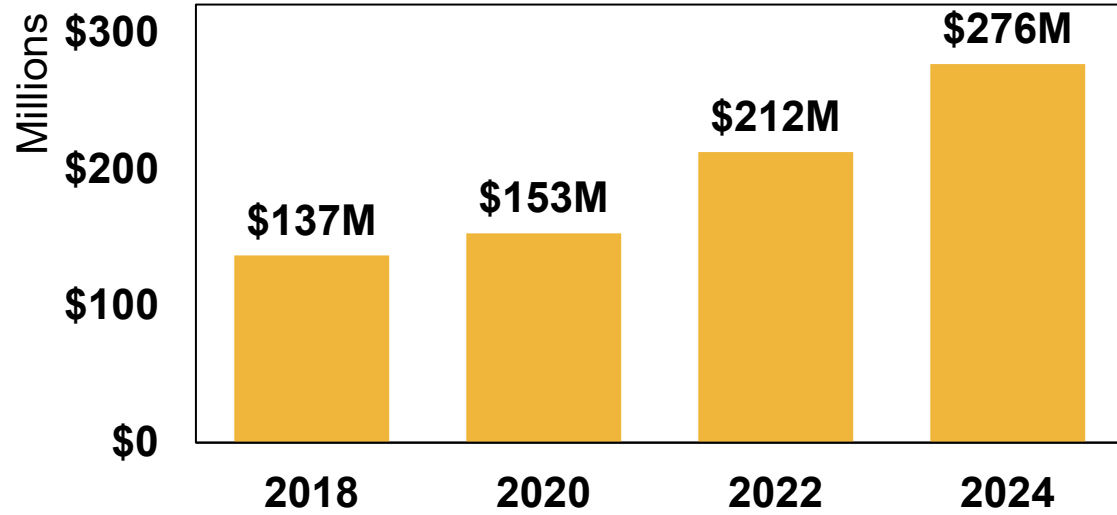
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# FYTD Total R&D Awards

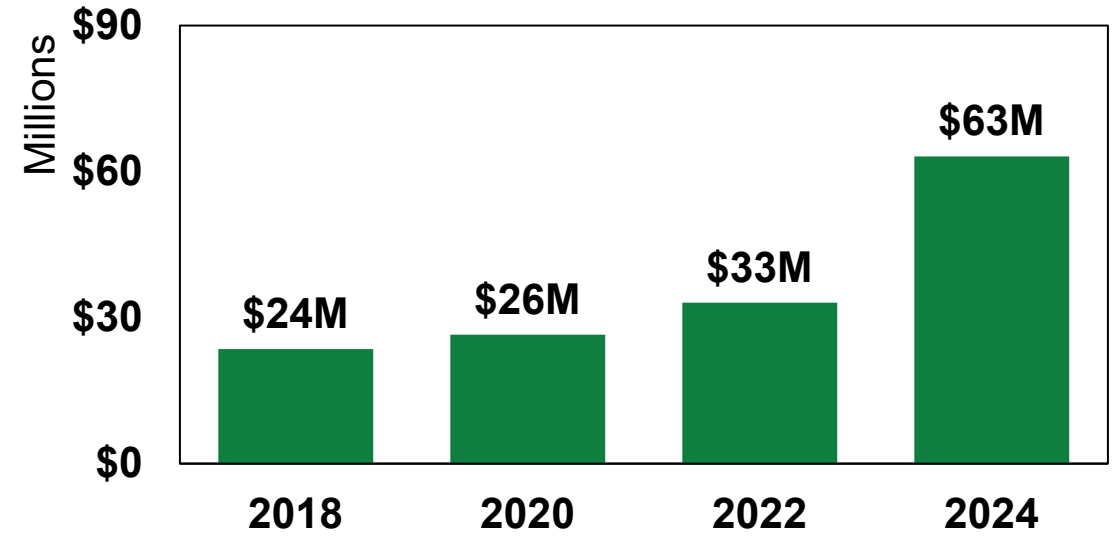
**MU**

**101%**



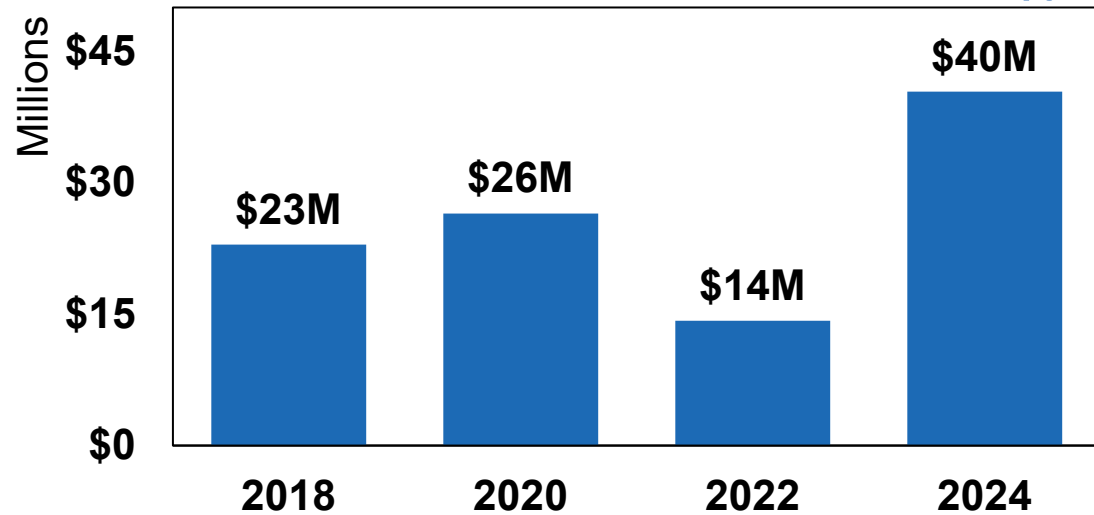
**S&T**

**163%**



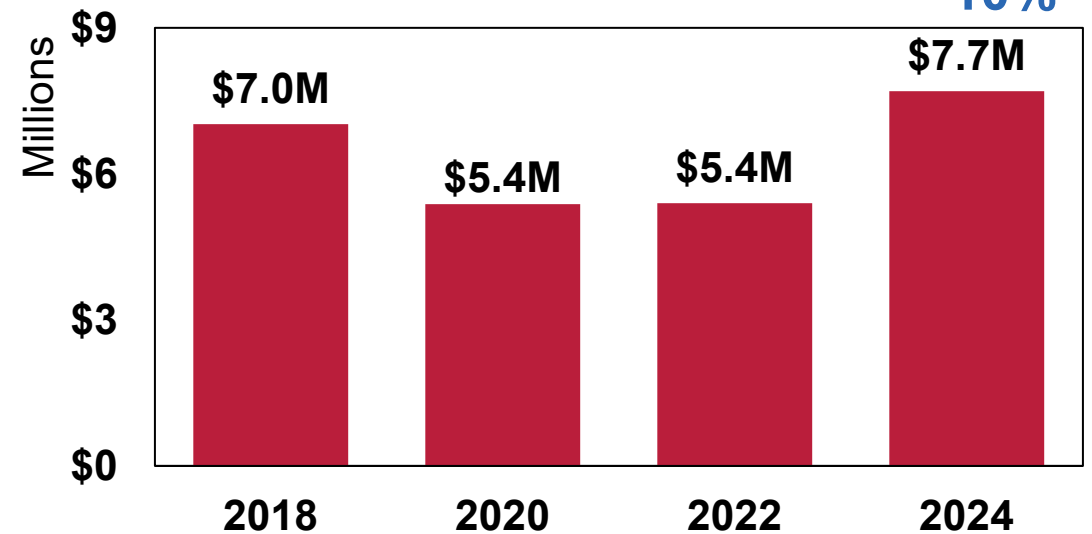
**UMKC**

**74%**



**UMSL**

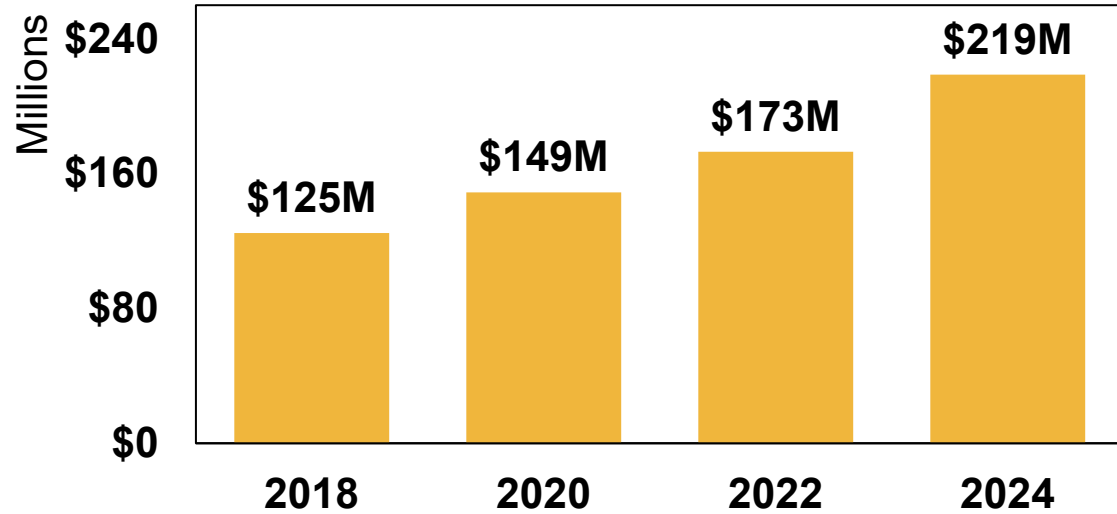
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# FYTD Total R&D Expenditures

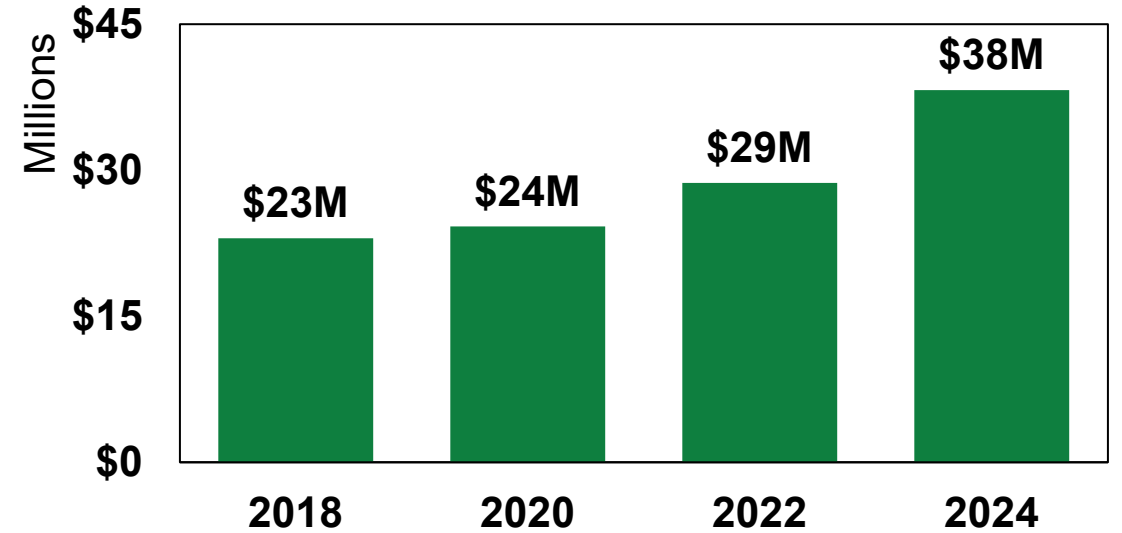
**MU**

**75%**



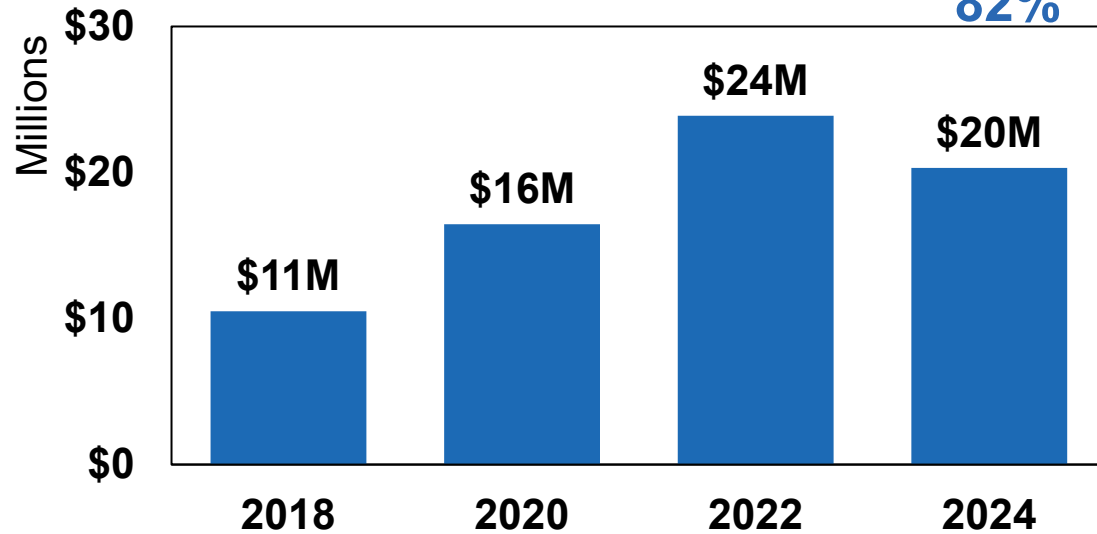
**S&T**

**65%**



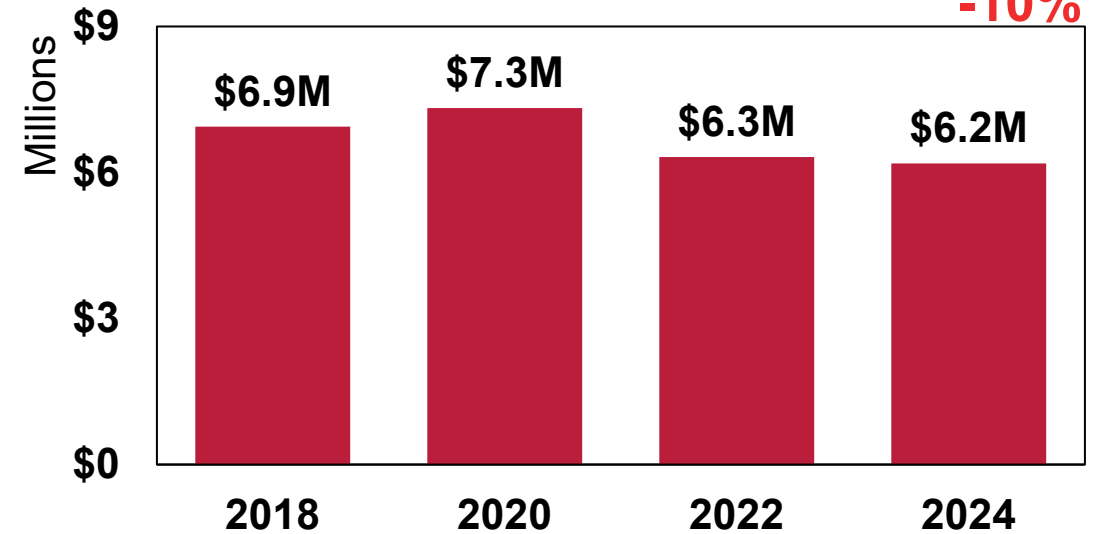
**UMKC**

**82%**

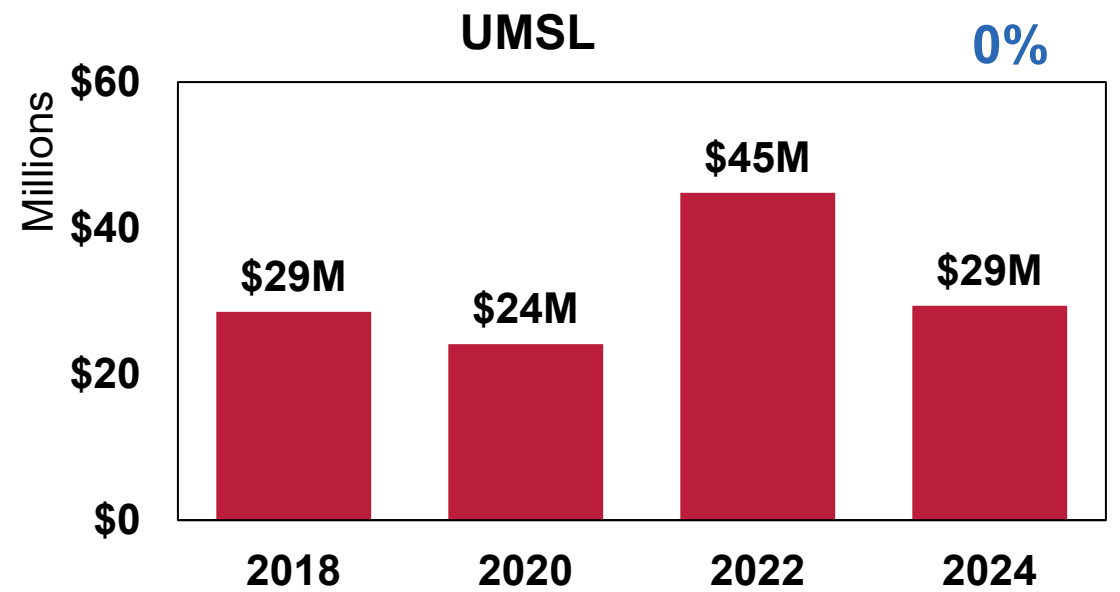
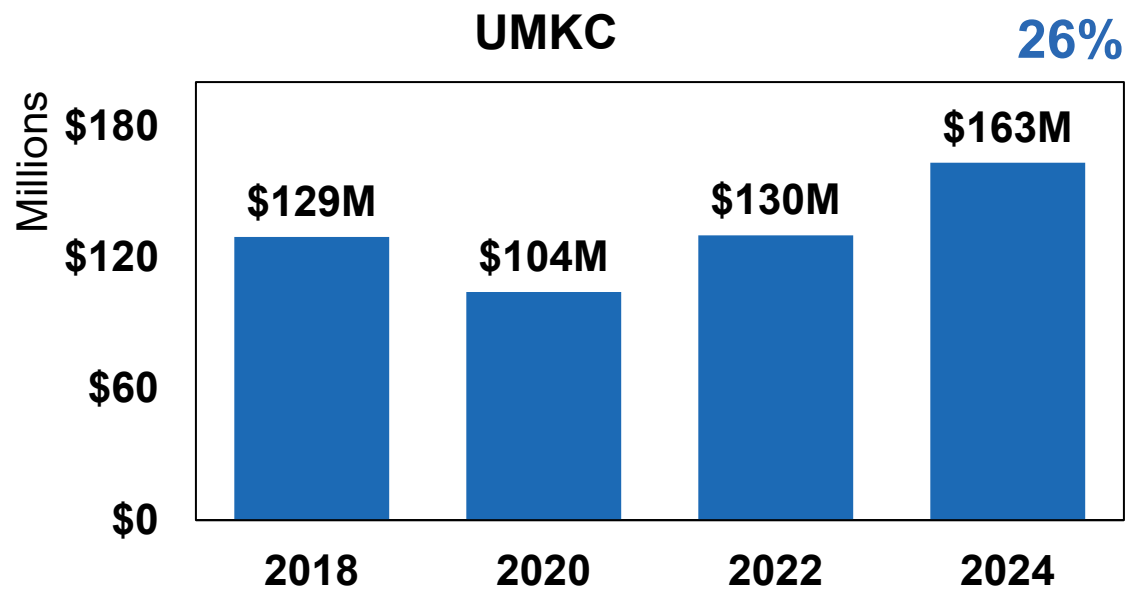
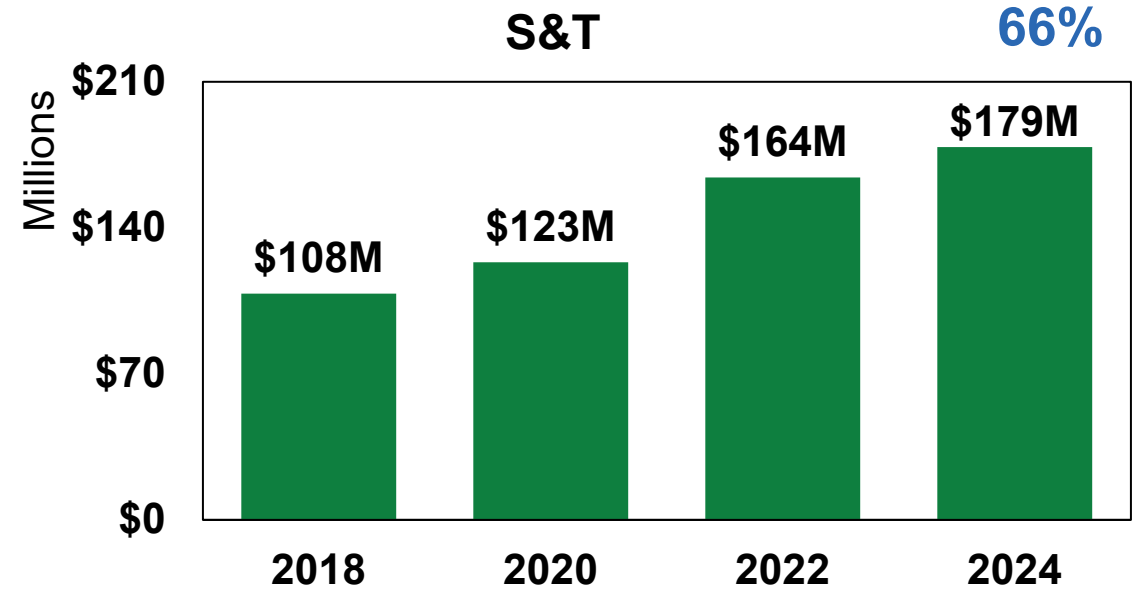
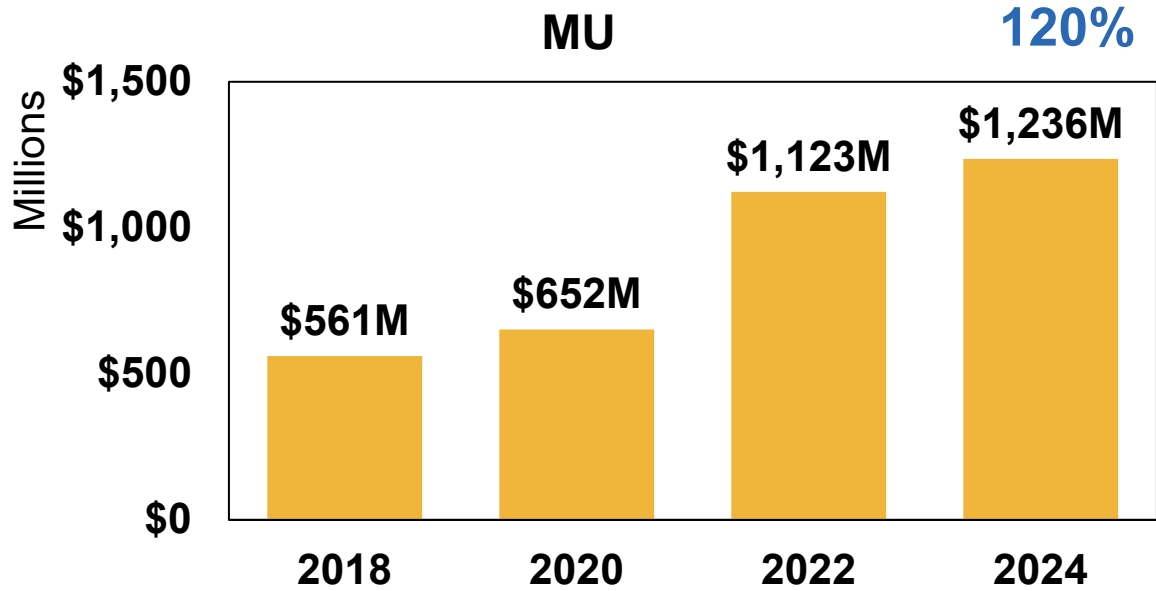


**UMSL**

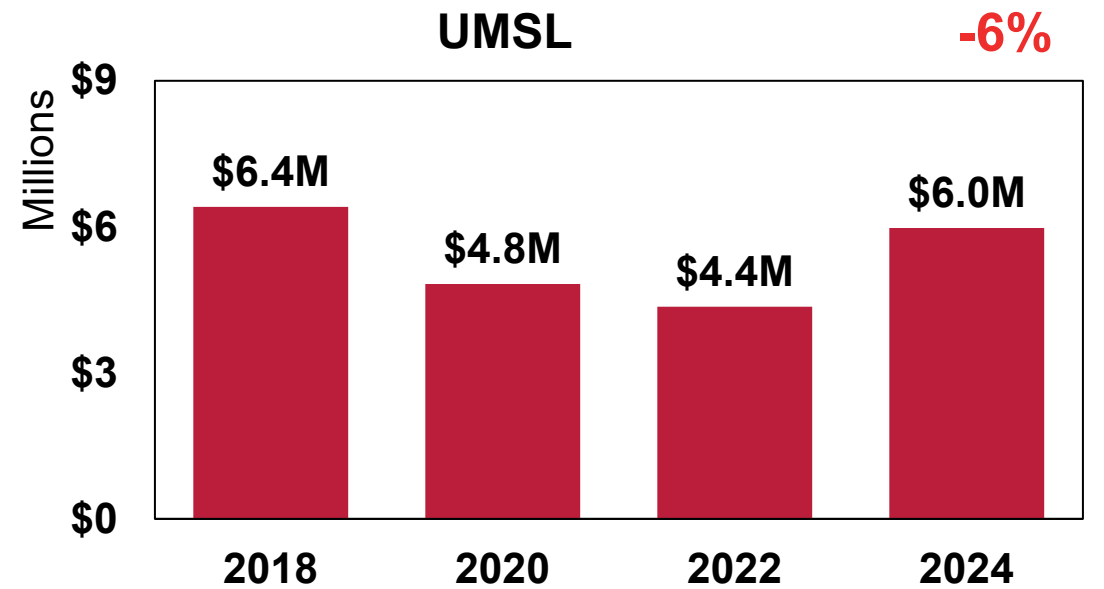
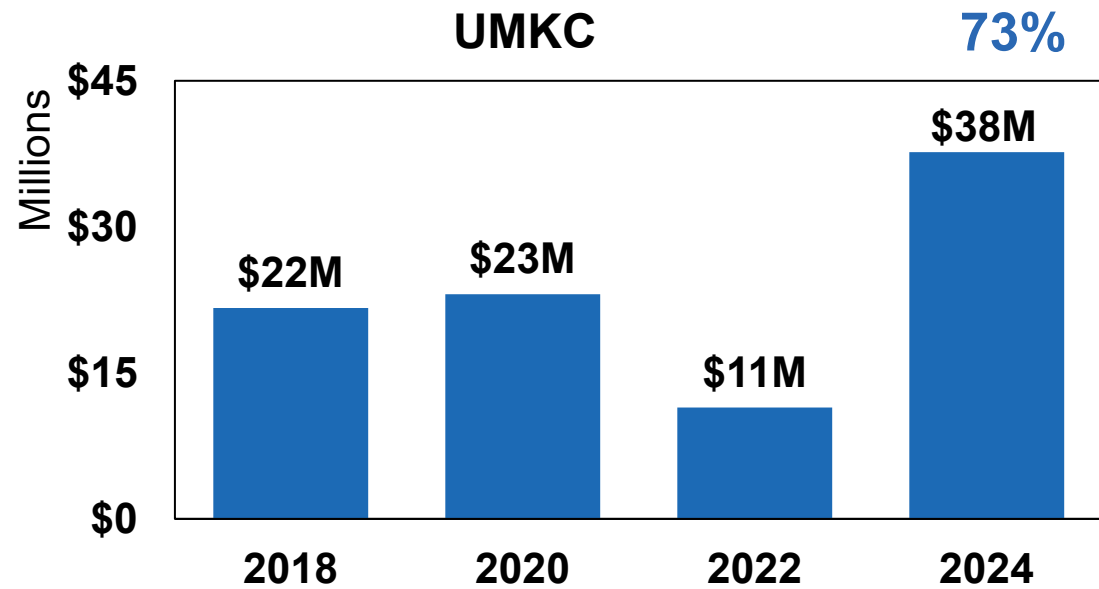
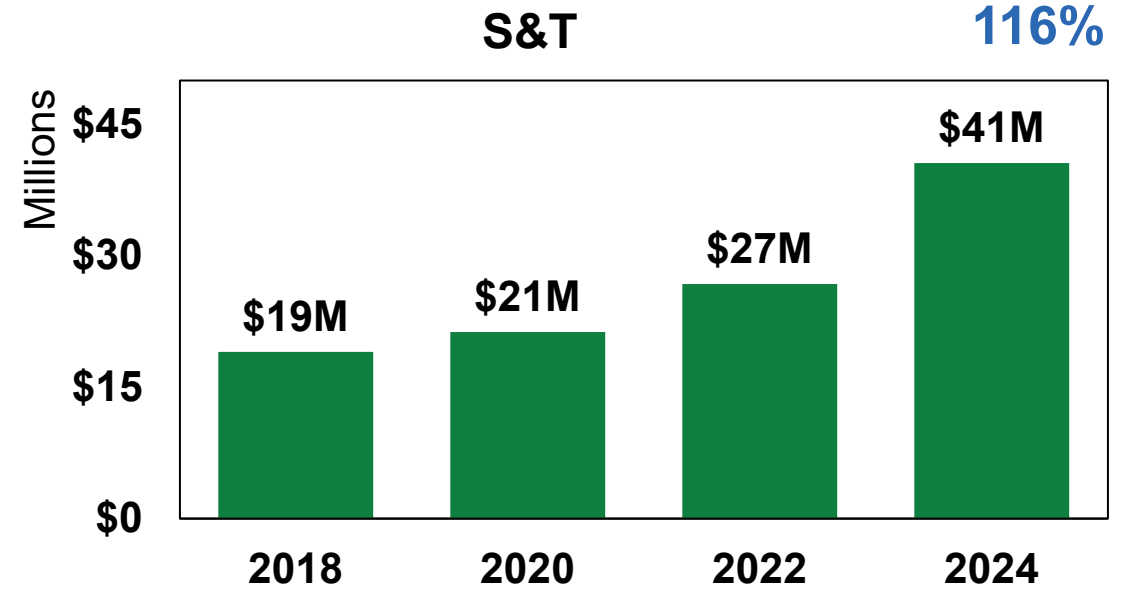
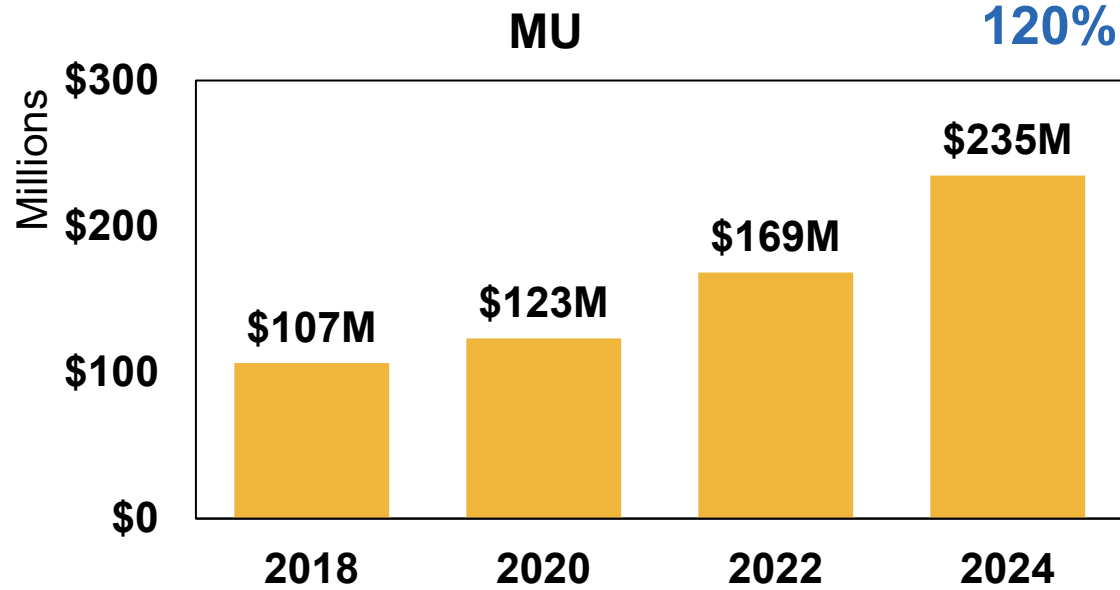
**-10%**



# FYTD Federal R&D Proposals

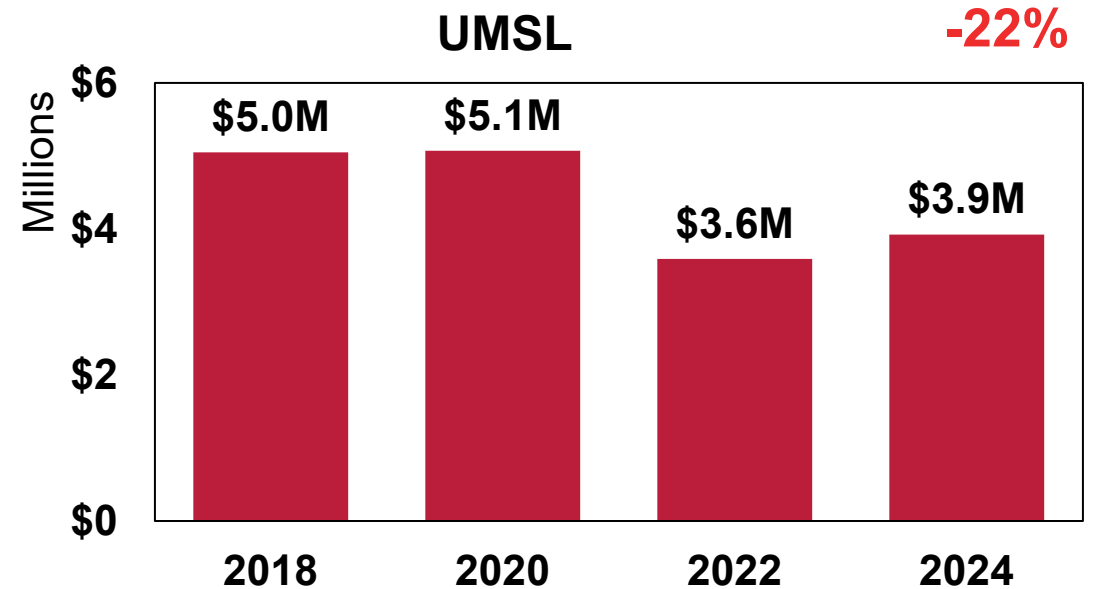
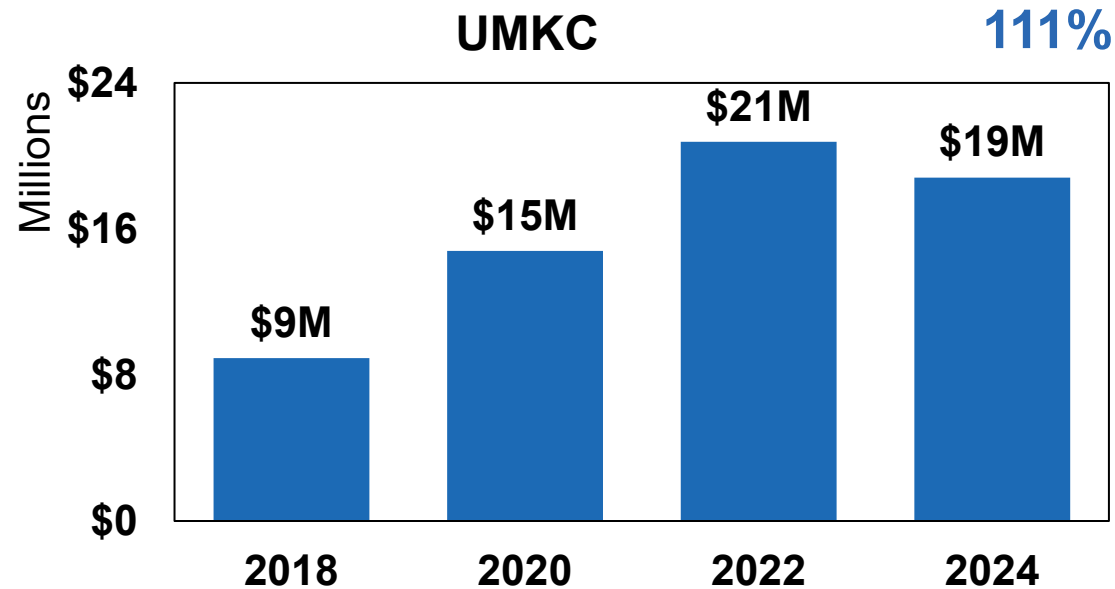
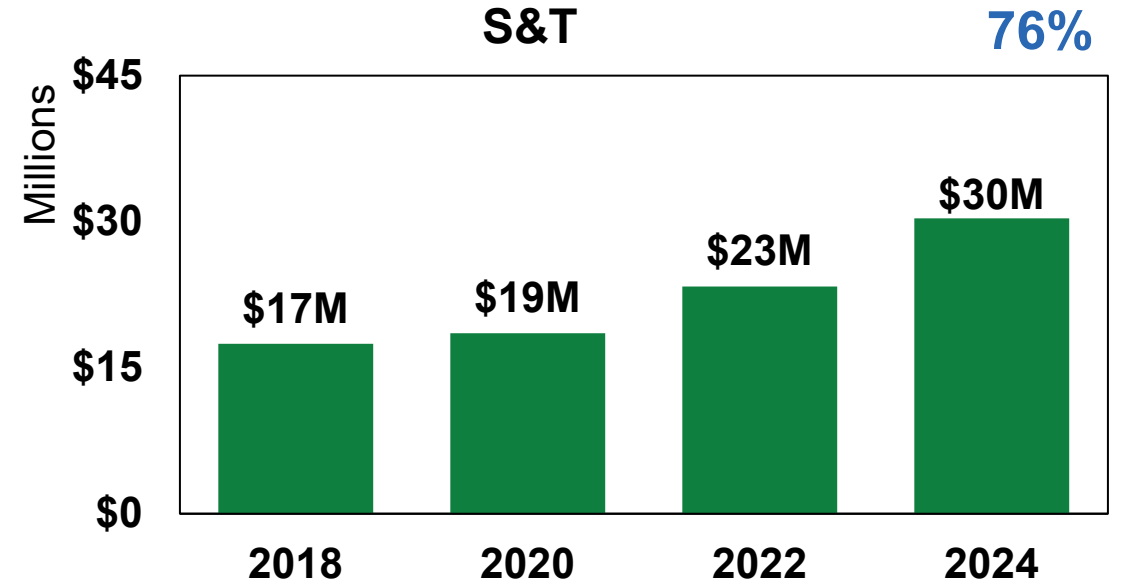
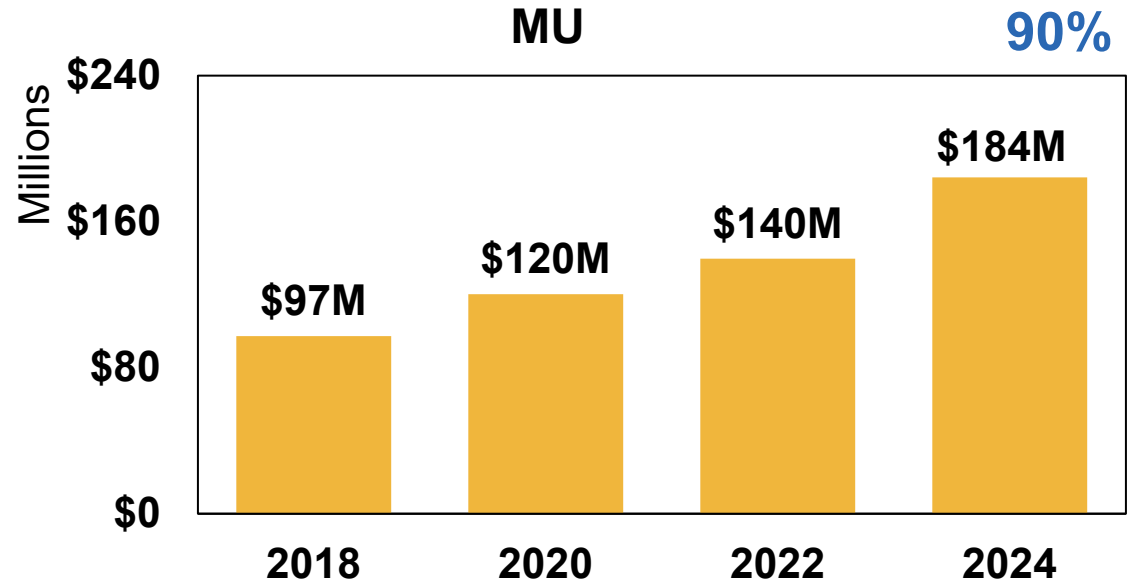


# FYTD Federal R&D Awards

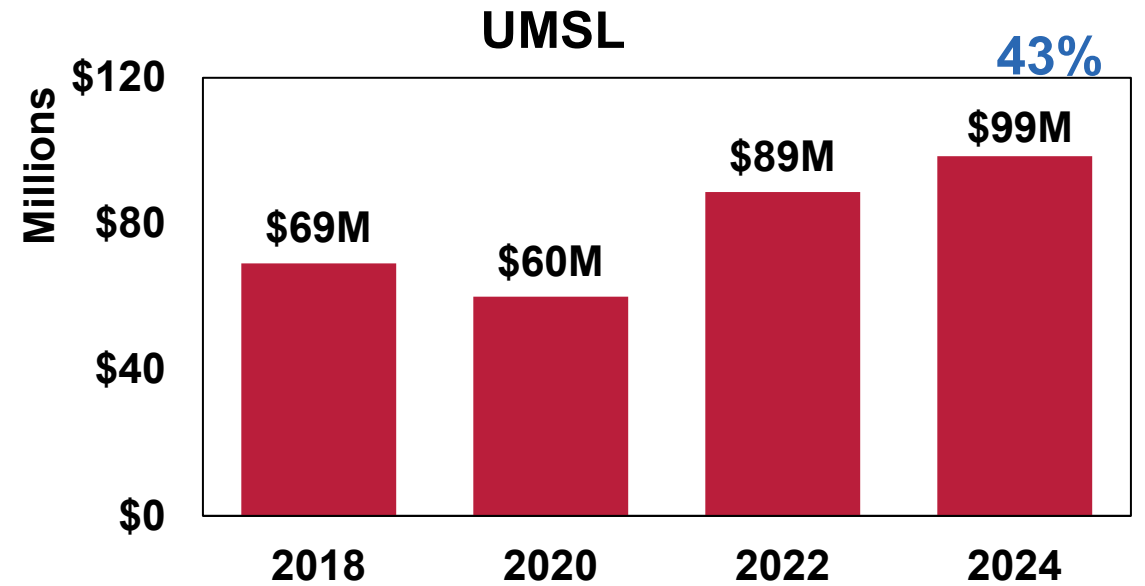
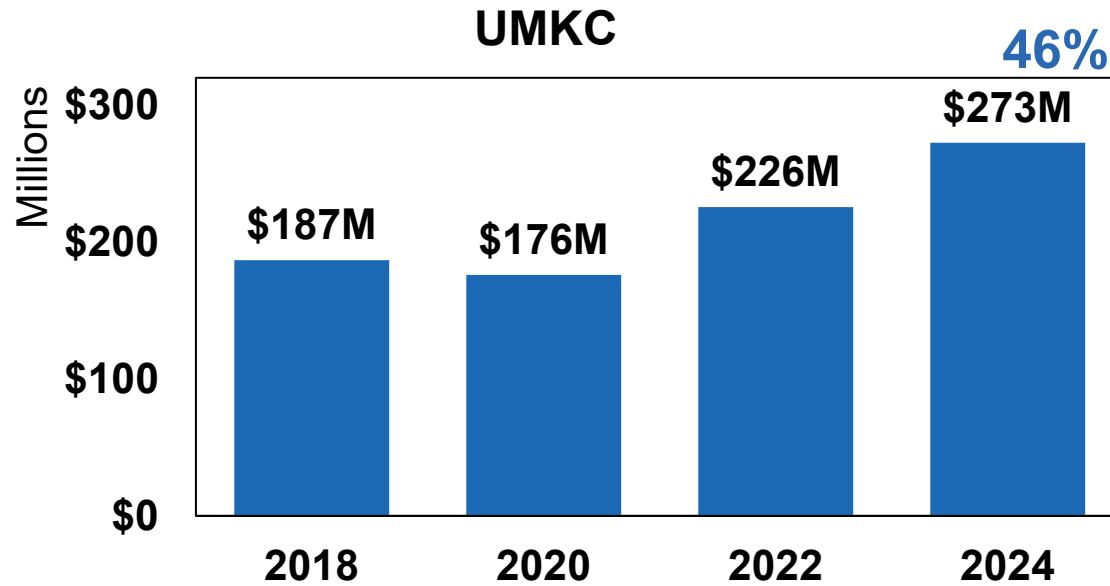
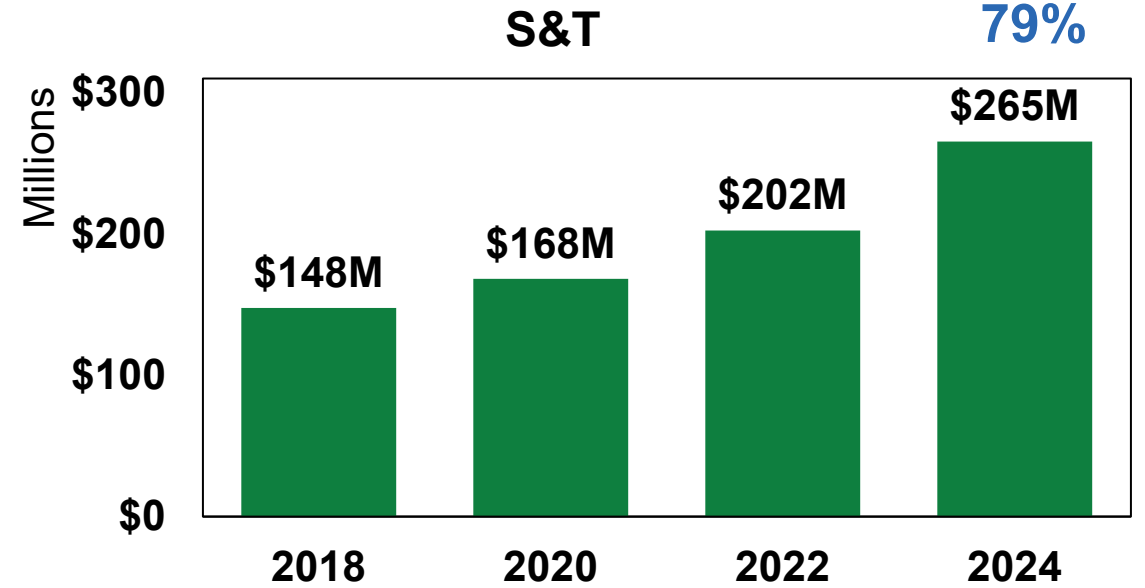
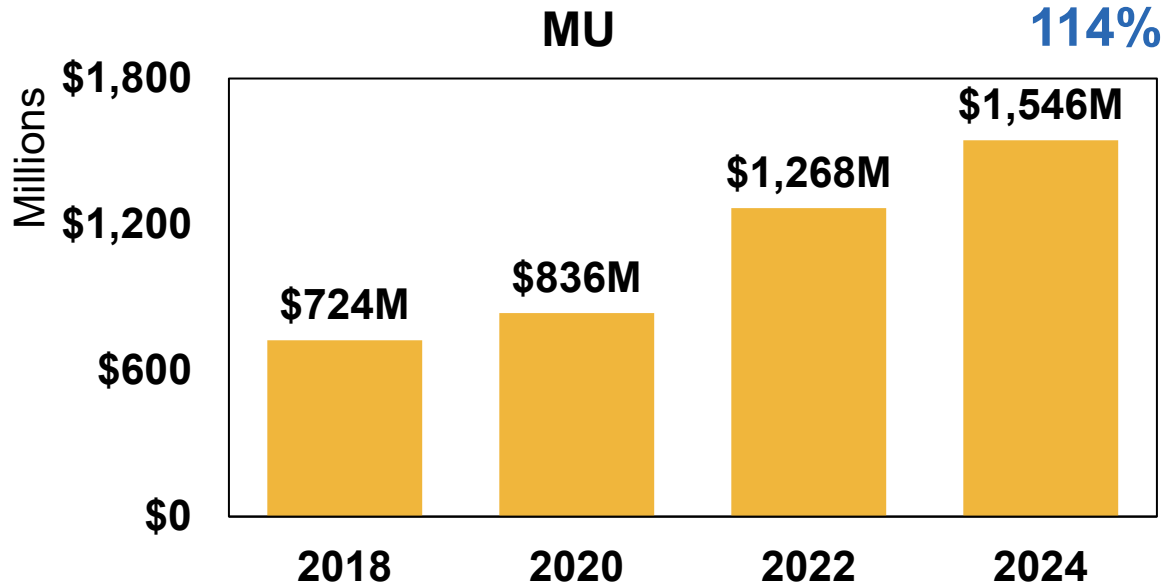




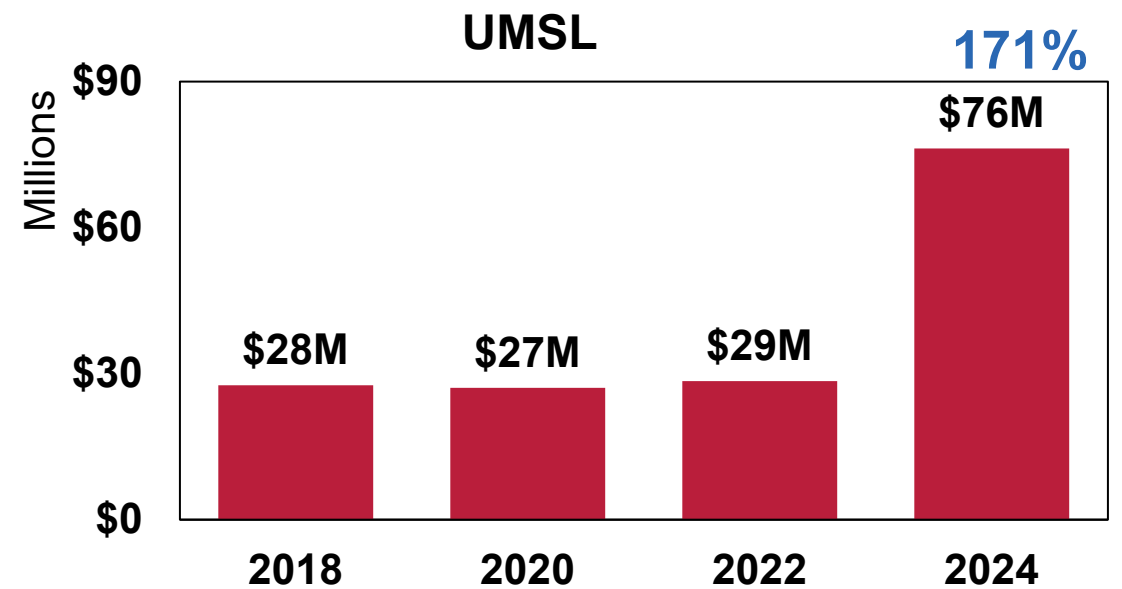
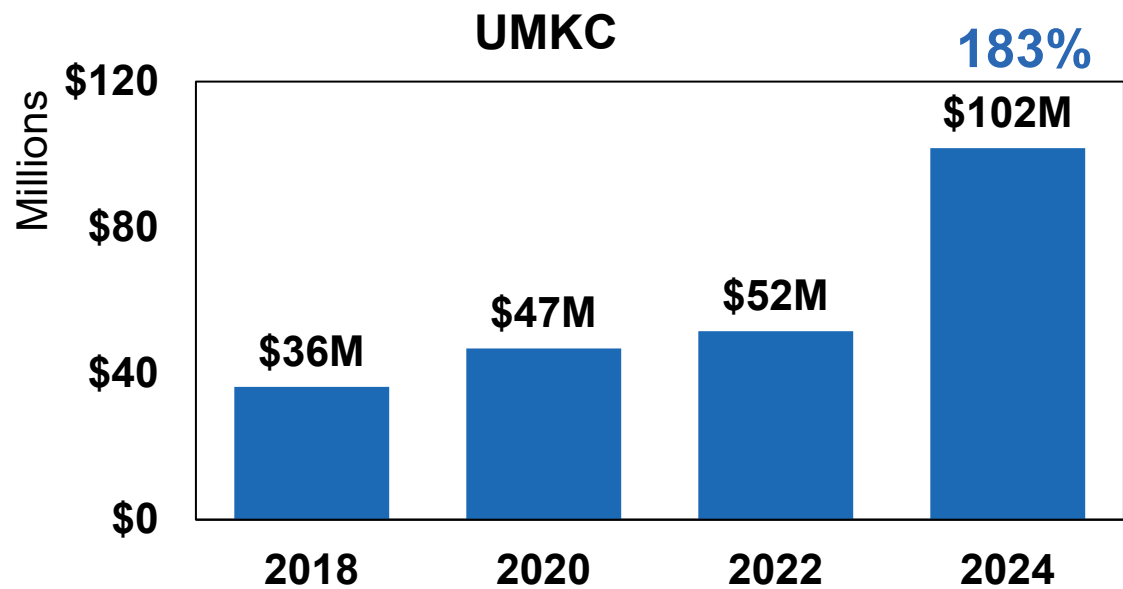
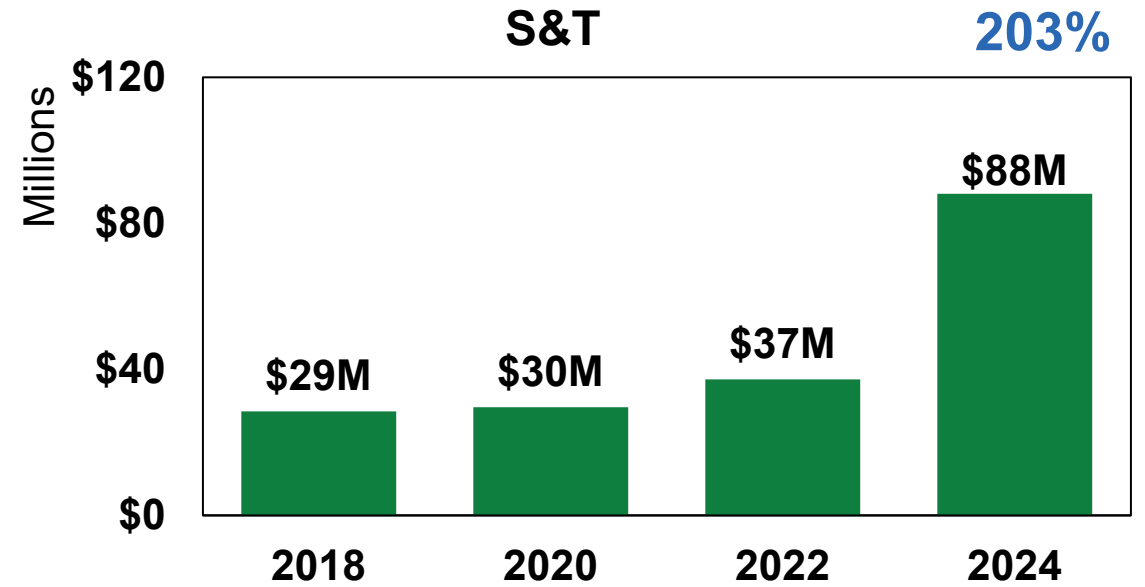
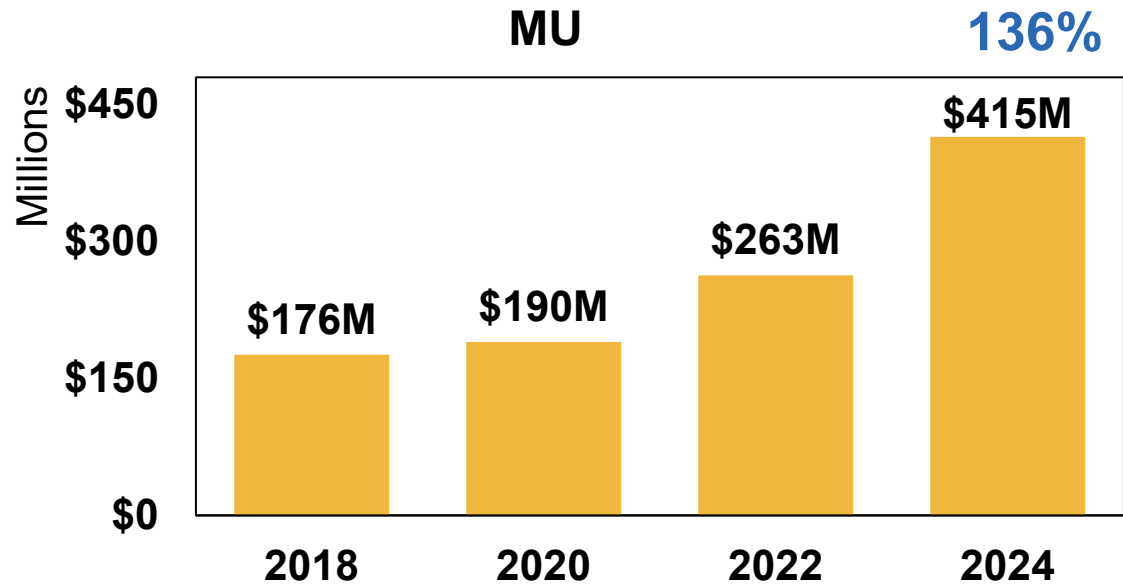
# FYTD Federal R&D Expenditures



# FYTD Total Sponsored Proposals



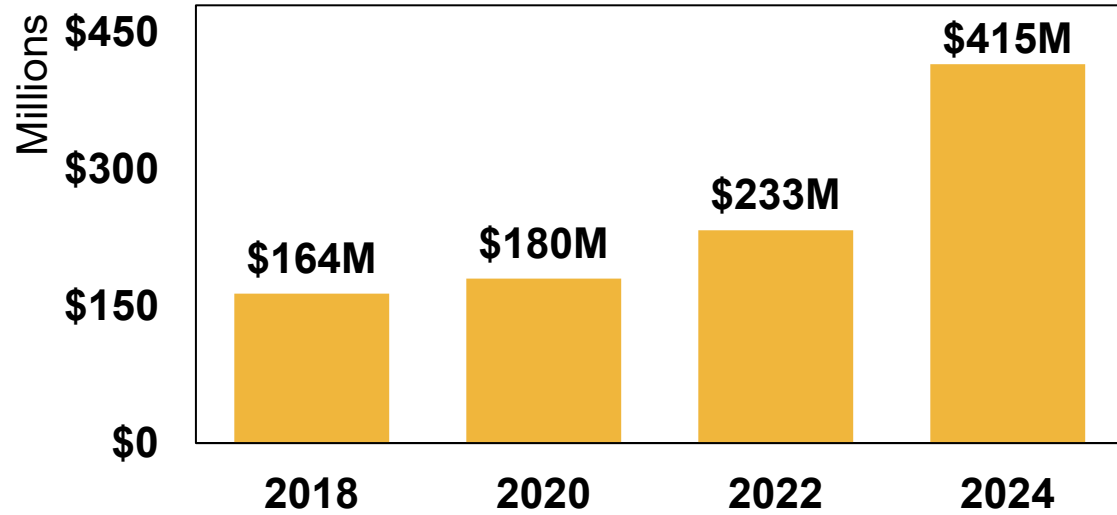
# FYTD Total Sponsored Awards



# FYTD Total Sponsored Expenditures

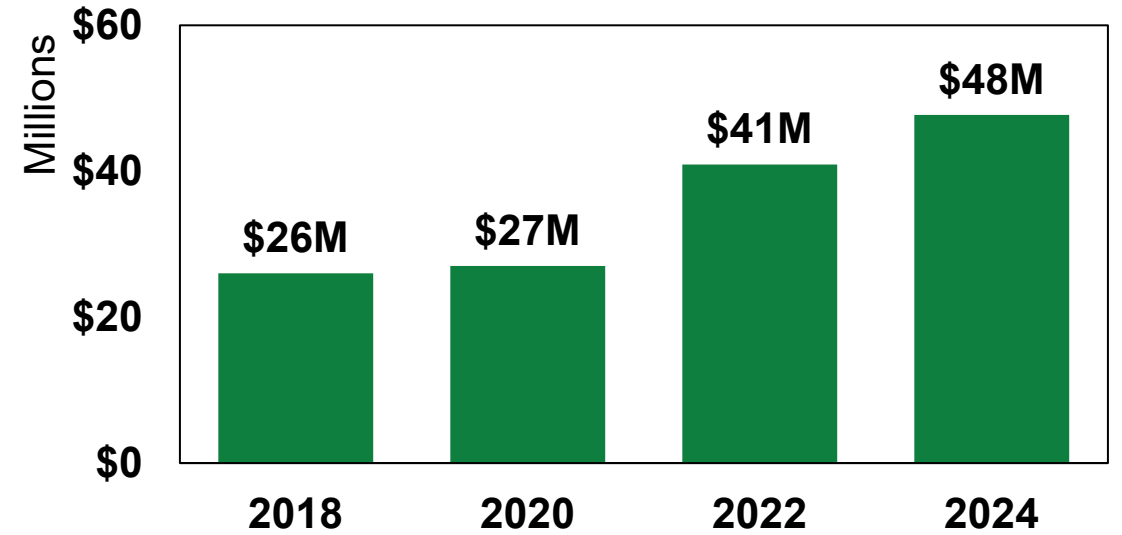
## MU

153%



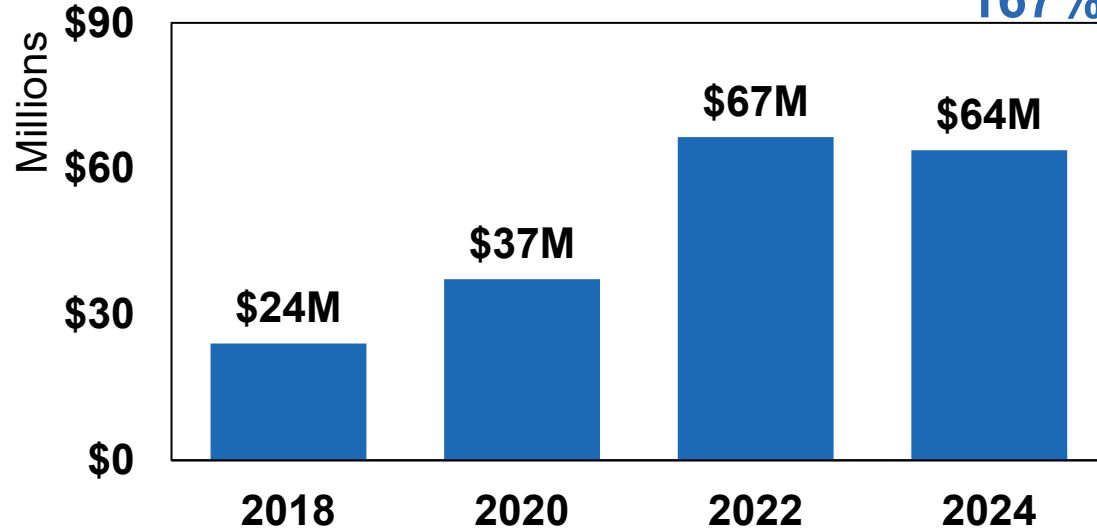
## S&T

85%



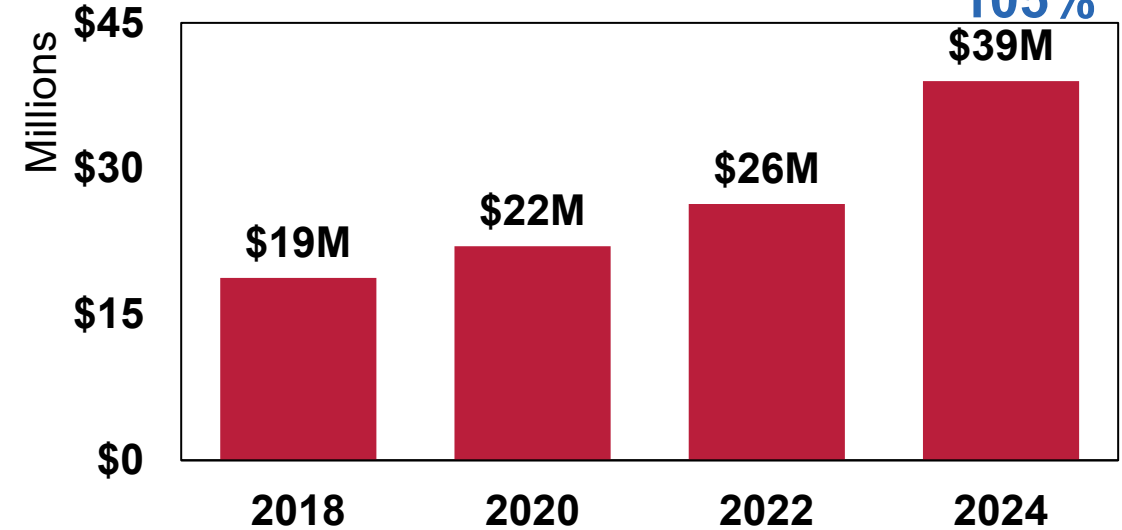
## UMKC

167%

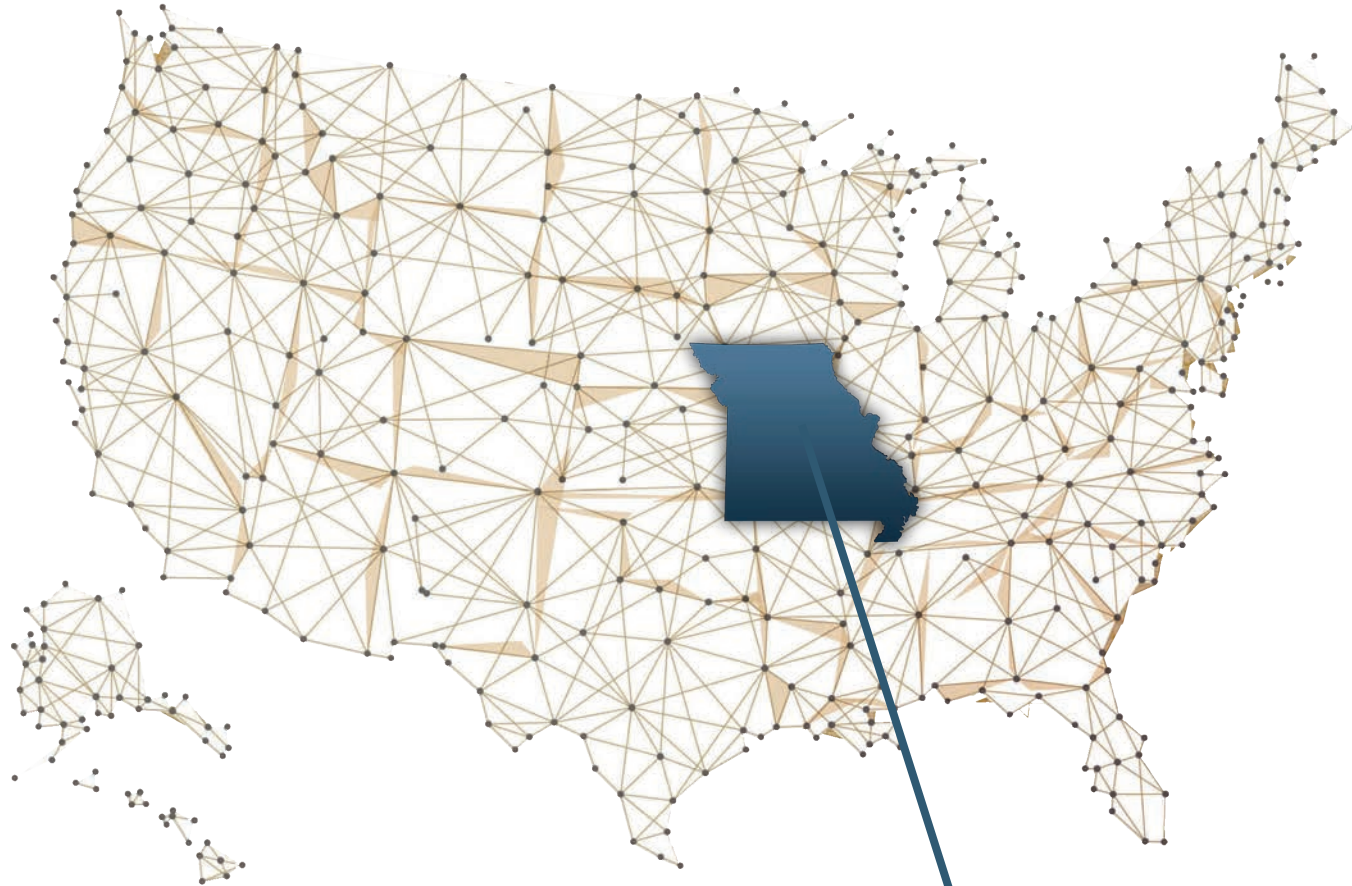


## UMSL

105%



# Top 100 Universities Granted U.S. Utility Patents



65/100 Nationwide

 UM System

26 U.S. Utility Patents

# S&T Major Grant



## Thermal Protection for Hypersonic Vehicles

**PI:** Dr. Greg Hilmas, *Curators' Distinguished Professor, Materials Science and Engineering*

**Co-PIs:**

- Dr. D. Lipke, *Materials Science and Engineering;*
- Dr. W. Fahrenholtz, *Curators' Distinguished Professor, Materials Science and Engineering;*
- Dr. K. Chandrashekhara, *Curators' Distinguished Professor, Mechanical and Aerospace Engineering;*
- Dr. J. Lonergan, *Materials Science and Engineering;*
- Dr. J. Watts, *Materials Science and Engineering;*
- Dr. A. Emdadi, *Materials Science and Engineering*

**\$4.8M**

**Sponsor:** General Electric Company

This is the second phase of an aggressive research and development project that advances understanding and maturity of composite materials for use in aerospace engineering.



# MU Major Grant



## **SGLT2 inhibition as a therapeutic strategy to reverse arterial stiffening in aging**

**PI:** Dr. Camila Manrique-Acevedo, *Thomas W. Burns Distinguished Professor in Diabetes, Department of Medicine*

**Co-PIs:** Dr. Luis Martinez-Lemus, *Medical Pharmacology and Physiology*, Dr. Jaime Padilla, *Nutrition and Exercise Physiology*

**\$3M**

**Sponsor:** National Institutes of Health

This project will determine the molecular mechanisms underlying arterial stiffening in aging and, for the first time, examine the efficacy of sodium glucose co-transporter 2 (SGLT2) inhibition in reversing aging-associated arterial stiffening.

*Cardiovascular disease is the main cause of death in older adults.*

# MU Major Grant



## **p16 Cellular Senescence and Vascular Dysfunction in Sleep Apnea**

**PI:** Dr. Rene Cortese, *Pediatrics and Obstetrics, Gynecology and Women's Health,  
School of Medicine*

**Co-I:** Dr. Mohammad Badran, *Pediatrics*

**\$2.9M**

**Sponsor:** National Institutes of Health

The grant will be used to investigate the phenotypic effects and molecular mechanisms of Obstructive Sleep Apnea (OSA)-induced vascular senescence, and their reversibility through selective targeting of senescent cells in the vasculature.

*Approximately 39 million U.S. adults have OSA, according to the National Council on Aging.*





# MU Major Grant



## Regulation of lymphatic muscle cell function by store operated calcium entry signaling

**PI:** Dr. Scott Zawieja, *Medical Pharmacology and Physiology, School of Medicine*

**Co-I:**

- Dr. Luis Polo-Parada, *Medical Pharmacology and Physiology, School of Medicine;*
- Steven S. Segal, *Curators' Distinguished Professor and Margaret Proctor Mulligan Professor in Medical Research, Medical Pharmacology and Physiology*

**\$2.9M**

**Sponsor:** National Institutes of Health

The central goal of this proposal is to explore the prevailing hypothesis for the pathogenesis of secondary lymphedema to identify novel targets for pharmacological intervention in lymphedema patients and may shed light on lymphatic collecting vessel contractile dysfunction reported in obesity, diabetes and hypertension.

*Secondary lymphedema, afflicting 1 in 1,000 Americans, poses a significant financial and health burden, resulting in a debilitating and incurable swelling and fibrosis in the affected extremity or tissue.*



# UMKC Major Grant



## Comprehensive Human Anatomy Insult Mitigation for Agile Loadouts (CHAINMAIL)

**PI:** Dr. Stephan Young, *Missouri Institute for Defense and Energy*

**CI:**

- Dr. Travis Fields, *Science and Engineering*;
- Dr. Ahmed Hassan, *Multidisciplinary Multiscale Electromagnetics Lab*;
- Dr. Ganesh Thiagarajan, *Science and Engineering*;
- Dr. Catherine Johnson, *Robert H. Quenon Associate Professor of Mining & Explosives Engineering, Missouri S&T*

**\$1.9M**

**Sponsor:** Army Research Office

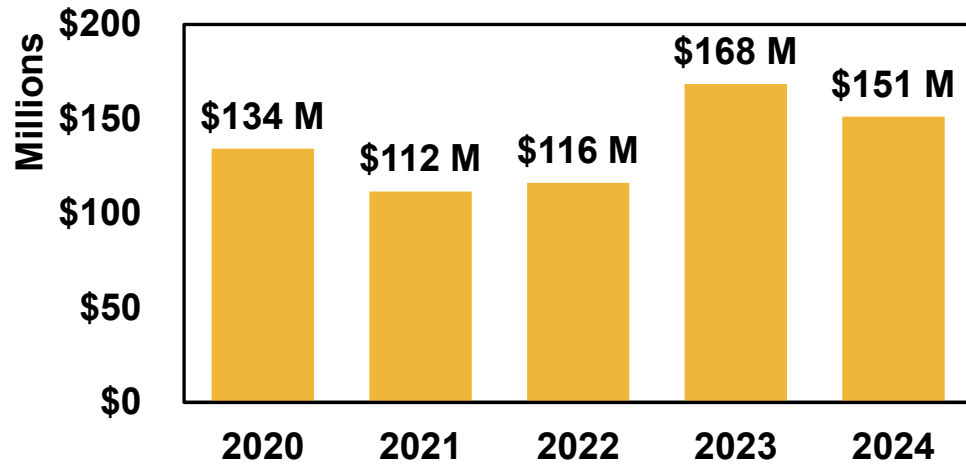
The objective of this program is to measure the baseline response of current soldier protection measures and to design and demonstrate new materials that will improve protection from kinetic and non-kinetic forces of potential harm.

*Current protective systems are modular to tailor to specific mission needs*

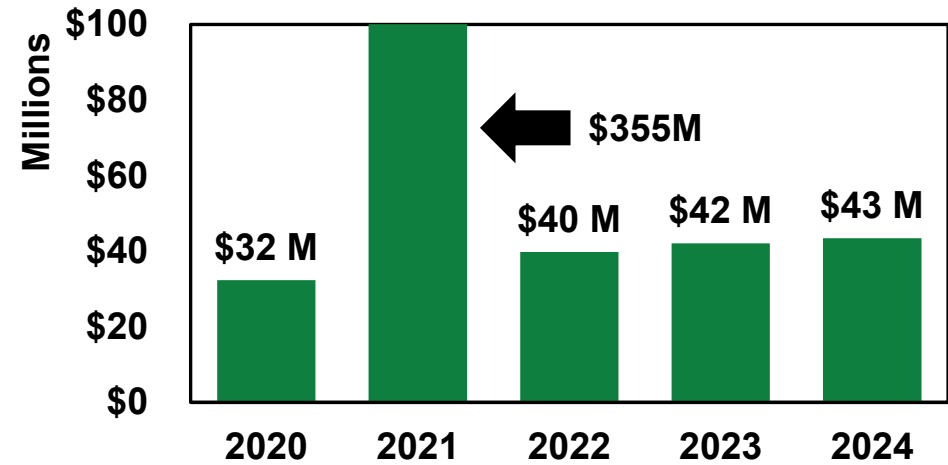


# FYTD Philanthropy

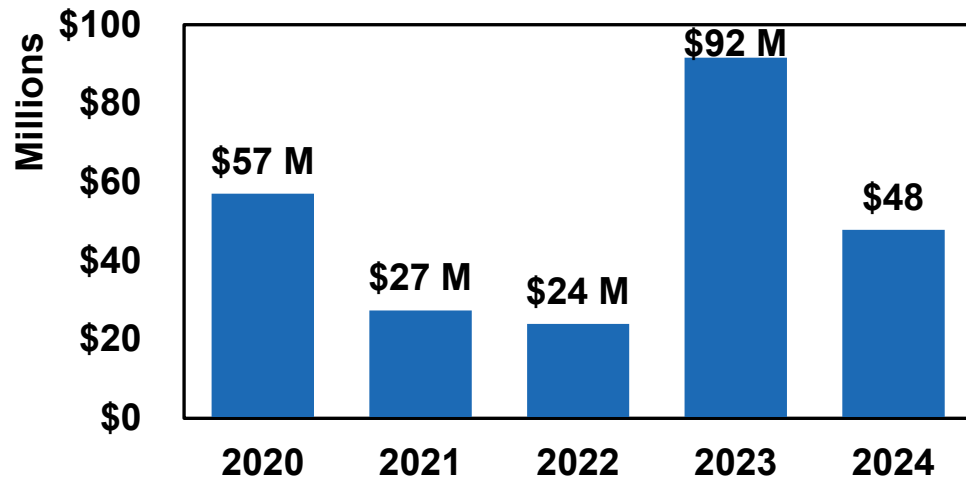
## MU (FY Goal of \$201M)



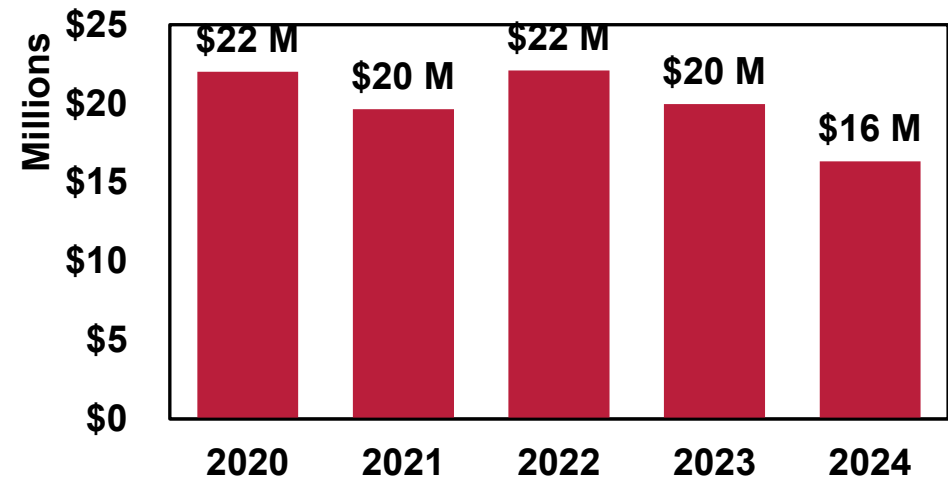
## S&T (FY Goal of \$26M)



## UMKC (FY Goal of \$45M)



## UMSL (FY Goal of \$21M)





————— University of Missouri System —————

## REVIEW CONSENT AGENDA

There are no materials for this information item.

No. 1

Recommended Action - Approval of Board of Curators Executive Committee and Standing Committees Appointments, 2024

It was recommended by Chair Wenneker, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following Board of Curators Executive Committee, Standing Committees and Mizzou Intercollegiate Athletics Special Committee appointments be approved for 2024:

**Executive Committee**

Robin R. Wenneker, Chair  
Todd P. Graves, Vice-Chair  
Michael A. Williams

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

Jeanne C. Sinquefield, Chair  
Robert D. Blitz  
Todd P. Graves  
Michael A. Williams

**Audit, Compliance and Ethics Committee**

Keith A. Holloway, Chair  
Lyda Krewson  
Jeanne C. Sinquefield  
Michael A. Williams

**Finance Committee**

Todd P. Graves, Chair  
Robert D. Blitz  
Robert W. Fry  
Keith A. Holloway

June 27, 2024

**Governance, Compensation and Human Resources Committee**

Robert W. Fry, Chair

Lyda Krewson

Jeff L. Layman

Robin R. Wenneker

**Health Affairs Committee**

Michael A. Williams, Chair

Robert W. Fry

Keith A. Holloway

Jeff L. Layman

Ronald G. Ashworth (non-curator)

Dan P. Devers (non-curator)

Philip Burger (non-curator)

**Mizzou Intercollegiate Athletics Special Committee**

Robert D. Blitz, Chair

Todd P. Graves

Jeff L. Layman

Robin R. Wenneker

Roll call vote:

YES

NO

Curator Blitz

Curator Fry

Curator Graves

Curator Holloway

Curator Krewson

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

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

June 27, 2024

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

- A. Minutes, April 18, 2024 Board of Curators Meeting
- B. Minutes, April 18, 2024 Board of Curators Committee Meetings
- C. Minutes, April 5 and April 16 & 19 and 22, 2024 Mizzou Intercollegiate Athletics Special Committee Meetings
- D. Minutes, April 24, 2024 Board of Curators Special Meeting
- E. Minutes, May 17, 2024 Mizzou Intercollegiate Athletics Special Committee Meeting
- F. Minutes, May 23, 2024 Board of Curators Special Meeting and Committee Meeting
- G. Degrees, Summer Semester 2024 for all universities
- H. Naming Opportunities, MU
- I. Amendment, Collected Rule and Regulation 140.010, Investment Policies, Proxy Voting
- J. Amendment, Collected Rule and Regulation 140.012, Investment Policies, General Pool
- K. Rescind Collected Rule and Regulation 180.030, Security of Classified Materials and adoption of Collected Rule and Regulation 430.010, Industrial Security Program
- L. Resolution for Retiring Secretary of the Board of Curators, Cindy Harmon
- M. Project Reapproval – Healthcare Delivery and Innovation Building UMKC

Roll call vote of the Board:                      YES                      NO

- Curator Blitz
- Curator Fry
- Curator Graves
- Curator Holloway
- Curator Krewson
- Curator Layman
- Curator Sinquefield
- Curator Wenneker
- Curator Williams

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



Consent A

Recommended Action - Minutes, April 18, 2024 Board of Curators Meeting

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the April 18, 2024 Board of Curators meeting be approved as presented.

Roll call vote:	YES	NO
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Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

June 27, 2024

OPEN – CONSENT – A-1

OPEN – CONSENT – A-1

Consent B

Recommended Action - Minutes, April 18, 2024 Board of Curators Committee Meetings

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the April 18, 2024 Board of Curators committee meetings be approved as presented.

Roll call vote: YES NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

Consent C

Recommended Action - Minutes, April 5 and April 16 & 19, and 22, 2024 Board of Curators Mizzou Intercollegiate Athletics Special Committee Meeting Minutes

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the April 5 and April 16 & 19, and 22, 2024 Board of Curators Mizzou Intercollegiate Athletics Special Committee meetings be approved as presented.

Roll call vote:	YES	NO
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- Curator Blitz
- Curator Fry
- Curator Graves
- Curator Holloway
- Curator Krewson
- Curator Layman
- Curator Sinquefield
- Curator Wenneker
- Curator Williams

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

June 27, 2024

Consent D

Recommended Action - Minutes, April 24, 2024 Board of Curators Special Meeting

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the April 24, 2024 Board of Curators Special Meeting be approved as presented.

Roll call vote: YES NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

June 27, 2024

Consent E

Recommended Action - Minutes, May 17, 2024 Board of Curators Mizzou Intercollegiate Athletics Special Committee Meeting Minutes

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the May 17, 2024 Board of Curators Mizzou Intercollegiate Athletics Special Committee meeting be approved as presented.

Roll call vote: YES NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

June 27, 2024

Consent F

Recommended Action - Minutes, May 23, 2024 Board of Curators Special Meeting and Committee Meeting

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the minutes of the May 23, 2024 Board of Curators Special Meeting and Committee Meeting be approved as presented.

Roll call vote: YES NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

June 27, 2024

Consent G

Recommended Action – Approval of Degrees, Summer Semester 2024, for all universities

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

that the action of the President of the University of Missouri in awarding degrees and certificates to candidates recommended by the various faculties and committees of the four University of Missouri System campuses who fulfill the requirements for such degrees and certificates at the end of the Summer Semester 2024, shall be approved, and that the lists of said students who have been awarded degrees and certificates be included in the records of the meeting.

Roll call vote of Board:

YES

NO

Curator Blitz

Curator Fry

Curator Graves

Curator Holloway

Curator Krewson

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

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



No. H

Recommended Action - Naming Opportunities, MU

It was recommended and endorsed by UM System President Mun Y. Choi and Vice Chancellor of University Advancement Jackie Lewis, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following actions be approved:

that a gate at the premium entry point of the South End Zone at Memorial Stadium be named the Adelson Family Premium Entry, and

that a gate at the 3W entry point of the Memorial Stadium be named the Bruce J. Loewenberg '61 Delta Sigma Phi gate, and

that a gate at the 3W entry point of the Memorial Stadium be named the Vogel & Whaley Family Gate, and

Roll call vote Finance Committee	YES	NO
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Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway

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

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

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

June 27, 2024

Approval of Collected Rules & Regulation 140.010 Investment Policies  
UM

Management recommends for Board approval a change in Investment Policy which reflects existing practices for proxy voting; no impact to current University investment practices is anticipated as a result of the policy change.

The policy on proxy voting applies only to separately managed accounts for public equities in which the University has control over proxy voting. Most of the University's existing public equity exposure is obtained through commingled vehicles in which the University does not have control over proxy voting.

The following outlines the proposed change:

*140.010 Policy for Management and Oversight of Selected University Investment Pools*

**Section E – Proxy Voting** (existing language)

Proxy voting power is an asset of the respective investment pool and is subject to the same management as all other investment pool assets. Accordingly, the investment manager has the responsibility and liability for voting proxies appurtenant to the securities under its management, owned by the respective investment pool. The voting of proxies must be done in a prudent manner and consistent with the investment objectives of the respective investment pool.

Proposed Addition

Voting shares for the sole purpose of furthering noneconomic environmental, social, political, ideological, or other goals is prohibited.

No. I

Recommended Action - Approval of Collected Rules and Regulations 140.010  
Investment Policies, UM

It was recommended by Executive Vice President Rapp, endorsed by President  
Mun Y. Choi, recommended by the Finance Committee, moved by Curator  
\_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the:

Existing investment policy of Collected Rules and Regulations, Section 140.010,  
be amended, as noted in the attached documents:

Roll call vote of the Committee: YES NO

Curator Blitz

Curator Fry

Curator Graves

Curator Holloway

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

Roll call vote of Board of Curators: YES NO

Curator Blitz

Curator Fry

Curator Graves

Curator Holloway

Curator Krewson

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

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

June 27, 2024

# 140.010 Policy for Management and Oversight of Selected University Investment Pools

Bd. Min. 5-3-91; Amended Bd. Min. 3-24-95; 1-21-98; Amended Bd. Min. 12-15-06; 7-22-11; Revised in entirety, Bd. Min. 6-26-12; (Note: Board approval on 6-26-12 replaced previous rules 140.010, 140.011, 140.012 and 140.013 with new language and reissued new rules 140.010 through 140.016.); Amended Bd. Min. 9-28-17; Amended Bd. Min. 9-7-22. Amended Bd. Min. 6-27-24.

A. **Introduction** -- This policy establishes guidelines for the management and oversight of certain University investment pools. This policy applies to the following investment pools:

1. CRR 140.012 General Pool
2. CRR 140.013 Endowment Pool
3. CRR 140.014 Fixed Income Pool
4. CRR 140.015 Retirement, Disability and Death Benefit Plan
5. CRR 140.016 Other Postemployment Benefits Plan Trust Fund

This policy does not apply to existing debt and commodities derivatives described in CRR Chapter 145, or to program-related funds and assets not held primarily for investment, including interests governed by CRR 70.070 "*Entrepreneurial Activity*."

B. **Authorities** – The Board of Curators of the University of Missouri has the ultimate authority to determine the proper means for the management and oversight of invested assets. Through this policy, the Board delegates certain specific authorities and responsibilities with respect to the management and oversight of invested assets, which it has determined, with the advice of counsel, to be appropriate as described herein.

1. The following actions shall require Board of Curators approval after consideration of recommendations from University staff:
  - a. Selection of master custodians for each investment pool. A master custodian provides a variety of services, including, but not limited to: safekeeping of securities, collection of income and other inflows, disbursement for investment management fees, and a monthly accounting of all transactions.
  - b. Selection of external investment consultant ("Investment Consultant") to assist the Board and University staff in management and oversight duties and to perform such duties as outlined in CRR 140.010 through CRR 140.016 ("Investment Pool Policies").

June 27, 2024

- c. Selection of suitable asset classes with corresponding targets and allowable ranges for each investment pool, after consideration of recommendations in formal asset/liability studies conducted by the Investment Consultant not less than once every three years. Such asset/liability studies shall consider the balance between risk and return, taking into account the specific objectives of each investment pool and such other factors as appropriate in compliance with applicable law.
    - d. Selection of suitable spending policies for endowed funds.
  - 2. The following authorities and responsibilities are hereby delegated by the Board to the Executive Vice President for Finance and Operations, the Chief Investment Officer and the Investment Consultant, with any action hereunder requiring unanimous approval by all three persons. In the event that either of the two University staff positions is vacant, or the incumbent is otherwise unavailable, the President may, on a temporary basis, authorize actions upon the unanimous approval by the remaining two persons or appoint a replacement for the unavailable person until such time that the position is filled or the incumbent becomes available.
    - a. Hiring of external investment managers for any of the investment pools covered by this policy, consistent with the respective asset classes and targets established by the Board and the guidelines outlined in CRR 140.011 "*Policy for Investment Manager Selection, Monitoring and Retention.*"
    - b. Termination of external investment managers for any of the investment pools covered by this policy, consistent with the guidelines outlined in CRR 140.011 "*Policy for Investment Manager Selection, Monitoring and Retention.*"
    - c. Establishment and/or modification of policy benchmarks, consistent with the respective asset classes and targets established by the Board, for any of the investment pools covered by this policy.
  - 3. The following authorities are hereby delegated by the Board to the Executive Vice President for Finance and Operations or her/his designees:
    - a. Specific to the General Pool, the authority to manage funds internally, consistent with the guidelines outlined in CRR 140.012 "*Investment Policy for General Pool.*"

June 27, 2024

- b. As appropriate, implementation of securities lending programs, provided that securities included in any program shall be fully collateralized and marked to market daily.
  - c. Execution of instruments in accordance with CRR 70.020 *“Execution of Financial Instruments.”*
4. In making the foregoing delegations, the Board has considered the purposes and circumstances of the investment pools, the qualifications and expertise of the persons to whom it has delegated such authorities, and the scope and terms of the delegated authorities. The Board shall continue to evaluate these and other relevant factors, including the overall performance of the investment pools, in conjunction with its ongoing reviews and monitoring as described herein.

C. **Responsibilities** – Persons responsible for managing funds in the investment pools shall, in rendering advice for a fee, exercising discretionary authority or control over investments, or taking other actions under the Investment Pool Policies: (i) act in accordance with the “prudent investor rule” and invest assets as would a prudent investor similarly situated, considering the circumstances of the investment pool and exercising reasonable care, skill, and caution, and (ii) fulfill fiduciary duties as required by contract and in accordance with the Investment Pool Policies and applicable law but at a minimum consistent with Sections 105.688 and 402.132 of the Revised Statutes of Missouri as amended from time to time or successor statutes, as appropriate. Each such person shall, by accepting his or her appointment or taking any action pursuant to the Investment Pool Policies, be deemed to have agreed to undertake such duties and otherwise perform in accordance with this policy and applicable law.

1. The Executive Vice President for Finance and Operations or her/his designees are responsible for the following:
- a. Implement and monitor Investment Pool Policies.
  - b. Review Investment Pool Policies on an annual basis, with policy amendments submitted to the Board of Curators as necessary.
  - c. Evaluate and monitor master custodians and Investment Consultant; report to the Board as necessary.
  - d. Periodic reporting to the Board as outlined in Section D of this policy.
  - e. Monitor the effects of the spending policy with respect to endowment funds and recommend modifications to the Board as appropriate.
  - f. Management of endowed funds in accordance with any restrictions that may apply at the time

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of receipt, provided such restrictions do not conflict with applicable state statutes and University policies.

g. Maintain accurate records for the investment pools.

2. Generally, the University is and shall be deemed to be the corporate trustee for all funds held by the University in an express trust, such as funds in the Retirement, Disability and Death Benefit Plan and Other Postemployment Benefits Plan Trust Fund, as well as any other funds held by the University that are deemed to be trust funds under applicable law.

D. **Reporting** – At minimum, the following reporting to the Board shall be required:

1. Quarterly: Summary of performance for each investment pool as well as reporting of any actions taken to hire or terminate investment managers or modify investment pool benchmarks under the authority delegated within Section B(2) of this policy.
2. Annually: Performance review, including all underlying investment managers, for each respective investment pool, relative to established benchmarks and other relevant metrics, and including information relating to the authority delegated under Sections B(2) and B(3) of this policy, including recommendations for change, if any.

E. **Proxy Voting** -- Proxy voting power is an asset of the respective investment pool and is subject to the same management as all other investment pool assets. Accordingly, the investment manager has the responsibility and liability for voting proxies appurtenant to the securities under its management, owned by the respective investment pool. The voting of proxies must be done in a prudent manner and consistent with the investment objectives of the respective investment pool. Voting shares for the sole purpose of furthering noneconomic environmental, social, political, ideological, or other goals is prohibited.

# 140.010 Policy for Management and Oversight of Selected University Investment Pools

Bd. Min. 5-3-91; Amended Bd. Min. 3-24-95; 1-21-98; Amended Bd. Min. 12-15-06; 7-22-11; Revised in entirety, Bd. Min. 6-26-12; (Note: Board approval on 6-26-12 replaced previous rules 140.010, 140.011, 140.012 and 140.013 with new language and reissued new rules 140.010 through 140.016.); Amended Bd. Min. 9-28-17; Amended Bd. Min. 9-7-22. [Amended Bd. Min. 6-27-24.](#)

A. **Introduction** -- This policy establishes guidelines for the management and oversight of certain University investment pools. This policy applies to the following investment pools:

1. CRR 140.012 General Pool
2. CRR 140.013 Endowment Pool
3. CRR 140.014 Fixed Income Pool
4. CRR 140.015 Retirement, Disability and Death Benefit Plan
5. CRR 140.016 Other Postemployment Benefits Plan Trust Fund

This policy does not apply to existing debt and commodities derivatives described in CRR Chapter 145, or to program-related funds and assets not held primarily for investment, including interests governed by CRR 70.070 "*Entrepreneurial Activity*."

B. **Authorities** – The Board of Curators of the University of Missouri has the ultimate authority to determine the proper means for the management and oversight of invested assets. Through this policy, the Board delegates certain specific authorities and responsibilities with respect to the management and oversight of invested assets, which it has determined, with the advice of counsel, to be appropriate as described herein.

1. The following actions shall require Board of Curators approval after consideration of recommendations from University staff:
  - a. Selection of master custodians for each investment pool. A master custodian provides a variety of services, including, but not limited to: safekeeping of securities, collection of income and other inflows, disbursement for investment management fees, and a monthly accounting of all transactions.
  - b. Selection of external investment consultant ("Investment Consultant") to assist the Board and University staff in management and oversight duties and to perform such duties as outlined in CRR 140.010 through CRR 140.016 ("Investment Pool Policies").

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- c. Selection of suitable asset classes with corresponding targets and allowable ranges for each investment pool, after consideration of recommendations in formal asset/liability studies conducted by the Investment Consultant not less than once every three years. Such asset/liability studies shall consider the balance between risk and return, taking into account the specific objectives of each investment pool and such other factors as appropriate in compliance with applicable law.
    - d. Selection of suitable spending policies for endowed funds.
- 2. The following authorities and responsibilities are hereby delegated by the Board to the Executive Vice President for Finance and Operations, the Chief Investment Officer and the Investment Consultant, with any action hereunder requiring unanimous approval by all three persons. In the event that either of the two University staff positions is vacant, or the incumbent is otherwise unavailable, the President may, on a temporary basis, authorize actions upon the unanimous approval by the remaining two persons or appoint a replacement for the unavailable person until such time that the position is filled or the incumbent becomes available.
  - a. Hiring of external investment managers for any of the investment pools covered by this policy, consistent with the respective asset classes and targets established by the Board and the guidelines outlined in CRR 140.011 "*Policy for Investment Manager Selection, Monitoring and Retention.*"
  - b. Termination of external investment managers for any of the investment pools covered by this policy, consistent with the guidelines outlined in CRR 140.011 "*Policy for Investment Manager Selection, Monitoring and Retention.*"
  - c. Establishment and/or modification of policy benchmarks, consistent with the respective asset classes and targets established by the Board, for any of the investment pools covered by this policy.
- 3. The following authorities are hereby delegated by the Board to the Executive Vice President for Finance and Operations or her/his designees:
  - a. Specific to the General Pool, the authority to manage funds internally, consistent with the guidelines outlined in CRR 140.012 "*Investment Policy for General Pool.*"

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- b. As appropriate, implementation of securities lending programs, provided that securities included in any program shall be fully collateralized and marked to market daily.
  - c. Execution of instruments in accordance with CRR 70.020 *"Execution of Financial Instruments."*
4. In making the foregoing delegations, the Board has considered the purposes and circumstances of the investment pools, the qualifications and expertise of the persons to whom it has delegated such authorities, and the scope and terms of the delegated authorities. The Board shall continue to evaluate these and other relevant factors, including the overall performance of the investment pools, in conjunction with its ongoing reviews and monitoring as described herein.

C. **Responsibilities** – Persons responsible for managing funds in the investment pools shall, in rendering advice for a fee, exercising discretionary authority or control over investments, or taking other actions under the Investment Pool Policies: (i) act in accordance with the "prudent investor rule" and invest assets as would a prudent investor similarly situated, considering the circumstances of the investment pool and exercising reasonable care, skill, and caution, and (ii) fulfill fiduciary duties as required by contract and in accordance with the Investment Pool Policies and applicable law but at a minimum consistent with Sections 105.688 and 402.132 of the Revised Statutes of Missouri as amended from time to time or successor statutes, as appropriate. Each such person shall, by accepting his or her appointment or taking any action pursuant to the Investment Pool Policies, be deemed to have agreed to undertake such duties and otherwise perform in accordance with this policy and applicable law.

1. The Executive Vice President for Finance and Operations or her/his designees are responsible for the following:
- a. Implement and monitor Investment Pool Policies.
  - b. Review Investment Pool Policies on an annual basis, with policy amendments submitted to the Board of Curators as necessary.
  - c. Evaluate and monitor master custodians and Investment Consultant; report to the Board as necessary.
  - d. Periodic reporting to the Board as outlined in Section D of this policy.
  - e. Monitor the effects of the spending policy with respect to endowment funds and recommend modifications to the Board as appropriate.
  - f. Management of endowed funds in accordance with any restrictions that may apply at the time

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of receipt, provided such restrictions do not conflict with applicable state statutes and University policies.

g. Maintain accurate records for the investment pools.

2. Generally, the University is and shall be deemed to be the corporate trustee for all funds held by the University in an express trust, such as funds in the Retirement, Disability and Death Benefit Plan and Other Postemployment Benefits Plan Trust Fund, as well as any other funds held by the University that are deemed to be trust funds under applicable law.

D. **Reporting** – At minimum, the following reporting to the Board shall be required:

1. Quarterly: Summary of performance for each investment pool as well as reporting of any actions taken to hire or terminate investment managers or modify investment pool benchmarks under the authority delegated within Section B(2) of this policy.
2. Annually: Performance review, including all underlying investment managers, for each respective investment pool, relative to established benchmarks and other relevant metrics, and including information relating to the authority delegated under Sections B(2) and B(3) of this policy, including recommendations for change, if any.

E. **Proxy Voting** -- Proxy voting power is an asset of the respective investment pool and is subject to the same management as all other investment pool assets. Accordingly, the investment manager has the responsibility and liability for voting proxies appurtenant to the securities under its management, owned by the respective investment pool. The voting of proxies must be done in a prudent manner and consistent with the investment objectives of the respective investment pool. [Voting shares for the sole purpose of furthering noneconomic environmental, social, political, ideological, or other goals is prohibited.](#)

Approval of Collected Rules & Regulation 140.012 Investment Policies  
UM

Management recommends for Board approval a change in Investment Policy for the General Pool which eliminates the leverage component of the portable alpha program, and also changes the name of the “Liquidity Portfolio” to “Working Capital” to better reflect common naming convention.

Background

In November 2022, the Board approved portable alpha as an allowable program for the General Pool. For the sake of consistency among portfolios, the program proposed and approved was identical to what was in use within Retirement and Endowment. In hindsight, when considering several factors, the investment team determined that implementing the leverage component of the program for the General Pool was no longer optimal, as it would not contribute to an improvement in diversification within the General Pool itself. As such, the leverage component of the portable alpha program has never been implemented within the General Pool.

We maintain strong conviction that the unlevered absolute return hedge fund (“alpha”) portfolio very meaningfully contributes to the General Pool’s investment objectives for “diversification and preservation of capital,” while also delivering very attractive “risk-adjusted returns.”

Accordingly, Staff, the University’s Investment Consultant and Investment Advisory Committee have recommended Board approval for the elimination of the portable alpha leverage component from the General Pool’s investment policy while allowing the absolute return hedge fund (“alpha”) portfolio itself to continue to remain in the General Pool as an allowable asset class.

No. J

Recommended Action - Approval of Collected Rules and Regulations 140.012  
Investment Policies, UM

It was recommended by Executive Vice President Rapp, endorsed by President  
Mun Y. Choi, recommended by the Finance Committee, moved by Curator  
\_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the:

Existing investment policy of Collected Rules and Regulations, Section 140.012,  
be amended, as noted in the attached documents:

Roll call vote of the Committee: YES NO

Curator Blitz

Curator Fry

Curator Graves

Curator Holloway

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

Roll call vote of Board of Curators: YES NO

Curator Blitz

Curator Fry

Curator Graves

Curator Holloway

Curator Krewson

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

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

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# 140.012 Investment Policy for General Pool

Bd. Min. 12-6-91; Amended Bd. Min. 12-9-93; Amended Bd. Min. 11-14-94; Amended Bd. Min. 12-13-96; Amended Bd. Min. 9-26-97; 1-21-98; Revised 2-01-00; Amended Bd. Min. 9-27-02; Amended Bd. Min. 11-22-02; Revised 1-5-04; Amended Bd. Min. 9-9-04; Amended Bd. Min. 1-26-07; Amended Bd. Min.2-6-09; Amended Bd. Min. 6-5-09; Amended Bd. Min.6-17-11; Revised in entirety, Bd. Min. 6-26-12. (Note: Board approval on 6-26-12 replaced previous rules 140.010, 140.011, 140.012 and 140.013 with new language and reissued new rules 140.010 through 140.016.) Amended Bd. Min. 1-31-13; Amended Bd. Min. 6-25-15; Amended Bd. Min. 10-1-15; Amended Bd. Min. 10-7-16; Amended Bd. Min. 11-15-18; Amended Bd. Min. 9-24-20; Amended Bd. Min. 4-21-22; Amended Bd. Min. 11-17-22; Amended Bd. Min. 6-29-23. Amended Bd. Min. 6-27-24.

- A. **Introduction** – The General Pool represents the University’s cash and reserves, both restricted and unrestricted, including, but not limited to, operating funds, auxiliary funds, service operations funds, self-insurance funds, debt service funds, and plant funds.
- B. **Responsibilities and Authorities** – See CRR 140.010, “Policy for Management and Oversight of Selected University Investment Pools”
- C. **Investment Objectives** – The General Pool shall be managed in a way that both recognizes and balances the underlying needs of the pool, including, but not limited to, accommodation of University cash flow cyclicalities, satisfaction of various ongoing liquidity needs, maximization of risk-adjusted investment returns, diversification and preservation of capital.
- D. **Authorized Investments** – The General Pool shall be invested as follows:

	Investment Portfolios		
	Working Capital	Core	Strategic
Management	Internal/External	External	External
Minimum Allocation	20%	0%	0%
Maximum Allocation	100%	60%	45%
Liquidity Objective	High	Moderate	Moderate/Low
Volatility Tolerance	Low	Moderate	Moderate/High
Return Expectation	Low	Moderate	Moderate/High

- 1. **Working Capital**  
 The Working Capital portfolio is expected to have very low volatility and low (cash-like) returns. It is the primary source of liquidity for the University’s operating cash flow needs, constructed utilizing securities and investment vehicles that primarily have same day liquidity with minimal day-to-day price fluctuations. Exposures will be obtained by investing in the following:

- a. Bank deposits covered by FDIC insurance or otherwise collateralized by U.S. Government and U.S. Government Agency securities.
- b. Money market funds which are SEC 2a-7 compliant and have received the highest possible rating by at least two Nationally Recognized Statistical Rating Organizations.
- c. Commercial Paper which has received a rating of at least A1 / P1 / F1 by two of the Nationally Recognized Statistical Rating Organizations
- d. Repurchase Agreements collateralized by the U.S. Government and U.S. Government Agency securities.
- e. Yield Enhancement Strategies that seek returns higher than, or comparable to, traditional cash investments, while diversifying the risk inherent in traditional cash investments. To implement these strategies, liquid non-cash-like securities are often purchased in conjunction with a hedge instrument that substantially hedges away the non-cash-like attributes of the securities. Instruments that may be part of such transactions include: U.S. Treasury securities, sovereign bonds issued by G10 countries, and other fixed income securities and precious metals. To hedge away the non-cash like attributes, the following instruments may be used: futures contracts, asset/interest rate swaps, currency forwards, securities lending agreements, and repurchase agreements.
- f. Other short-term investment vehicles of similar quality, with an average duration of one year or less.
- g. U.S. Treasury securities, U.S. Government Agency securities and U.S. Government guaranteed securities, including but not limited to: all direct obligations of the U.S. Government, Federal Farm Credit Banks, Federal Home Loan Banks, Federal National Mortgage Association, and Federal Home Loan Mortgage Corporation.
- h. Internal short-term loans at market interest rates to the University's Central Bank as a substitute for commercial paper which could otherwise be issued externally by the Central Bank under the University's Commercial Paper Notes program. Such short-term loans must be approved by the Vice President for Finance.

## 2. **Core Portfolio**

The Core portfolio is expected to have moderate volatility with moderate returns, invested primarily in public debt securities and related investment vehicles. It will serve as a secondary source of liquidity, built utilizing excess operating funds not expected to be needed for purposes of funding the operational needs of the University under normal circumstances. This portfolio will be expected to generate higher returns than the Working Capital portfolio through the use of some combination of credit risk, interest rate risk, illiquidity risk and idiosyncratic (active) risk.

- a. **Public Debt**  
Specific types of debt exposures include, but are not limited to, sovereign, corporate, inflation-linked, high yield, emerging market, commercial mortgage-backed securities, and residential mortgage-backed securities.

Exposures will be obtained through physical securities as well as derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, forward contracts, and reverse repurchase agreements may be utilized. Exposures may include long/short positions.

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Legal account structures may be in the form of separately managed accounts, institutional commingled funds, exchange-traded funds and limited partnership agreements.

3. **Strategic Portfolio**

The Strategic portfolio will be built utilizing excess operating funds that should not be needed for liquidity purposes. As compared to the Core portfolio, the Strategic portfolio will have higher return expectations and a higher level of expected volatility. These are truly long-term funds and should be thought of similarly to retirement and endowment funds.

- a. Approved asset classes (as defined by CRR 140.017, "Policy for Allowable Investments"):

Private Debt – Section (C)(6)  
Real Estate/Infrastructure – Section (C)(9)  
Risk Balanced – Section (C)(8)  
Alpha Portfolio – Section (D)(1)(d)

- b. Venture Capital

Investments shall be consistent with the University's mission to foster innovation in support of economic development. Maximum allocation shall be \$5 million.

Investments require unanimous approval by the Executive Vice President for Finance and Operations and the Chief Investment Officer in consultation with the President.

Utilization of external managers shall be consistent with the guidelines established in CRR 140.011, "*Policy for Investment Manager Selection, Monitoring and Retention.*"

- c. Endowment Pool

As part of its Strategic Portfolio, the General Pool may invest in the University's Endowment Pool, as established and governed by CRR 140.013, "Investment Policy for Endowment Pool."

**E. Risk Management**

1. The Assistant Vice President for Treasury and Real Estate shall establish and implement procedures to:

- a. Regularly monitor the University's cash flow forecasts.
- b. Determine and maintain minimum daily liquidity equal to 30 days operating cash outflows for the University.



- c. Determine minimum weekly liquidity equal to 60 days operating cash outflows for the University.
  - d. As applicable, determine overall liquidity sufficient to satisfy credit rating agency guidelines for any self-liquidity needs of the University's debt portfolio.
  - e. Maintain a contingency funding plan to address unanticipated market / liquidity events, with the objective of having ready access to cash to meet the University's operating cash flow needs at all times.
2. The Chief Investment Officer shall establish and implement procedures to:
- a. Invest General Pool funds, primarily within the Working Capital and Core portfolios, in a manner which satisfies minimum requirements for weekly liquidity and contingency funding needs.
  - b. Maintain appropriate reserves within the General Pool to mitigate drawdown risk based on the level of projected risk within the General Pool, modeled in consultation with the University's Investment Consultant, allowing the University to better manage through periods of market volatility.
- F. **Excluded Instruments** – The General Pool shall not be deemed to include, and the limitations contained herein shall not be deemed applicable to, any program-related funds, instruments, and assets not held primarily for investment such as interests governed by CRR 70.070, "*Entrepreneurial Activity*."

# 140.012 Investment Policy for General Pool

Bd. Min. 12-6-91; Amended Bd. Min. 12-9-93; Amended Bd. Min. 11-14-94; Amended Bd. Min. 12-13-96; Amended Bd. Min. 9-26-97; 1-21-98; Revised 2-01-00; Amended Bd. Min. 9-27-02; Amended Bd. Min. 11-22-02; Revised 1-5-04; Amended Bd. Min. 9-9-04; Amended Bd. Min. 1-26-07; Amended Bd. Min. 2-6-09; Amended Bd. Min. 6-5-09; Amended Bd. Min. 6-17-11; Revised in entirety, Bd. Min. 6-26-12. (Note: Board approval on 6-26-12 replaced previous rules 140.010, 140.011, 140.012 and 140.013 with new language and reissued new rules 140.010 through 140.016.) Amended Bd. Min. 1-31-13; Amended Bd. Min. 6-25-15; Amended Bd. Min. 10-1-15; Amended Bd. Min. 10-7-16; Amended Bd. Min. 11-15-18; Amended Bd. Min. 9-24-20; Amended Bd. Min. 4-21-22; Amended Bd. Min. 11-17-22; Amended Bd. Min. 6-29-23. Amended Bd. Min. 6-27-24.

- A. **Introduction** – The General Pool represents the University’s cash and reserves, both restricted and unrestricted, including, but not limited to, operating funds, auxiliary funds, service operations funds, self-insurance funds, debt service funds, and plant funds.
- B. **Responsibilities and Authorities** – See CRR 140.010, “Policy for Management and Oversight of Selected University Investment Pools”
- C. **Investment Objectives** – The General Pool shall be managed in a way that both recognizes and balances the underlying needs of the pool, including, but not limited to, accommodation of University cash flow cyclicalities, satisfaction of various ongoing liquidity needs, maximization of risk-adjusted investment returns, diversification and preservation of capital.
- D. **Authorized Investments** – The General Pool shall be invested as follows:

	Investment Portfolios			
	<u>Working Capital Liquidity</u>	Core	Strategic	Portable Alpha
Management	Internal/External	External	External	<u>External</u>
Minimum Allocation	20%	0%	0%	<u>0%</u>
Maximum Allocation	100%	60%	45%	<u>15%</u>
Liquidity Objective	High	Moderate	Moderate/Low	<u>Moderate</u>
Volatility Tolerance	Low	Moderate	Moderate/High	<u>Low/Moderate</u>
Return Expectation	Low	Moderate	Moderate/High	<u>Moderate</u>

1. **Working Capital Liquidity Portfolio**  
 The Working Capital Liquidity portfolio is expected to have very low volatility and low (cash-like) returns. It is the primary source of liquidity for the University’s operating cash flow needs, constructed utilizing securities and investment vehicles that primarily have same day liquidity with minimal day-to-day price fluctuations. Exposures will be obtained by investing in the following:

- a. Bank deposits covered by FDIC insurance or otherwise collateralized by U.S. Government and U.S. Government Agency securities.
- b. Money market funds which are SEC 2a-7 compliant and have received the highest possible rating by at least two Nationally Recognized Statistical Rating Organizations.
- c. Commercial Paper which has received a rating of at least A1 / P1 / F1 by two of the Nationally Recognized Statistical Rating Organizations
- d. Repurchase Agreements collateralized by the U.S. Government and U.S. Government Agency securities.
- e. Yield Enhancement Strategies that seek returns higher than, or comparable to, traditional cash investments, while diversifying the risk inherent in traditional cash investments. To implement these strategies, liquid non-cash-like securities are often purchased in conjunction with a hedge instrument that substantially hedges away the non-cash-like attributes of the securities. Instruments that may be part of such transactions include: U.S. Treasury securities, sovereign bonds issued by G10 countries, and other fixed income securities and precious metals. To hedge away the non-cash like attributes, the following instruments may be used: futures contracts, asset/interest rate swaps, currency forwards, securities lending agreements, and repurchase agreements.
- f. Other short-term investment vehicles of similar quality, with an average duration of one year or less.
- g. U.S. Treasury securities, U.S. Government Agency securities and U.S. Government guaranteed securities, including but not limited to: all direct obligations of the U.S. Government, Federal Farm Credit Banks, Federal Home Loan Banks, Federal National Mortgage Association, and Federal Home Loan Mortgage Corporation.
- h. Internal short-term loans at market interest rates to the University's Central Bank as a substitute for commercial paper which could otherwise be issued externally by the Central Bank under the University's Commercial Paper Notes program. Such short-term loans must be approved by the Vice President for Finance.

## 2. **Core Portfolio**

The Core portfolio is expected to have moderate volatility with moderate returns, invested primarily in public debt securities and related investment vehicles. It will serve as a secondary source of liquidity, built utilizing excess operating funds not expected to be needed for purposes of funding the operational needs of the University under normal circumstances. This portfolio will be expected to generate higher returns than the [Working Capital Liquidity](#) portfolio through the use of some combination of credit risk, interest rate risk, illiquidity risk and idiosyncratic (active) risk.

- a. **Public Debt**  
Specific types of debt exposures include, but are not limited to, sovereign, corporate, inflation-linked, high yield, emerging market, commercial mortgage-backed securities, and residential mortgage-backed securities.

Exposures will be obtained through physical securities as well as derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, forward contracts, and reverse repurchase

agreements may be utilized. Exposures may include long/short positions.  
~~Public Debt exposures may be used to fund a Portable Alpha Program.~~

Legal account structures may be in the form of separately managed accounts, institutional commingled funds, exchange-traded funds and limited partnership agreements.

### 3. **Strategic Portfolio**

The Strategic portfolio will be built utilizing excess operating funds that should not be needed for liquidity purposes. As compared to the Core portfolio, the Strategic portfolio will have higher return expectations and a higher level of expected volatility. These are truly long-term funds and should be thought of similarly to retirement and endowment funds.

- a. Approved asset classes (as defined by CRR 140.017, "Policy for Allowable Investments"):

~~Private Debt – Section (C)(6)  
Real Estate/Infrastructure – Section (C)(9)  
Risk Balanced – Section (C)(8)  
Alpha Portfolio – Section (D)(1)(d)~~

- b. Venture Capital

Investments shall be consistent with the University's mission to foster innovation in support of economic development. Maximum allocation shall be \$5 million.

Investments require unanimous approval by the Executive Vice President for Finance and Operations and the Chief Investment Officer in consultation with the President.

Utilization of external managers shall be consistent with the guidelines established in CRR 140.011, "Policy for Investment Manager Selection, Monitoring and Retention."

- c. Endowment Pool

As part of its Strategic Portfolio, the General Pool may invest in the University's Endowment Pool, as established and governed by CRR 140.013, "Investment Policy for Endowment Pool."

### ~~4. **Portable Alpha Program**~~

~~When any combination of Public Debt exposures within the Core Portfolio are obtained through the use of derivative instruments, a portion of the cash underlying the notional exposures may be used to fund an Alpha Portfolio. At a total portfolio level, the objective of a Portable Alpha Program is to generate excess returns through alpha exposures which, in aggregate, are diversifying to the General Pool overall.~~

~~Overall management of the Portable Alpha Program is subject to the provisions of CRR 140.017 "Policy for Allowable Investments."~~

~~a. Sizing of Alpha Portfolio – Allowable Range~~

~~The allowable range for the Alpha Portfolio shall be 0-15% of the total General Pool, which would represent total portfolio leverage of 100% to 115%.~~

~~Minimum Cash Margin~~

~~The General Pool shall maintain a 5% margin of safety in addition to the level of Cash Margin determined necessary to cover drawdowns across an average of the three worst modeled economic and market stress scenarios as defined by the greatest depletion of Cash Margin.~~

**E. Risk Management**

1. The Assistant Vice President for Treasury and Real Estate shall establish and implement procedures to:
    - a. Regularly monitor the University's cash flow forecasts.
    - b. Determine and maintain minimum daily liquidity equal to 30 days operating cash outflows for the University.
    - c. Determine minimum weekly liquidity equal to 60 days operating cash outflows for the University.
    - d. As applicable, determine overall liquidity sufficient to satisfy credit rating agency guidelines for any self-liquidity needs of the University's debt portfolio.
    - e. Maintain a contingency funding plan to address unanticipated market / liquidity events, with the objective of having ready access to cash to meet the University's operating cash flow needs at all times.
  2. The Chief Investment Officer shall establish and implement procedures to:
    - a. Invest General Pool funds, primarily within the [Working Capital Liquidity](#) and Core portfolios, in a manner which satisfies minimum requirements for weekly liquidity and contingency funding needs.
    - b. Maintain appropriate reserves within the General Pool to mitigate drawdown risk based on the level of projected risk within the General Pool, modeled in consultation with the University's Investment Consultant, allowing the University to better manage through periods of market volatility.
- F. **Excluded Instruments** – The General Pool shall not be deemed to include, and the limitations contained herein shall not be deemed applicable to, any program-related funds, instruments, and assets not held primarily for investment such as interests governed by CRR 70.070, "*Entrepreneurial Activity*."

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## **Executive Summary**

### **Proposed CRR Changes Relating to the Security of Classified Materials**

The current rule governing the security of classified materials (CRR 180.030), was last amended over twenty-five years ago in January 1998. The current rule is out-of-date with current federal requirements and University of Missouri System practices and therefore requires significant revisions to be brought into compliance.

Additionally, this CRR is first and foremost concerned with those conducting classified research. Because of this focus, this proposal moves the rule from CRR Chapter 180 (Records Management) to CRR Chapter 430 (Research Security). The rule belongs in Chapter 430 because the University's Industrial Security Program is an important component of research security requirements and the Facility Security Officer role described in the rule resides in the Research Security and Compliance unit. The title "Industrial Security Program" aligns with the primary U.S. Government regulation: 32 CFR Part 117, National Industrial Security Program Operating Manual.

Given the need for significant revisions and to house the rule in a new location within the Collected Rules and Regulations, this proposal recommends rescinding CRR 180.030 and creating a new CRR 430.010, Industrial Security Program.

Consent K

Recommended Action – Rescission of CRR 180.030: Security of Classified Materials;  
adoption of CRR 430.010: Industrial Security Program

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

Collected Rules and Regulations 180.030: Security of Classified Materials be  
rescinded and replaced with the federally mandated language contained in CRR  
430.010: Industrial Security Program as indicated in the attached documents.

Roll call vote of Board:

YES

NO

Curator Blitz

Curator Fry

Curator Graves

Curator Holloway

Curator Krewson

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

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

# 430.010 Industrial Security Program

Bd. Min. 06-27-24

## A. Statement of Purpose

1. This rule addresses The Curators of the University of Missouri (a.k.a., the University of Missouri System (UM System)) compliance with U.S. industrial security policy, including applicable federal statutes, Executive Orders (E.O.), Code of Federal Regulations (CFR), Department of Defense Instructions (DoDI), and other applicable authorities. UM System is committed to compliance for the protection of classified information disclosed to or developed by contractors of the U.S. Government (USG), employed or the responsibility of UM System (contractors).
2. This rule will be applied to achieve compliance with applicable federal authorities, including:
  - a. E.O. 12829, *National Industrial Security Program*
  - b. E.O. 10865, *Safeguarding Classified Information within Industry*
  - c. 32 CFR Part 2004, *National Industrial Security Program*
  - d. DoDI 5220.22, *National Industrial Security Program*
  - e. 32 CFR Part 117, *National Industrial Security Program Operating Manual (NISPOM)*
3. This rule implements policy, assigns responsibilities, and establishes requirements for the protection of classified information disclosed to, or developed by contractors across the UM System.

## B. Scope and Compliance Policy

1. This rule applies to all cleared facilities (i.e., Facility Clearances or FCLs) within the UM System holding a FCL, to all personnel whose personnel security clearances are held by a UM System or subsidiary FCL, and to all personnel who hold roles related to ensuring compliance with the authorities outlined in subsection A.2 (e.g., Key Management Personnel or KMPs).
2. The UM System is the “corporate family” for all classified work taking place at any FCL within the System. Individual universities may have subsidiary Facility Clearances under the UM System Facility Clearance if they have federal authorization to hold classified materials on-site, a secondary place-of-performance, or flow down to a sub-tier contractor.
3. The UM System shall implement a corporate-wide Insider Threat Program to address insider threats throughout the UM System.
4. The President will appoint the following personnel to oversee and implement the UM System industrial security program (ISP) (System ISP):
  - a. Senior Management Official (SMO)
  - b. Insider Threat Program Senior Management Official (ITPSO)
  - c. Facility Security Officer (FSO)
5. The personnel identified in subsection B.4 must:
  - a. Oversee the implementation of the requirements of the NISPOM;
  - b. Undergo the same security training that is required of all contractors, in addition to any position specific training;



- c. Be designated in writing; and
  - d. Undergo a personnel security investigation and national security eligibility determination for access to classified information at the level of the entity's eligibility determination for access to classified information.
6. SMO: The President of the UM System is the SMO for the UM System FCL and for all subsidiary FCLs held by an individual university within the UM System. The SMO will:
- a. Ensure a system of security controls in accordance with the NISPOM;
  - b. Appoint an UM System ITPSO and FSO in writing;
  - c. Remain fully informed of the UM System ISP classified operations;
  - d. Make decisions based on the threat reporting and information and the potential impacts to the UM System ISP; and
  - e. Retain accountability for the management and operations of the System's ISP without delegating that accountability.
7. ITPSO: The Director, Research Security and Compliance is the ITPSO and will be designated in writing by the SMO. The ITPSO will:
- a. Ensure the FSO(s) is part of the insider threat program;
  - b. Complete training in accordance with the NISPOM; and
  - c. Develop an insider threat program that meets the requirements of the NISPOM.
8. FSO: An FSO will be appointed in writing by the SMO for any University with an active FCL. Each FSO will:
- a. Supervise and direct security measures necessary for implementing the NISPOM to ensure the protection of classified information.
  - b. Complete security training as deemed appropriate by the Cognizant Security Agency (CSA) who accredits the FCL. Both direct and reciprocity CSAs training must be met.
  - c. Appoint an Information System Security Manager (ISSM) if classified information will be processed on an information system at a University with an FCL.
9. ISSM: If classified information will be processed on an information system at a University with an FCL, the FSO will appoint an ISSM. Each ISSM will:
- a. Be adequately trained and possess the technical competence required to operate, maintain, and secure the contractor's classified information system; and
  - b. Oversee development, implementation, and evaluation of the University's classified information system program.

**C. University of Missouri Research Security and Compliance Team**

- 1. UM Research Security and Compliance Team  
Each FCL within the UM System will have an appointed FSO who reports to the UM System Director of Research Security and Compliance. Each FSO shall be a member of the University of Missouri Research Security and Compliance Team ("UM RSC Team").
- 2. Collaboration  
Recognizing both the necessity and administrative efficiencies gained, the UM RSC Team shall work in collaboration with each other and with those also holding responsibilities for compliance with the authorities outlined in subsection A.2. to ensure that no single point of failure exists within the System.
- 3. Accountability and Alignment

To ensure the accountability and alignment of the UM RSC Team, the Chancellors shall designate a Vice Chancellor to the UM System Director for Research Security and Compliance, who will jointly approve the following as it relates to the FSO at each institution:

- a. Recruitment and hiring decisions;
- b. Disciplinary and termination decisions; and,
- c. Annual performance evaluations and compensation decisions.

**D. Strategies**

1. The FSO(s) will develop the industrial security strategies for the UM System to establish, document, and implement processes and procedures to ensure the System remains in compliance with the authorities outlined in subsection A.2. These strategies will be brought before the UM RSC Team for approval before implementation.
2. A Standard Practice Procedures (SPP) will be developed by UM RSC Team and maintained. This SPP will document the current processes and procedures used across the System. The SPP will contain information describing acceptable structures for the Security Executive Committee (SEC).
3. University-specific appendices will be maintained within the SPP as needed.
4. At least once annually, the Board of Curators will review and ratify a Security Resolution outlining the members of the SEC and those who are excluded from the SEC in alignment with the structure outlined in the SPP.

**E. Implementation**

The UM RSC Team is responsible for the implementation of the industrial security program for the UM System.

# Collected Rules and Regulations

## Information Management

### Chapter 180: Records Management

#### 180.030 Security of Classified Materials

Bd. Min. 7-8-55, p. 7,847; Bd. Min. 11-9-62, p. 21,440; Bd. Min. 1-17-64, p. 24,258; Bd. Min. 2-19-71, p. 35,464; Amended Bd. Min. 11-21-80; Amended Bd. Min. 1-30-97; 1-21-98;  
Rescinded 6-27-24

~~A. That those persons occupying the following positions among the officers and members of the Board of Curators of the University of Missouri, shall be known as the "Managerial Group", having the authority and responsibility for the negotiation, execution and administration of User Agency contracts, as described in DoD 5520.22-M, "National Industrial Security Program":~~

~~• President~~

~~• Vice President for Finance and Administration~~

~~• General Counsel~~

~~• Chancellor, University of Missouri-Rolla~~

~~• Director of Sponsored Programs (serving as the Security Officer for the University of Missouri System)~~

~~• Supervisor, Externally Funded Programs-Rolla (serving as the Security Officer for the University Missouri-Rolla)~~

~~—~~

~~—The members of the "Managerial Group" will be processed for a personnel security clearance for access to classified information to the level of the facility security clearance granted to this institution, as provided for under the aforementioned security program.~~

~~—The "Managerial Group" is hereby delegated all of the Board's duties and responsibilities pertaining to the protection of classified information under classified contracts of the Department of Defense or User Agencies of the security program awarded to the Curators of the University of Missouri.~~

~~—The following officers and members of the Board of Curators shall not require, shall not have, and can be effectively excluded from, access to all classified information in the possession of the Curators of the University of Missouri, and do not occupy positions that would enable them to affect adversely the policies and practices of the Curators of the University of Missouri in the performance of classified contracts for the Department of Defense or User Agencies of its security program, awarded to the Curators of the University of Missouri, and need not be processed for a personnel security clearance:~~

~~-~~

~~All nine members of the Board of Curators~~

~~• Vice President for Academic Affairs~~

~~• Vice President for University Outreach/Extension~~

~~• Vice President for Information Systems~~

~~• Chancellor, University of Missouri-Columbia~~

~~• Chancellor, University of Missouri-Kansas City~~

~~• Chancellor, University of Missouri-St. Louis~~

~~-~~

~~B. **Security Clearances** — It shall be the responsibility of the Security Officer to:~~

- ~~1. **Process All Security Clearances** — Any department desiring a security clearance for personnel of the University will procure from the Security Officer the necessary government forms relative to the request for security clearances.~~
- ~~2. **Forward all forms** required for the issuance of security clearances to the agency of the Department of Defense having cognizance of the University's security program.~~
- ~~3. **Receive from the Department of Defense**, through the proper agency, all notifications of the security clearances issued. The Security Officer will in turn notify the Department Chairman that security clearance was granted for personnel in his department and shall indicate the degree of clearance issued.~~
- ~~4. **Maintain a record** of all security clearances granted. This record shall indicate the name of the individual to whom clearance was granted, the degree of clearance and the date of clearance.~~

~~-~~

~~C. **Receiving, Marking and Dispatching of Classified Material** — It shall be the responsibility of the Security Officer to:~~

- ~~1. Receive from the Mail Room all classified matter from any agency of the Department of Defense or any other agency of the Federal Government whether or not applicable to any particular contract.~~
- ~~2. Maintain a record which will show the following:~~
  - ~~a. A description of the matter received,~~
  - ~~b. The date of the receipt,~~
  - ~~c. The degree of classification assigned or indicated,~~
  - ~~d. The individual's name to whom the classified matter was dispatched,~~
  - ~~e. The number and disposition of copies reproduced from classified matter.~~
- ~~3. Report immediately to the agency of the Department of Defense if there is any evidence of tampering of the outside container in which classified matter was received.~~
- ~~4. Execute the Receipt Form found in the inner container and return to the sender of the classified matter.~~
- ~~5. Dispatch classified matter in strict accordance with the Industrial Security Manual for Safeguarding Classified Information.~~

~~-~~

~~D. **Accounting and Storage of Classified Matter** — It shall be the responsibility of the Security Officer to:~~

1. ~~Maintain a record by document indicating title, name and date of all individuals, including stenographic, clerical, technical and production personnel who are afforded access to Top Secret information.~~
2. ~~Maintain a receipt system for the transmitting and custody of Top Secret information both within and without the University.~~
3. ~~Be responsible for the proper storage of classified matter in strict accordance with the Industrial Security Manual for Safeguarding Classified Information.~~
4. ~~Make security checks within the University which will insure the proper accounting and storage of classified matter.~~

-

~~E. **Visitor Register** -- It shall be the responsibility of the Security Officer to:~~

1. ~~Maintain a Visitor's Register which will contain:~~
  - a. ~~Name of visitor,~~
  - b. ~~Visitor's degree of clearance,~~
  - c. ~~Date of visit,~~
  - d. ~~Authorization for visit.~~
2. ~~Obtain prior authorization of the cognizant military department before granting permission for any visitor to have access to classified information.~~

-

~~F. **The procedures and duties of the Security Officer** as outlined above are not intended to be complete as to every aspect of the security program. In all instances the Security Agreement and the Industrial Security Manual for Safeguarding Classified Information will govern all problems arising from our security program.~~

-

~~G. **Access** -- Access to classified security information of the United States Government, Department of Defense, release or disclosed to this facility may be granted by the facility to such of its directors and/or officers or Managerial Group as have obtained appropriate security clearances from the Department of Defense and that access to such classified security information shall not be granted by the facility to any of its directors and/or officers or Managerial Group who have not obtained such appropriate security clearances, that such directors and/or officers or Managerial Group shall not require nor shall have and can be effectively denied access to classified information in possession of the organization and that such directors and/or officers or Managerial Group do not occupy positions that would enable them to affect adversely the organization's policies or practices in the performance of classified contracts for the Department of Defense or User Agencies of its Industrial Security Program.~~

Consent L

Recommended Action - Resolution for Retiring Secretary of the Board of Curators, Cindy Harmon

It was recommended by Chair Wenneker, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following resolution recognizing the dedicated service of Cindy S. Harmon to the University be approved:

**RESOLUTION**

**WHEREAS**, Cindy S. Harmon served the University of Missouri with distinction as Secretary of the Board of Curators from July 1, 2010 to August 15, 2024; and

**WHEREAS**, for over fourteen years. she maintained the office of Secretary with the highest ethics, honor, and integrity; and

**WHEREAS**, Cindy served thirty-seven board members, fourteen board chairs, three university presidents, two interim presidents, and seven student representatives to the board; and

**WHEREAS**, during her term of service, she organized and attended more than two hundred board meetings, innumerable receptions, curator orientations and retreats, and hosted hundreds of guests at football and basketball games, always efficiently and graciously; and

**WHEREAS**, over her fourteen-year tenure, Cindy continually reworked the board meeting structure while always balancing the business to be accomplished with time constraints on curators and university leaders. She streamlined office operations and modernized board meetings with online agenda preparation and access, and oversaw the management of thousands of university records; and

**WHEREAS**, in July 2014, Cindy received the President’s Administrator/Executive Award, which recognized her work and dedication to the University of Missouri System; and

**WHEREAS**, as Secretary, Cindy represented the university with patience and quiet dignity and a friendly demeanor towards all, and she encouraged cooperation and open communication between the many departments comprising the University of Missouri System; and

**WHEREAS**, she has served as an inspiration to many and an exceptional friend to curators, colleagues, and members of her office staff; and

**WHEREAS**, Cindy Harmon is a true professional. Her contributions will have a lasting influence on the future of the University of Missouri System and the State; and



Project Reapproval  
Healthcare Delivery and Innovation Building  
UMKC

University of Missouri – Kansas City requests project reapproval for the Healthcare Delivery and Innovation Building to increase the project budget from \$120,000,000 to \$151,000,000, and to modify the funding sources and design to include one additional floor for future potential lab space.

In February 2023, the Board approved the Healthcare Delivery and Innovation Building project with a total project cost of \$120,000,000 funded from a \$80,000,000 appropriation from the State and \$40,000,000 from gifts. In February 2024, the Board approved the amendment for A/E hire to design two additional shelled floors that were to be occupied by University Health under a lease arrangement. University Health declined to move forward, leading to a new direction to pursue a single floor of shelled space with an increased floor to ceiling height to accommodate future lab space for UMKC use. The addition of a shelled floor enables future expansion is fully funded by \$10,000,000 in gifts and \$10,000,000 in Campus funds.

This project constructs a new Health Science Building of approximately 170,000 gross square feet on the UMKC Health Science Campus. While the new facility will serve all the UMKC Health Science programs, the building will focus on the needs of UMKC’s School of Dentistry and School of Medicine. Deficiencies in both of UMKC’s aging clinical, research, and teaching facilities require urgent focus to construct a new facility to meet growing clinical, research, and education needs, and fuel UMKC’s success in building upon current research strengths in areas that disproportionately affect lives of individuals in Kansas City and Missouri such as perinatal death, drug addiction, dental health, cardiovascular and neurodegenerative diseases.

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

June 27, 2024



No. M

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

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

the project reapproval for the Healthcare Delivery and Innovation Building, UMKC

Funding of the project budget is from:

State Appropriation	\$80,000,000
Gifts	\$50,000,000
Grants Funding	\$10,000,000
<u>Campus Funds</u>	<u>\$11,000,000</u>
Total Funding	\$151,000,000

Roll call vote Finance Committee                      YES                      NO  
Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway

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

Roll call vote Full Board:                      YES                      NO  
Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

June 27, 2024

**MIZZOU INTERCOLLEGIATE ATHLETICS SPECIAL COMMITTEE**

Robert D. Blitz  
Todd P. Graves  
Jeff L. Layman  
Robin R. Wenneker

MU ATHLETIC DIRECTOR THOUGHTS AFTER  
FIRST 60 DAYS

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

# FINANCE COMMITTEE

Todd P. Graves, Chair  
Robert D. Blitz  
Robert W. Fry  
Keith A. Holloway

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

## I. Scope

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

## II. Executive Liaison

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

## III. Responsibilities

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

- A. Reviewing and making recommendations to the Board on the following matters:
  1. University operating budget and financial plan;
  2. University capital budget and master facility plans;
  3. capital projects;
  4. tuition, fees and housing rates;
  5. state appropriation requests;
  6. pursuant to applicable Collected Rules and Regulations, contracts and reports;
  7. insurance brokers and self-insurance programs;
  8. pursuant to applicable Collected Rules and Regulations, real estate sales, purchases, leases, easements and right-of-way agreements;
  9. the issuance of debt;
  10. asset allocation guidelines and other policies related to the University’s investment management function; and
  11. additional matters customarily addressed by the finance committee of a governing board for an institution of higher education.
- B. Providing governance oversight to:
  1. long-range financial planning strategies;
  2. fundraising and development strategies;
  3. total indebtedness and debt capacity of the University;
  4. the investment portfolio performance; and
  5. the financial condition of the pension fund.
- C. Reviewing periodic reports including:
  1. quarterly and year-end financial reports that measure the University’s fiscal condition;
  2. annual purchasing reports on bids and equipment leases;

3. quarterly debt-management reports;
4. quarterly and year-end investment performance reports;
5. semi-annual reports on development and fundraising activities; and
6. other financial reports as requested by the Committee.

## 2024 Campus Master Plan MU

At the June 27, 2024, Board of Curators meeting, President Choi and Jessica Leonard, for Ayers Saint Gross will provide an update on the MU Master Plan as an information item to the Board of Curators.

In accordance with the University of Missouri Collected Rules and Regulations 70.060, each campus is required to bring updated Campus Master Plans for approval to the Board of Curators every five years or when significant changes are proposed. The previous CRR indicated a three-year renewal and as such the previous 2017 MU Master Plan was on a target for revisiting in 2020. That planning process was put on hold as all resources were focused on navigating the pandemic impact on finances and operations. In summer 2023, MU reinitiated the effort and now offers information on the progress of the planning.

The 2024 Campus Master Plan update builds upon past planning and integrates the goals stated in MizzouForward into a unified framework to guide future decision-making regarding renewal and growth of the campus alongside capital availability. The framework focuses on the Columbia campus and integrates the companion planning conducted by MU Healthcare and Mizzou Athletics.

### **Framework Highlights**

- The current MU campus organization aligns with communities of student success and faculty excellence with connective zones and a compact footprint. This is a strength of the existing campus to be continued.
- Near term projects create momentum in those areas of campus as future investments are considered.
- Classroom environment improvements and new active learning space types are a high priority from stakeholders to support student success and faculty excellence.
- Renewal and replacement of buildings to address aging facility concerns incorporates campus legacy while meeting modern needs as a lens for decision-making, particularly related to the high intensity research facilities.
- Considering the visitor experience in navigating the physical campus and integration the MU brand in exterior environments creates long lasting connections for the community and the student body beyond their time on campus.
- Investment into utility infrastructure to support Mizzou's robust research, health care, and athletics building portfolio will continue to be needed for sustainability and resiliency of the utility network.

Input from over 4,000 individuals was collected through stakeholder group discussions, on campus pop-up conversations, and digital surveys. That input provided inspiration for the artist renderings included in the presentation which are intended to be examples of potential changes on the campus. The master plan serves as a framework of ideas and provides flexibility to consider a variety of changes to the campus over the decades.

Based on feedback received from the Board of Curators and additional stakeholder input received during the summer and early fall the final plan will be presented for approval at the September Board of Curators meeting.

# University of Missouri **Campus Master Plan 2024**

FINAL PLAN | JUNE 2024



AYERS  
SAINT  
GROSS

June 27, 2024

OPEN - FIN - INFO - 1-2

# MU Campus Master Plan

- The Master Plan establishes the objectives and the framework for long-term campus development.
- It consolidates planning for land and space use, transportation, architecture, landscape, and utilities.
- This plan integrates the goals in MizzouForward.
- The plan also integrates the planning conducted by MU Health Care and Mizzou Athletics.
- We worked closely with Ayers Saint Gross, a leading master planning firm to develop the plan.



# MU Campus Master Plan

- **MizzouForward:** The plan identifies opportunities for infrastructure to student success, research excellence and meaningful engagement.
- **Iconic Campus since 1839:** Our brick and limestone buildings and network of open spaces that form the Botanic Garden are an important part of our heritage that must be maintained.
- **More than Buildings:** This plan not only addresses buildings—it's about how people and vehicles use the campus safely and efficiently.
- **Prepared for the Future:** This framework will enable Mizzou to evolve as the nature of higher education changes.

# The MU Master Plan is the result of a process that aligns the campus development with its mission and programs



Strategic Plan

**What**



Capital Plan

**How**



Master Plan

**Where**



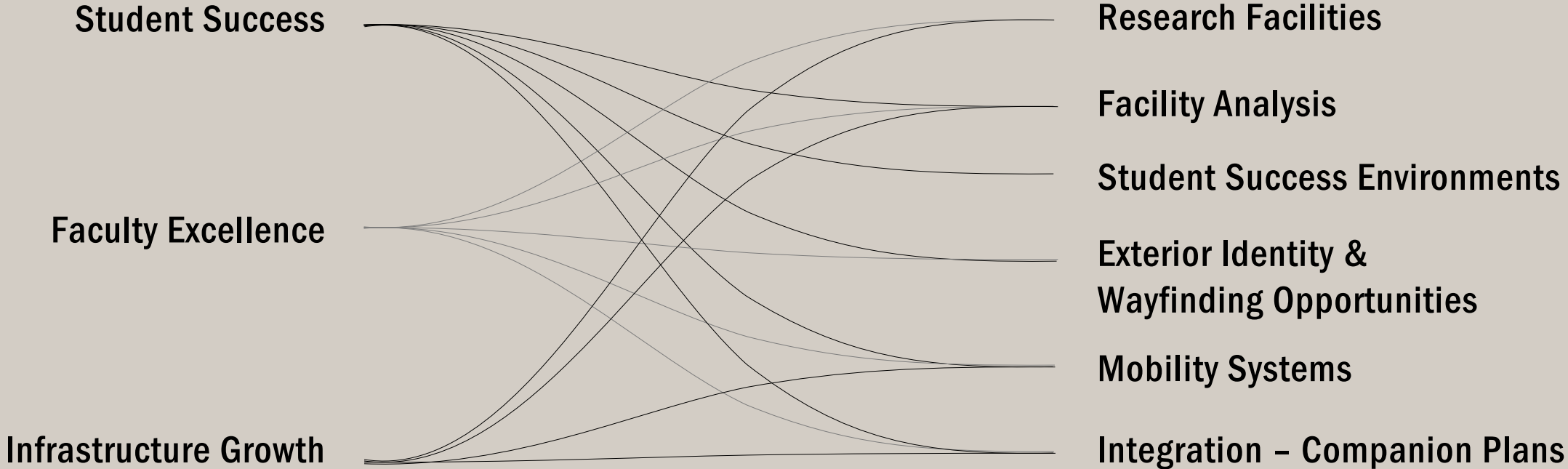
**Results**

**Framework of opportunities that guides development, decision making, and sustained implementation**

# Alignment

**Strategic Plan  
MizzouForward**

**Master Plan  
2024 Areas of Study**



MizzouForward is a transformational effort that includes investments in developing and rewarding our high-performing faculty and staff, recruiting faculty with exceptional research backgrounds, new and renovated spaces and instrumentation, and more.

# An Engaged Process

**4,000+ Touchpoints:**

**Campus Tours and Observations**

**Synthesis of Past and Current Studies**

**Stakeholder Listening Sessions**

*20+ Meetings | 100+ Individual Participants*

**On-campus Pop-up Sessions**

*175+ Individual Participants*

**Digital Campus Survey**

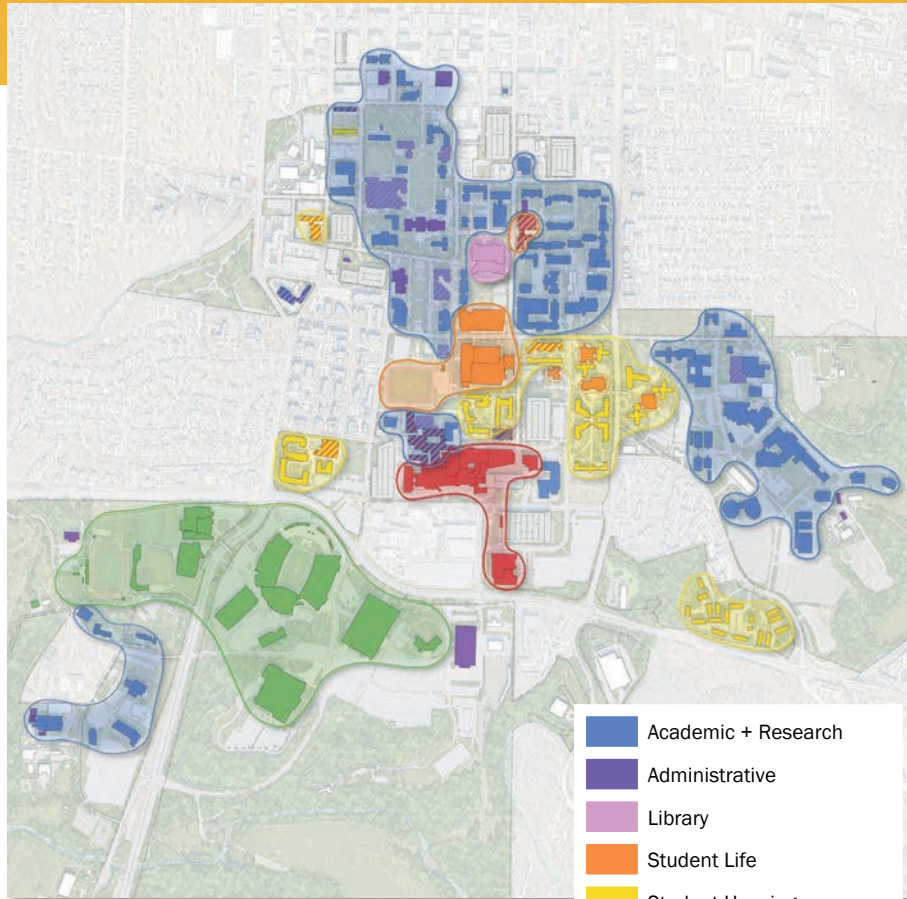
*3,842 Responses*



**Emerging Themes,  
Key Opportunities,  
& Challenges**

# Site and Building Analysis

Framework planning incorporates the lens of where activities occur on campus and facility functionality for those activities



^ Zones and Hubs

Assessment Criteria		Assessment Scoring		
<b>Physical Characteristics</b>	FCNI	<b>Significant Limitations</b>	<b>Potential Limitations</b>	<b>Minimal Limitations</b>
	Structural System			
	Bay / Clear Span			
	Floor to Floor			
<b>Suitability &amp; Adaptability</b>	Functionality / Program Alignment			
	Adaptability for Alternate Uses			
	Building Adjacencies and Access			
<b>Campus Context</b>	Represents Appropriate Density			
	Expansion Potential for Adjacent Uses			
	Provides a Prominent or Welcoming Edge			

^ E&G Building Condition Assessment Methodology

June 27, 2024

# Planning Principles

1

Increase campus  
**clarity, consistency,  
and connectivity**

2

Promote **community**  
through programming  
and organization

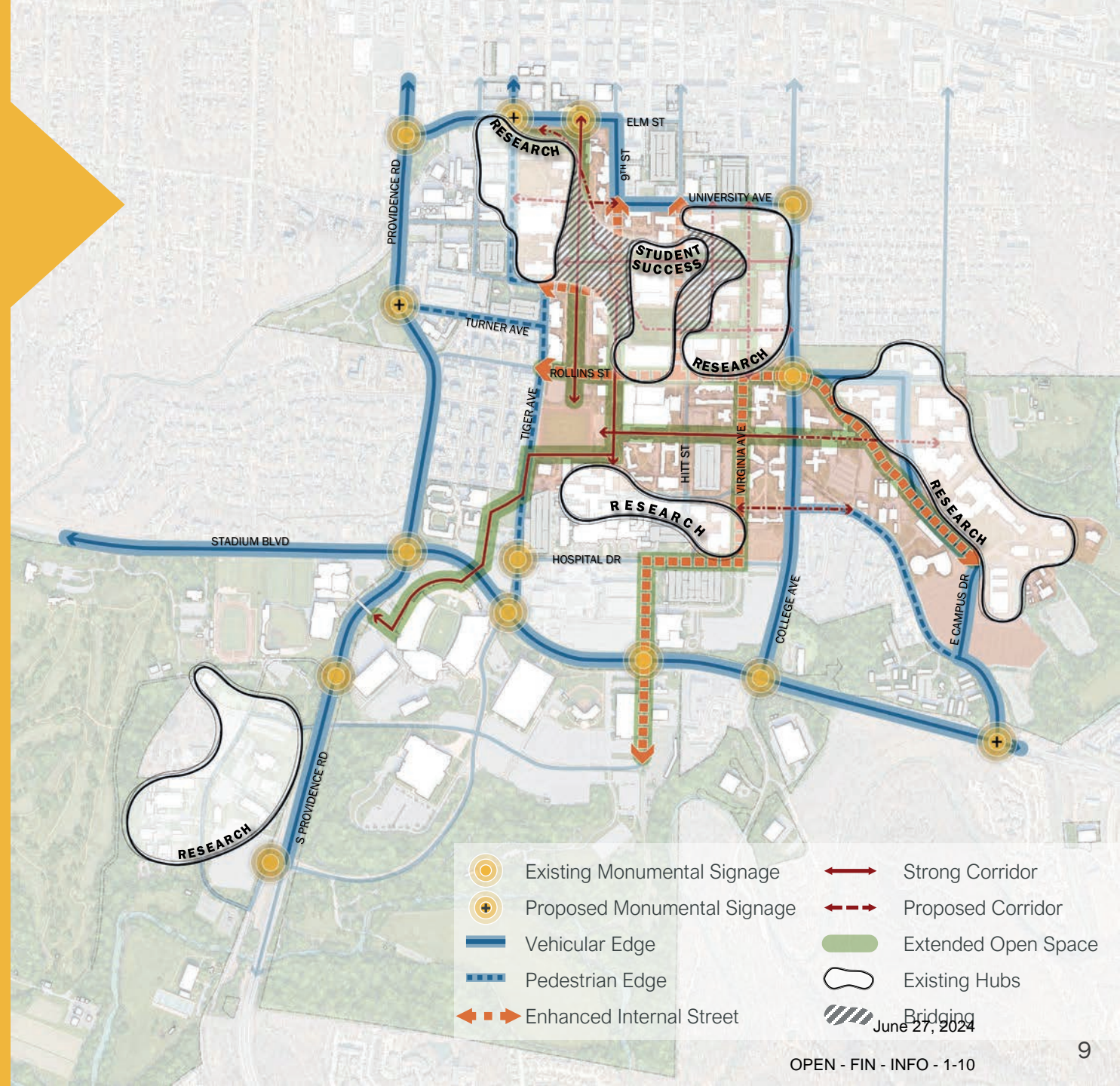
3

Build upon the  
**campus legacy** but  
meet **modern needs**

# Concept Framework

## Goals:

- **Improve campus clarity** and safety through improved accessibility, mobility, and wayfinding.
- **Create a more connected campus** through high quality outdoor spaces and placemaking.
- **Reinforce research zones** synergy around the MizzouForward themes.
- **Incorporate hubs** to foster collaboration, access to food, wellness, and community building.
- Make **strategic, mission-driven, and resilient investments** in facilities and infrastructure which address stormwater, utilities, and safety.





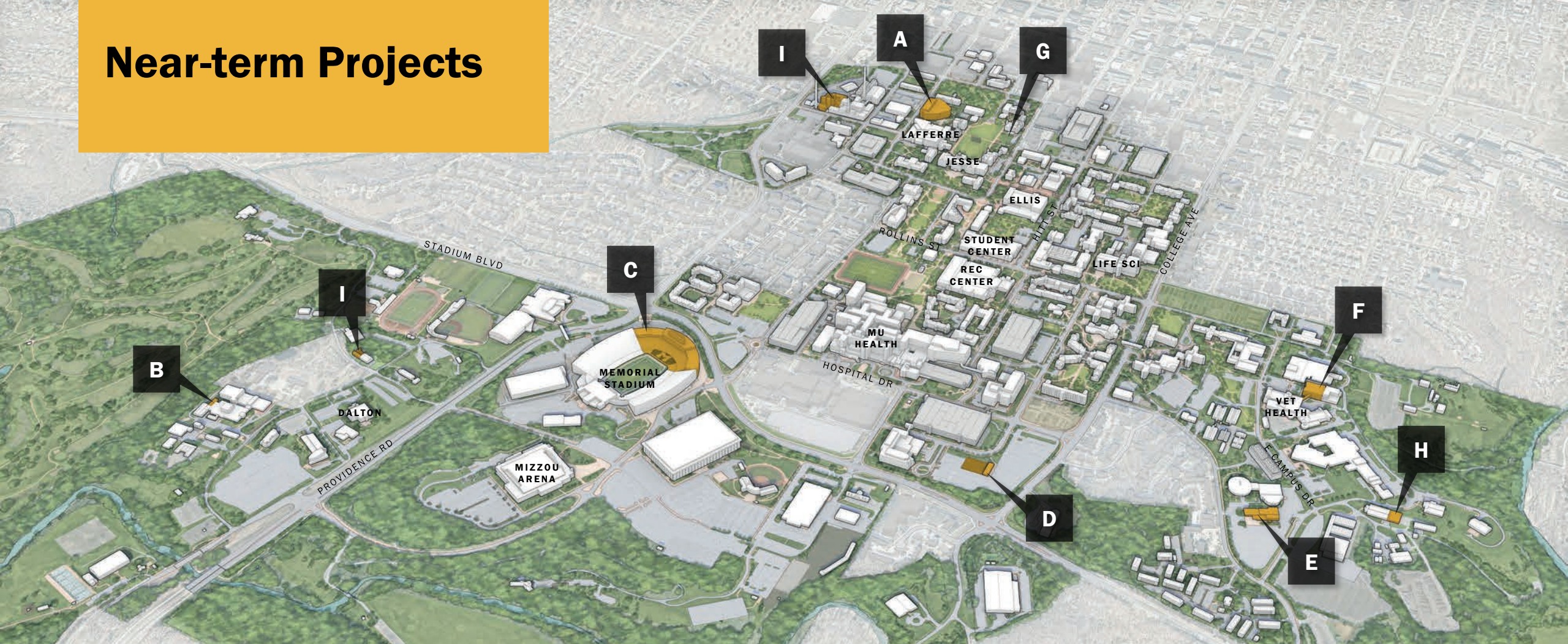
# Master Plan Framework

June 27, 2024

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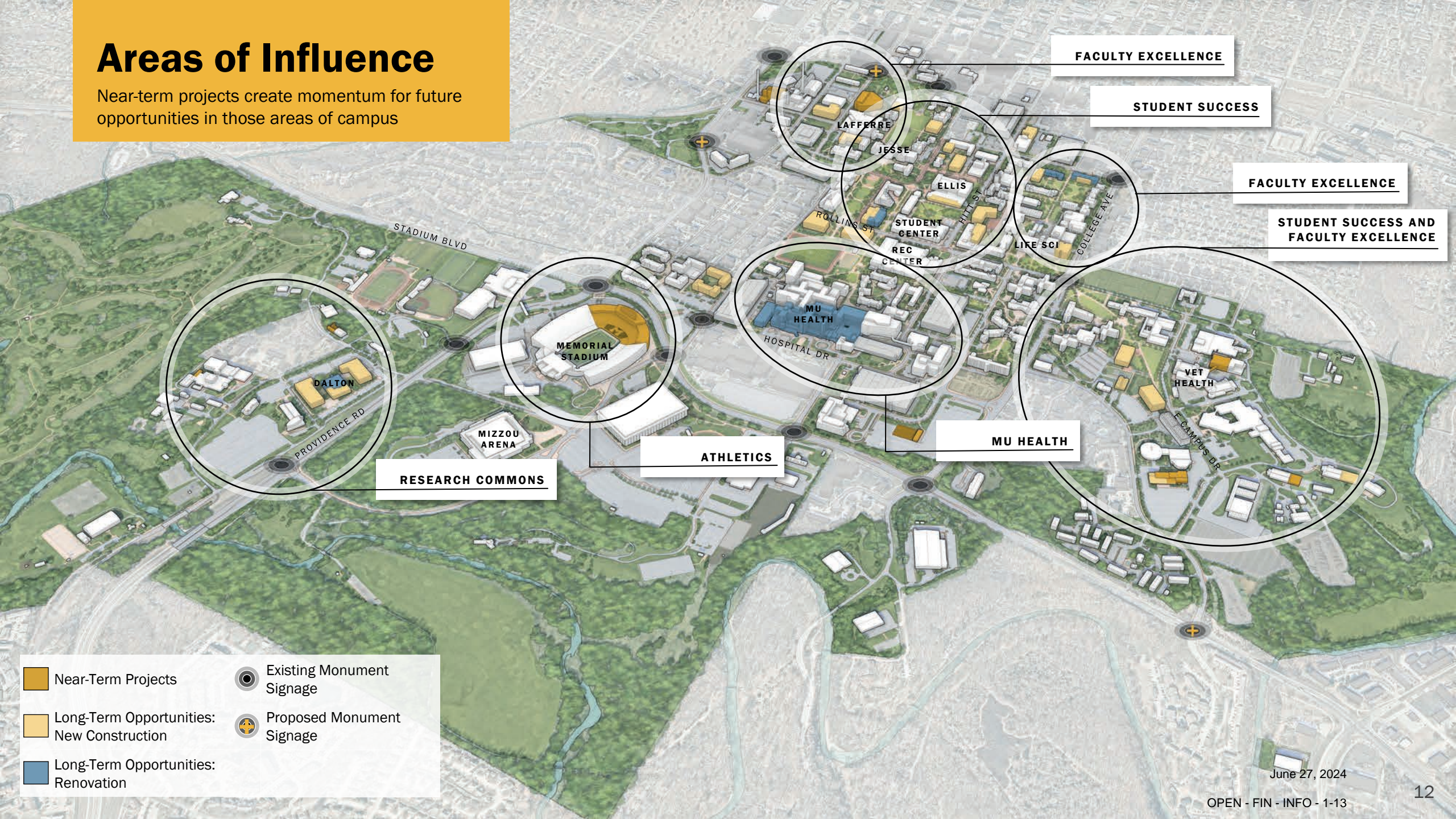
# Near-term Projects



- A** Center for Energy Innovation
- B** MU Research Reactor Lab Expansion
- C** Memorial Stadium Improvements
- D** Electrical Interconnection and Substation
- E** Meat Science Education and Training Laboratory
- F** Veterinary Medical Expansion
- G** Pickard Hall Decommissioning and Mitigation
- H** Animal Resource Center Vivarium Facility Expansion
- I** Infrastructure Improvement Projects

# Areas of Influence

Near-term projects create momentum for future opportunities in those areas of campus



**FACULTY EXCELLENCE**

**STUDENT SUCCESS**


**FACULTY EXCELLENCE**


**STUDENT SUCCESS AND FACULTY EXCELLENCE**


**RESEARCH COMMONS**


**ATHLETICS**


**MU HEALTH**

 Near-Term Projects

 Existing Monument Signage

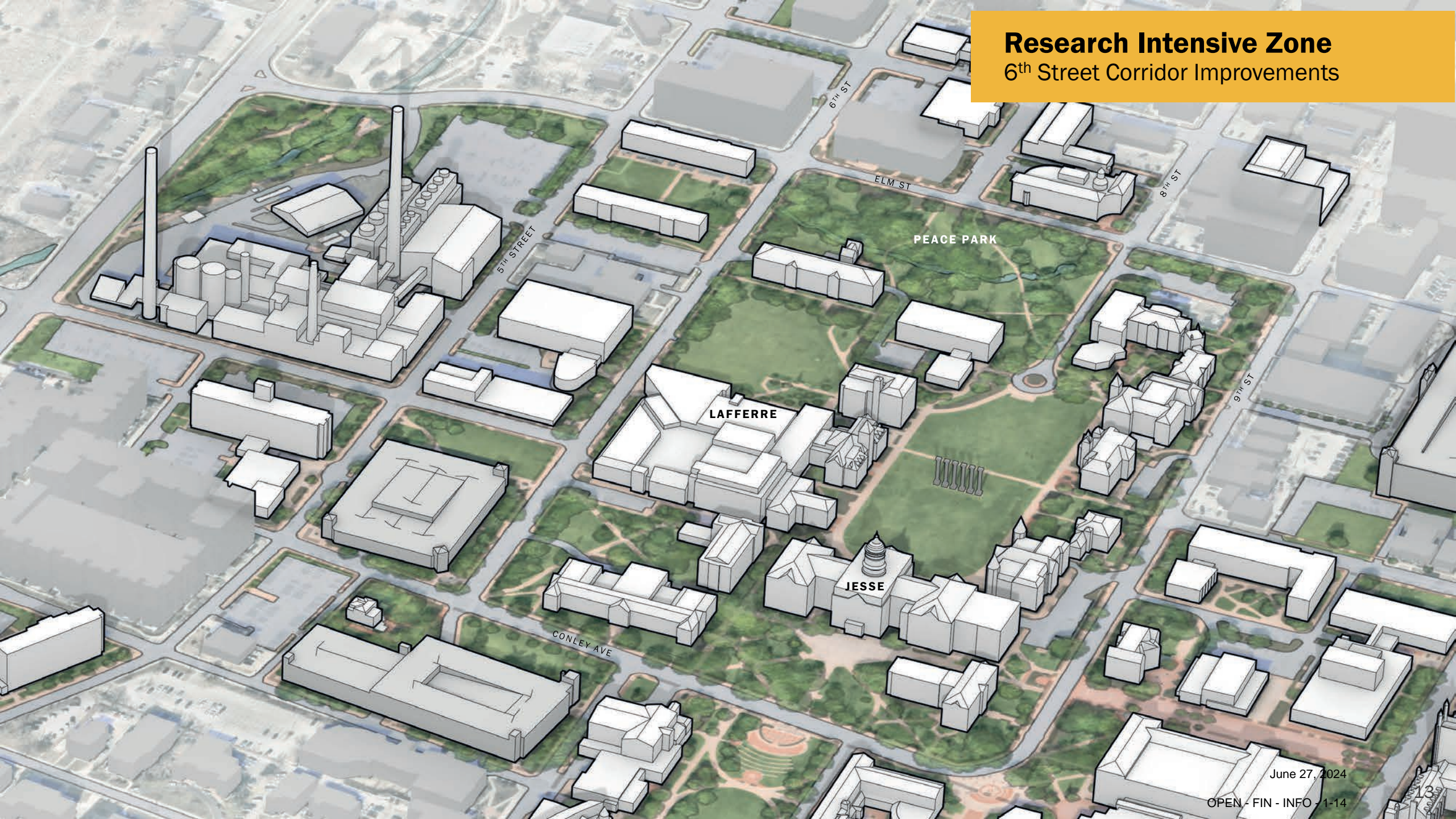
 Long-Term Opportunities: New Construction

 Proposed Monument Signage

 Long-Term Opportunities: Renovation

# Research Intensive Zone

## 6<sup>th</sup> Street Corridor Improvements



# Research Intensive Zone

## 6<sup>th</sup> Street Corridor Improvements

CAMPUS GATEWAY OPPORTUNITY

CHP LIFECYCLE IMPROVEMENTS

PEACE PARK IMPROVEMENTS

CENTER FOR ENERGY INNOVATION

LAFERRE

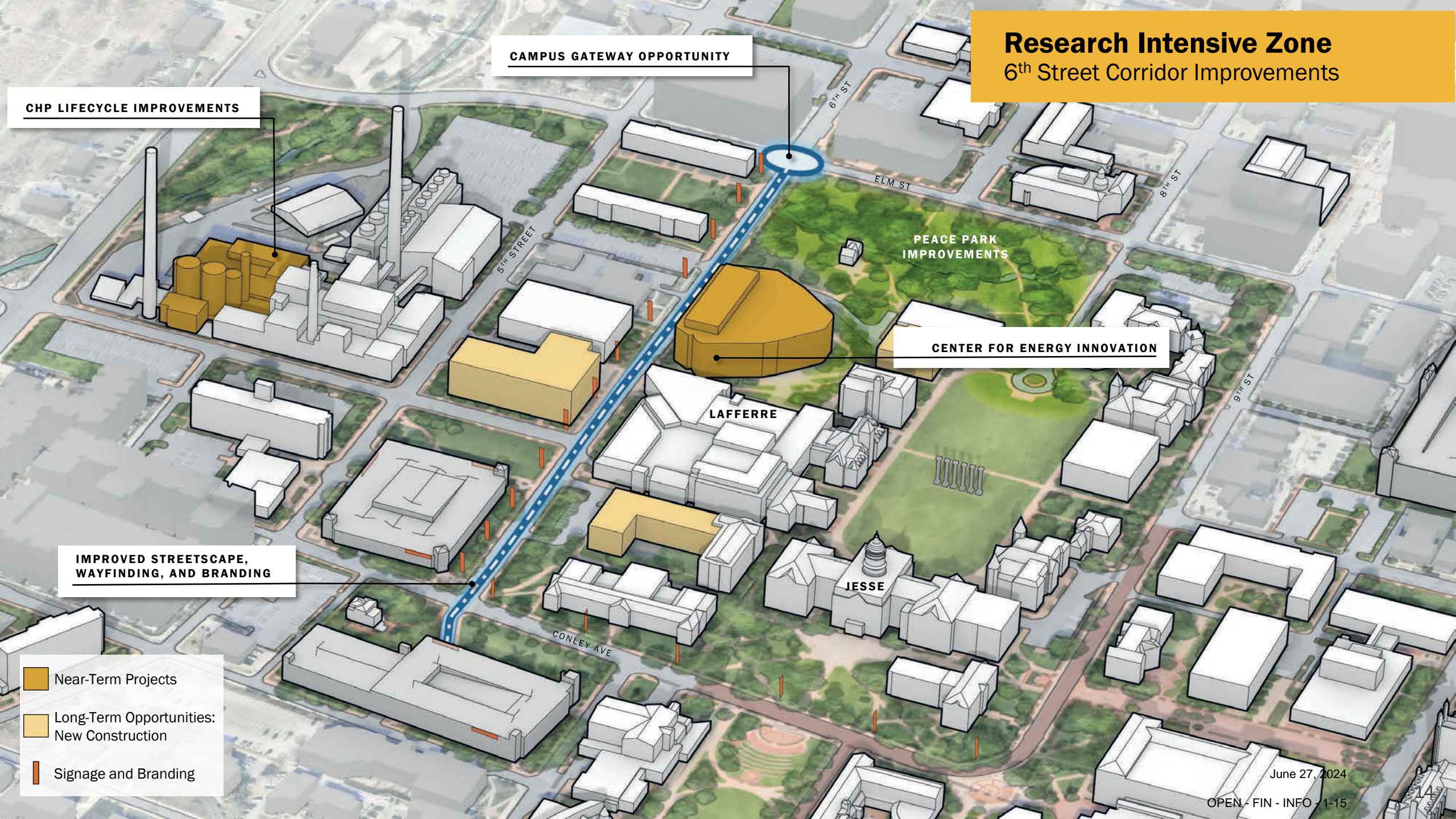
JESSE

IMPROVED STREETScape, WAYFINDING, AND BRANDING

-  Near-Term Projects
-  Long-Term Opportunities: New Construction
-  Signage and Branding

June 27, 2024

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# 6<sup>th</sup> Street Corridor

Vision: Clarity, Consistency, & Connectivity

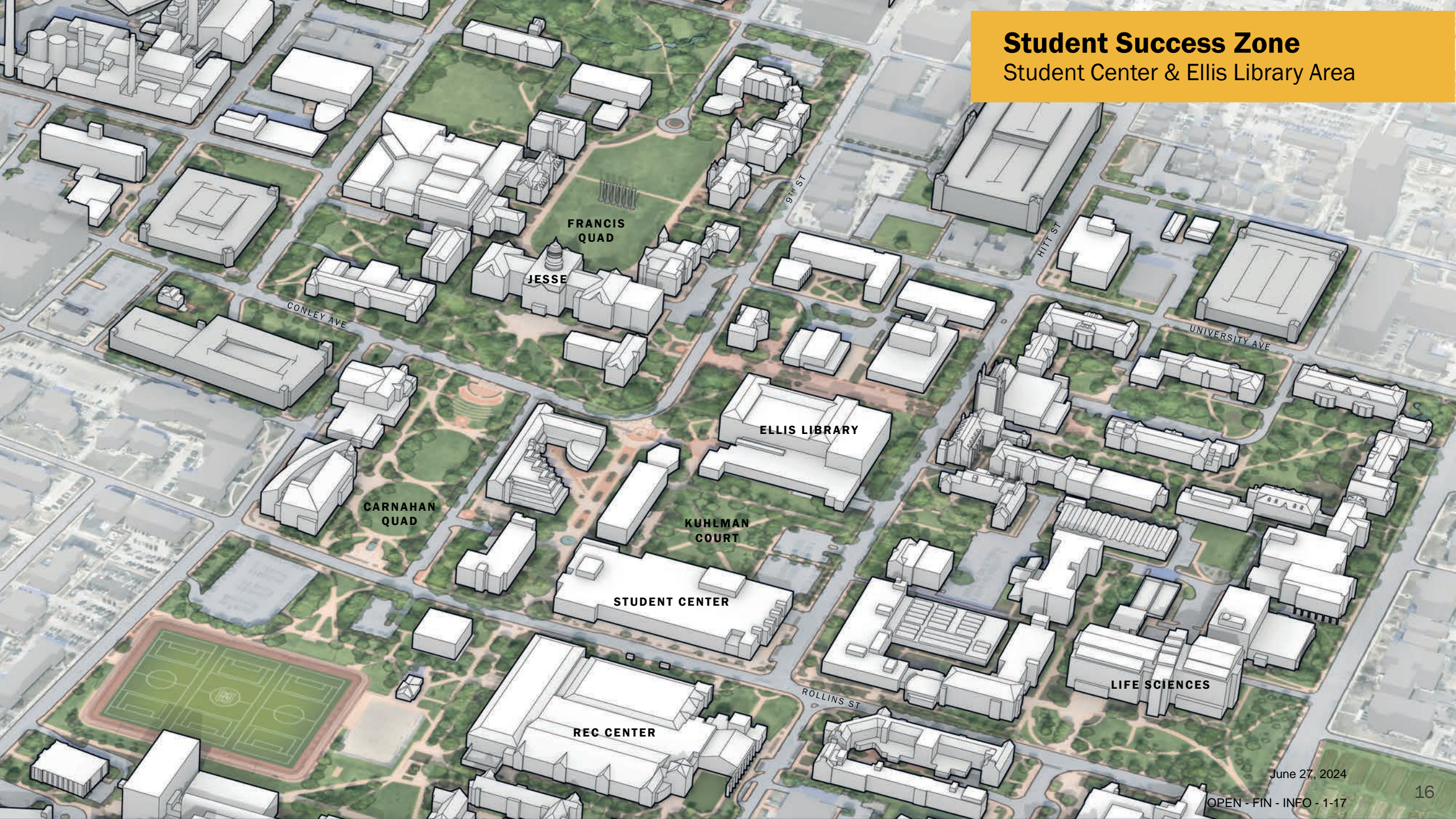


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# Student Success Zone

Student Center & Ellis Library Area



# Student Success Zone

## Student Center & Ellis Library Area

ACTIVE LEARNING AT SCALE

FRANCIS QUAD

JESSE

IMPROVED PEDESTRIAN EXPERIENCE

ALUMNI & VISITOR CENTER ADDITION

ARTS & SCIENCES MALL IMPROVEMENTS

IMPROVED STREETScape, WAYFINDING, AND BRANDING

ELLIS LIBRARY

CARNAHAN QUAD

STUDENT CENTER

CLASSROOM RENOVATION AND ADDITION

LIFE SCIENCES

REC CENTER

KUHLMAN COURT IMPROVEMENTS

FUTURE STEM EDUCATION BUILDING

- Long-Term Opportunities: New Construction
- Long-Term Opportunities: Renovation

# Kuhlman Court

Vision: Community



**ARTS &  
SCIENCES**

**ELLIS LIBRARY**

**EXISTING**

**STUDENT  
CENTER**

**FOOD TRUCK COURT**

**REMOVAL OF STREET PARKING**

**HITT STREET**

June 27, 2024

OPEN - FIN - INFO - 1-19



# Arts & Sciences Mall

Vision: Clarity, Consistency, & Connectivity;  
Community; Infrastructure



HULSTON

ARTS & SCIENCES

ELLIS LIBRARY

STRICKLAND HALL

STUDENT CENTER

EXISTING

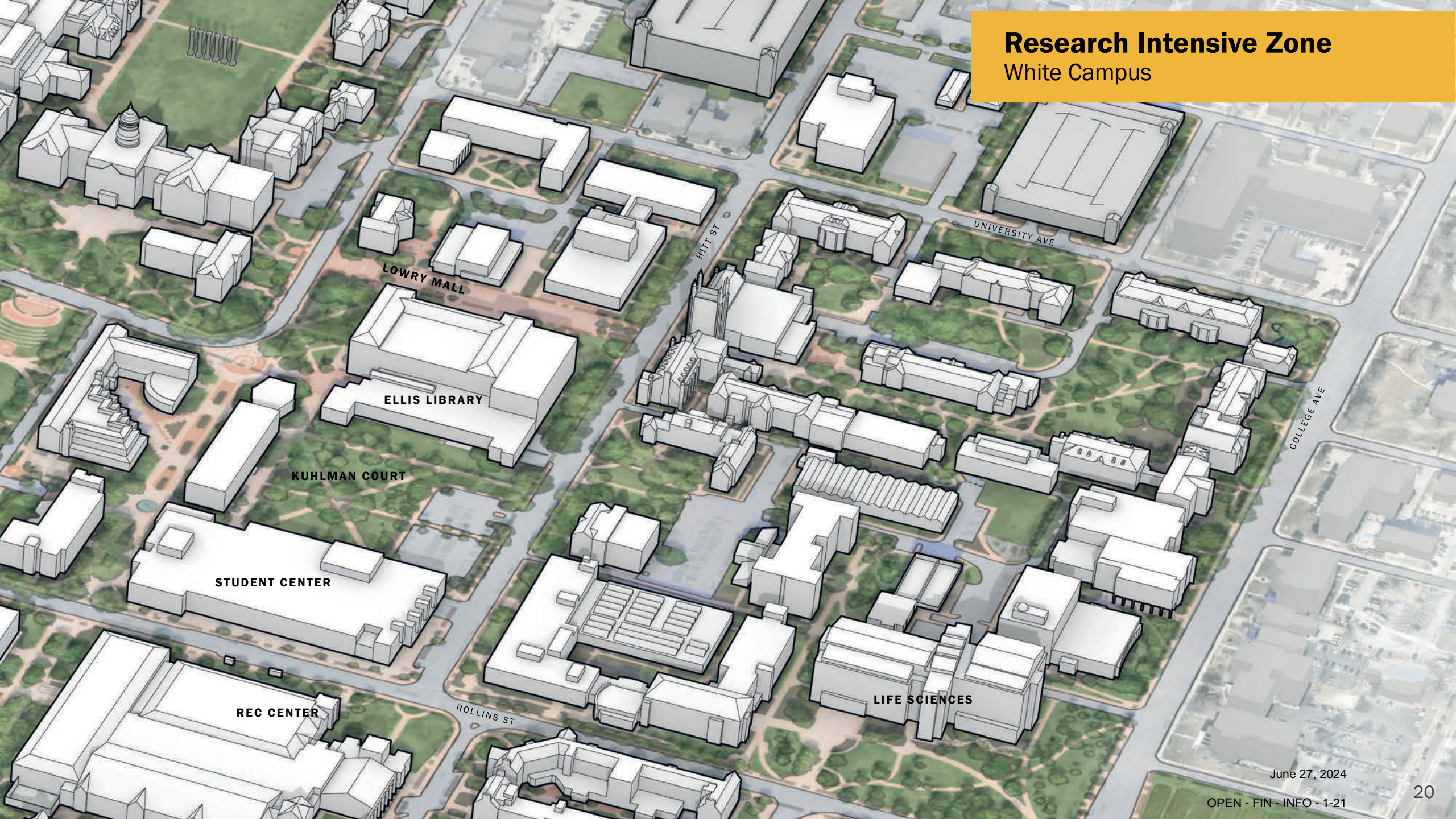
ROLLINS STREET

June 27, 2024

OPEN - FIN - INFO - 1-20

# Research Intensive Zone

## White Campus



LOWRY MALL

ELLIS LIBRARY

KUHLMAN COURT

STUDENT CENTER

REC CENTER

HITT ST

UNIVERSITY AVE

COLLEGE AVE

ROLLINS ST

LIFE SCIENCES

# Research Intensive Zone

## White Campus

IMPROVED STREETScape,  
WAYFINDING, AND BRANDING

WATERS RENOVATION & ADDITION

LEFEVRE RENOVATION & ADDITION

LOWRY MALL

ELLIS LIBRARY

KUHLMAN COURT

STUDENT CENTER

REC CENTER

LIFE SCIENCES

STRENGTHEN NORTH-SOUTH  
PEDESTRIAN CONNECTION

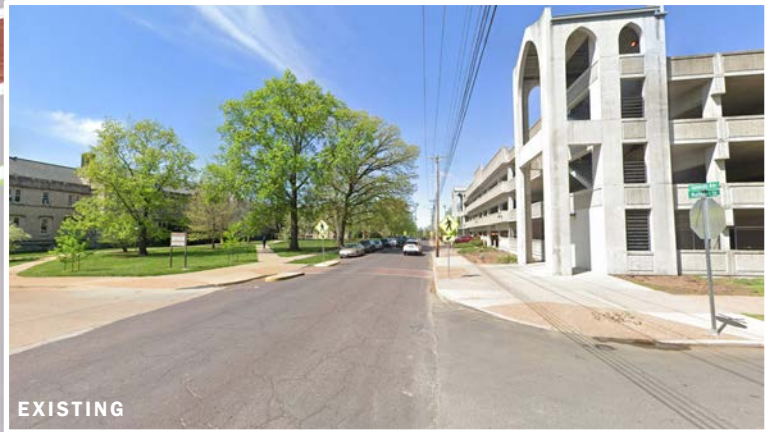
FUTURE BOND SCIENCES ADDITION

- Long-Term Opportunities:  
New Construction
- Long-Term Opportunities:  
Renovation
- Signage and Branding

# University Avenue

Vision: Clarity, Consistency, & Connectivity;  
Campus Legacy & Modern Needs

**WATERS RENOVATION & ADDITION**



EXISTING

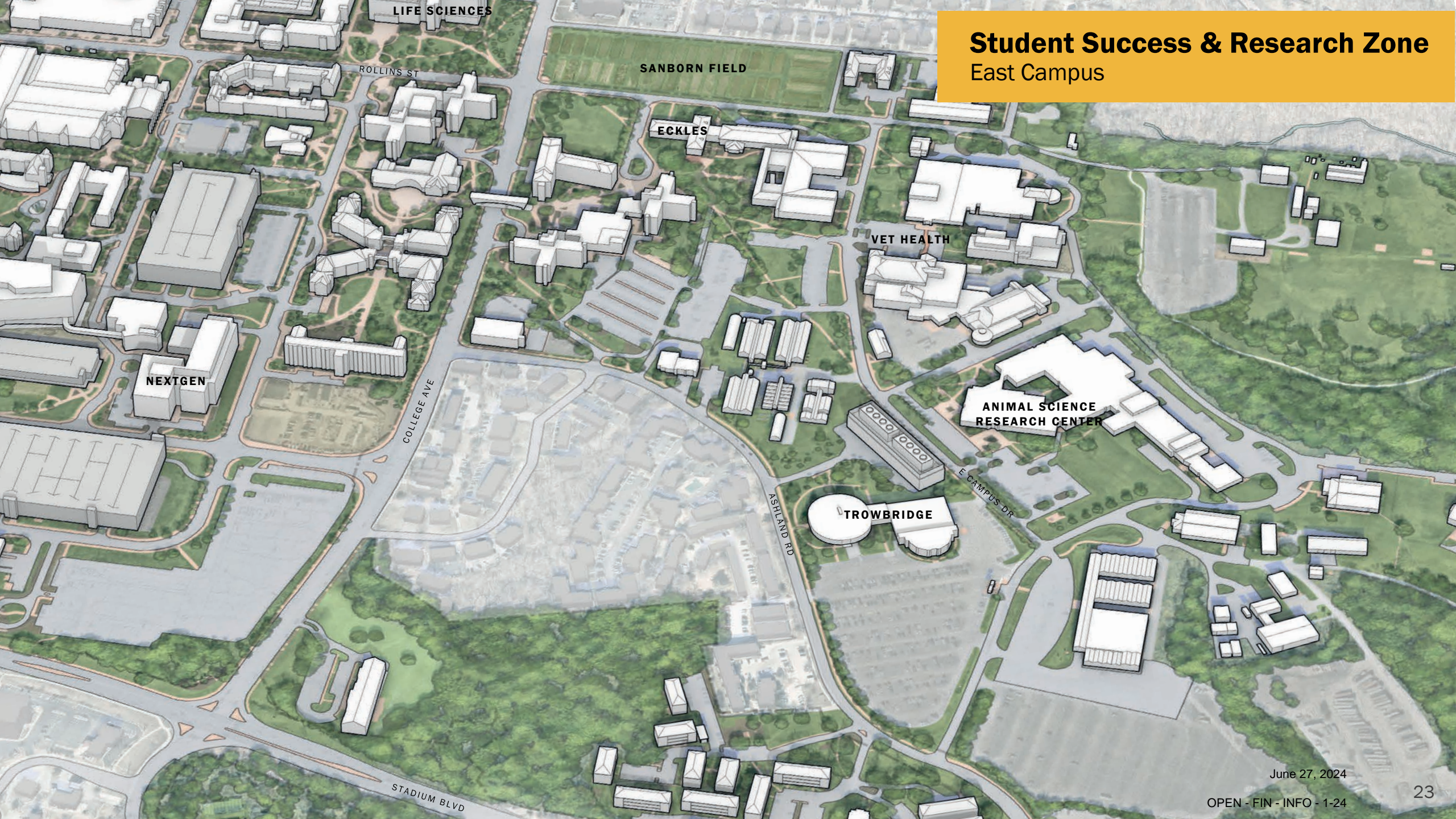
UNIVERSITY AVE

MATTHEWS ST

June 27, 2024

OPEN - FIN - INFO - 1-23

# Student Success & Research Zone East Campus



# Student Success & Research Zone East Campus

**STRENGTHEN PEDESTRIAN AND OPEN SPACE CONNECTIVITY**

SANBORN FIELD

ECKLES

VET HEALTH

**VETERINARY MEDICAL EXPANSION**

NEXTGEN

ANIMAL SCIENCE RESEARCH CENTER

**ANIMAL RESOURCE CENTER - VIVARIUM EXPANSION**

COLLEGE AVE



**MEAT SCIENCE BUILDING**

TROWBRIDGE

ASBLAND RD

E CAMPUS DR

**EAST CAMPUS DRIVE IMPROVEMENTS**

-  Near-Term Projects
-  Long-Term Opportunities: New Construction

STADIUM BLVD

# East Campus

Vision: Clarity, Consistency, & Connectivity;  
Community



LIFE SCIENCES

EXISTING

E CAMPUS DR

ASHLAND RD

VETERINARY  
MEDICAL  
EXPANSION

June 27, 2024.

OPEN - FIN - INFO --1-26

# MU Health Care

## Master Plan Study & Connectivity Improvements

**RENEWAL & RELOCATIONS WITHIN UNIVERSITY HOSPITAL**

**IMPROVED PEDESTRIAN CONNECTIVITY**

**RECENTLY COMPLETED CHILDREN'S HOSPITAL**

**IMPROVED TRAFFIC FLOW, STREETScape, WAYFINDING, AND BRANDING**

- Long-Term Opportunities: Renovation
- Signage and Branding





# Athletics Zone



## Stadium & Connectivity Improvements

IMPROVED PEDESTRIAN CONNECTIVITY

IMPROVED TRAFFIC FLOW, STREETScape, WAYFINDING, AND BRANDING

MEMORIAL STADIUM IMPROVEMENTS PROJECT

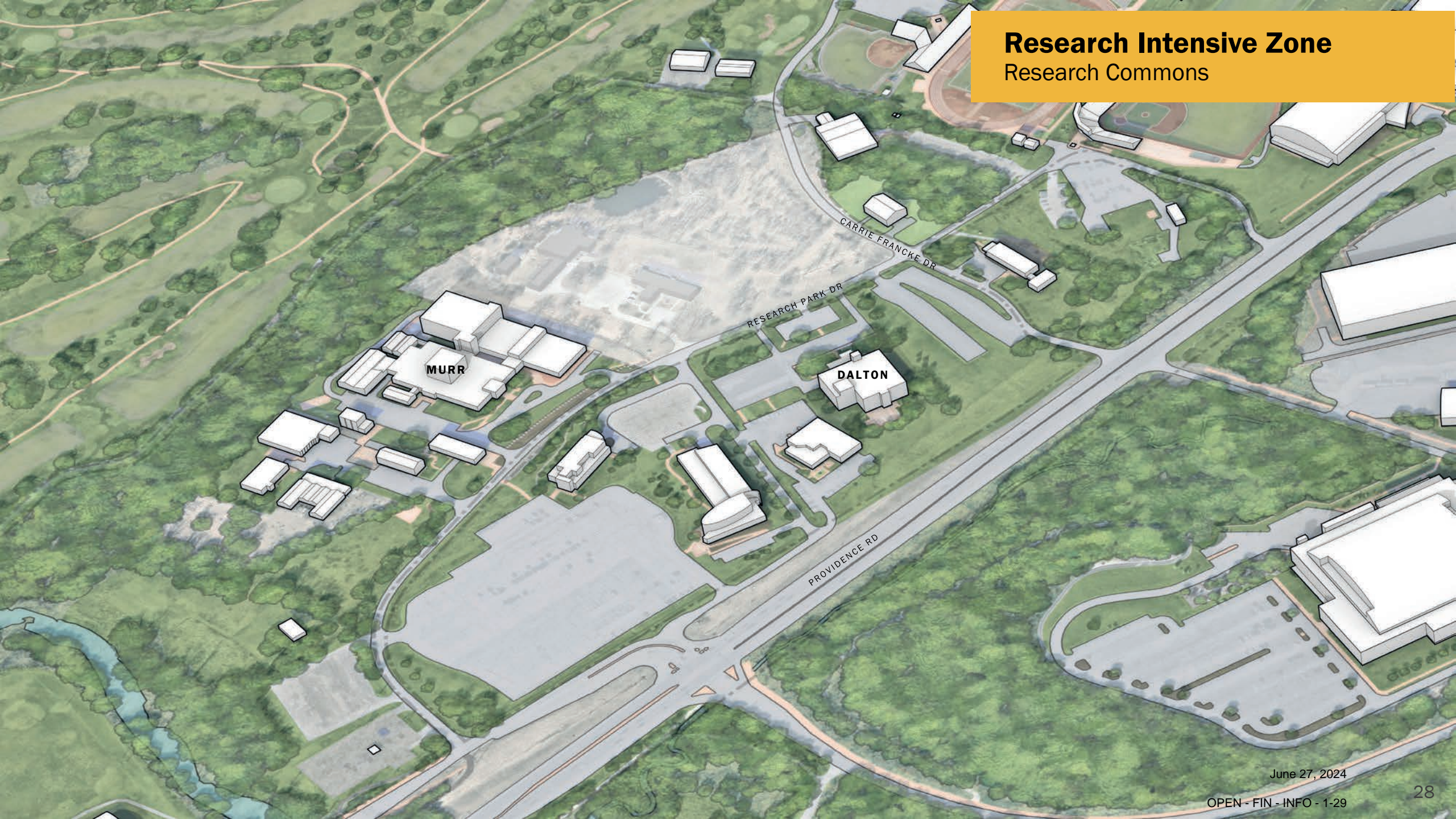


-  Near-term Projects
-  Signage and Branding

IMPROVED PEDESTRIAN EXPERIENCE

# Research Intensive Zone

## Research Commons



# Research Intensive Zone

## Research Commons

**IN PROGRESS: MURR WEST**





**MU RESEARCH REACTOR LAB EXPANSION**



**RESEARCH COMMONS THERMAL PLANT: CHILLED WATER PRODUCTION ADDITION**

**FUTURE RESEARCH BUILDINGS**

**IMPROVED FRONTAGE ON PROVIDENCE ROAD**

-  Near-Term Projects
-  Long-Term Opportunities: New Construction
-  Long-Term Opportunities: Renovation

# Sustainability

Embedded in campus planning and operations

## Facility and Infrastructure Renewal

*Site reuse, renovations, greenhouse gas reduction, combined heat and power plant, material selection, LEED*

## Renewable Energy

*40% of energy from a renewable portfolio of biomass, wind and solar*

## Connectivity and Multi-modal Transportation

*Compact campus footprint, bike infrastructure, enhanced bus network, connected pathways and trails*

## Stormwater Management






*Reducing runoff and improving the quality of unavoidable runoff*


## Integrated Campus Stewardship

# MU Master Plan

A framework of ideas which provides flexibility to consider a variety of campus changes over the decades.



-  Near-Term Projects
-  Long-Term Opportunities: New Construction
-  Long-Term Opportunities: Renovation
-  Existing Monument Signage
-  Proposed Monument Signage

The background image shows a university campus with several tall, classical columns. In the foreground, a large group of people is running across a grassy field, holding flags. The scene is overlaid with a semi-transparent yellow filter. Two banners are visible on the columns, one with the word 'RESPECT' and another with 'RESPONSIBILITY'.

# **Next Steps**

## **Campus Roll-Out**

## **Final Documentation**

## **Fall Board of Curators Approval**

June 27, 2024

OPEN - FIN - INFO - 1-33

Fiscal Year 2025 Operating Budget  
UM

At the June 27, 2024, Board of Curators Meeting, Executive Vice President for Finance and Operations Ryan Rapp will present the FY2025 budget. The FY2025 budget reflects the culmination of planning efforts undertaken by each institution throughout the spring. For FY2025, each University submitted a budget in line with financial plans from February. MU Healthcare’s budget represents an improvement over current performance, but the budget remains below target. MU Healthcare has initiatives underway to further improve performance through growth, efficiency, and throughput initiatives.

The FY2025 all funds budget is \$4.9 billion, the following table shows budget by unit (\$’s presented in millions).

	MU						University Wide		Total
	MU	Healthcare	UMKC	MO S&T	UMSL	UM System	Units		
Net Tuition and Fees	\$ 353.8	\$ -	\$ 148.9	\$ 60.0	\$ 68.3	\$ -	\$ -	\$ 631.0	
Federal Pell Grants	25.0	-	14.0	6.2	13.4	-	-	58.6	
Government Scholarship Funding	18.0	-	5.7	6.0	4.1	-	-	33.8	
Grants and Contracts	372.6	-	90.0	52.6	53.4	-	-	568.6	
Auxiliary Enterprises	442.5	29.0	38.0	29.3	13.6	21.7	-	574.1	
Patient Medical Services Net	395.9	1,822.8	42.8	-	-	-	-	2,261.5	
Other Operating Revenues	32.0	0.4	20.0	4.8	2.2	8.0	(0.2)	67.2	
State Appropriations	270.0	-	91.2	62.0	70.7	-	7.8	501.7	
Federal Appropriations	18.9	-	-	-	-	-	9.3	28.2	
Private Gifts	48.0	1.0	17.8	20.4	11.9	0.1	-	99.2	
Spendable Investment Income	85.6	-	16.7	14.2	9.5	5.1	(7.8)	123.3	
<b>Total Operating Revenue</b>	<b>\$ 2,062.3</b>	<b>\$ 1,853.2</b>	<b>\$ 485.1</b>	<b>\$ 255.5</b>	<b>\$ 247.1</b>	<b>\$ 34.9</b>	<b>\$ 9.1</b>	<b>\$ 4,947.2</b>	
Salaries and Wages	1,146.4	608.5	239.6	124.7	110.7	48.0	-	2,277.9	
Benefits	348.6	184.8	77.8	39.4	35.8	17.8	-	704.2	
Supplies, Services and Other Operating Expenses	378.2	904.5	126.0	54.5	82.5	(38.6)	17.3	1,524.4	
Depreciation	112.2	104.2	25.3	26.5	20.2	6.2	-	294.6	
Interest Expense	29.5	22.8	6.9	4.6	4.6	0.2	2.9	71.5	
<b>Total Operating Expense</b>	<b>\$ 2,014.9</b>	<b>\$ 1,824.8</b>	<b>\$ 475.6</b>	<b>\$ 249.7</b>	<b>\$ 253.8</b>	<b>\$ 33.6</b>	<b>\$ 20.2</b>	<b>\$ 4,872.6</b>	
<b>Net Operating Income</b>	<b>\$ 47.4</b>	<b>\$ 28.4</b>	<b>\$ 9.5</b>	<b>\$ 5.8</b>	<b>\$ (6.7)</b>	<b>\$ 1.3</b>	<b>\$ (11.1)</b>	<b>\$ 74.6</b>	
<b>Net Operating Margin</b>	<b>2.3%</b>	<b>1.5%</b>	<b>2.0%</b>	<b>2.3%</b>	<b>-2.7%</b>	<b>3.7%</b>	<b>-122.0%</b>	<b>1.5%</b>	

FY2025 Consolidated Budget

The FY2025 consolidated budget reflects an improvement over the projected performance for FY2024. The consolidated budget remains below target, driven by the underperformance of MU Healthcare. The FY2025 budget represents an improvement over FY2024 and demonstrates management action to bring performance back into line with financial plans and back closer to historical levels. The key for FY2025 is improving operating performance over FY2024 levels. The University will use the financial planning process in the fall to further balance operating performance with growth, capital investment, and debt plans. The University can sustain a lower level of operating performance, but that must be balanced with lower capital investment, debt and/or growth.

Resource Allocation Principles

The University’s resource allocation principles allow each individual University to determine it’s own success. Each University retains their own revenues and the benefit of

any efficiencies they generate. UM System Administration does not receive any revenue and is charged as a service to the universities where scale can be utilized to deliver services across institutions. The resource allocation principles give the Chancellors autonomy to make their universities successful. These principles also require each University to maintain integrity to their financial targets, as the autonomy also comes with accountability for performance to expectations.

#### Next Steps

The Board of Curators will approve the FY2025 dividend at the September Board meeting and receive an update on FY2024 performance at the November Board meeting. Throughout the fall, each university and the health system will update their 2024 financial plans and financial performance targets to be presented at the February Board of Curators Meeting. The financial plan serves as the link between the strategic plan, capital plan, and operating budget and provides a basis for setting financial performance targets as codified in Collected Rule 140.025. Targets recommended to the Board in February will consider industry trends or significant shifts in strategy necessitating a change in target for either the consolidated enterprise or amongst the units.

Attached is the recommended action followed by supporting narrative and FY2025 budget.



No. 1

Recommended Action - UM Fiscal Year 2025 Operating Budget, UM

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

- that the President of the University System be authorized to develop the FY2025 budgets in accordance with the attached planning assumptions and financial summaries, which include the allocation of FY2025 state appropriations less 3.0% statutory withholdings.
- that the President of the University System be authorized to: (a) make required changes to working capital and reserve funds and (b) make supplemental allocations within the funds available to several campuses and programs, such allocations to be made on the basis of priority and need. The President will report at least quarterly to the Board of Curators any material changes in sources and uses of current funds;
- that the operating budget for FY2025 and allocation as stated herein can be modified as necessary by the President to bring the same into harmony with the state appropriations as finally approved by the governor and any withholdings in excess of those shown above.

Roll call vote Finance Committee:	YES	NO
Curator Blitz		
Curator Fry		
Curator Graves		
Curator Holloway		

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

Roll call vote:	YES	NO
Curator Blitz		
Curator Fry		
Curator Graves		
Curator Holloway		
Curator Krewson		
Curator Layman		
Curator Siquefield		
Curator Wenneker		
Curator Williams		
The motion _____		

## **The Purpose of a University's Budget**

The Board approves the annual budget, monitors the University's financial condition, and sets policy guidelines affecting the use of assets. Leadership prepares the operating budget, provides the Board with quarterly updates on financial performance against the approved budget, and operates the institution within the Board's defined policy framework. A key component of the financial health of any institution is the commitment of the institution's leadership to sound fiscal management and the Board holding leadership accountable for maintaining the institution's financial health. The policy framework in Collected Rule 140.025 *Financial Performance and Accountability* denotes:

- Financial performance must fall within an acceptable, defined range of the individual targets on an annual basis. Average performance over the preceding five-year period should meet the defined financial performance targets.
- The four Universities and MU Healthcare (Unit) leadership is accountable for maintaining performance at or above target over time. Failure by a Unit to perform at targeted levels will require a corrective action plan to be presented to and approved by the President and Board of Curators.
- Units that fail to perform at targeted levels may experience preventative or corrective measures.

The financial performance metric approved during the annual budget process is presented on each Unit's Statement of Revenues, Expenditures, and Changes in Net Position is the "operating margin" on line 22. The operating margin reflects management's ability to balance operating expenses within revenues each year. A positive operating margin indicates available revenues exceed annual operating expenses. Operating margin serves as the funding stream to invest in growth initiatives, fund capital projects, and repay debt. While the consolidated performance is below target, it is better than projected performance for FY2024 and MU Healthcare's budget represents an improvement over the prior three years of performance.

## **Budgeting Builds Credibility**

Over the past decade, the University maintained academic quality through an enrollment crisis, a global pandemic, and price caps that forced revenue growth below inflation. The results achieved by the University were the result of strong governance supporting planning and management execution. Strong governance practices led to the consolidated enterprise consistently managing expenditures within available revenues. Moody's recognizes the University's history of solid results in its rating report:

"Strong financial management contributes to consistently favorable operating performance, with EBIDA margins averaging 14% over the last five years."

A component of the institution's credit rating considers governance and financial policy. Moody's scores the institution's governance as strong (G-2 Rating) which contributes to the positive view of the institutional credit:

“MU's G-2 incorporates its active fiscal oversight and conservative budgeting practices, which contribute to good predictability in financial results across the consolidated enterprise. A demonstrated record of favorable operating performance and ample liquidity reflect management credibility. Sound financial strategy, reflected by detailed strategic and capital planning practices, mitigate the risks of operating a large, complex organization consisting of academic, healthcare, and research enterprises.”

Over the past decade, the Board has improved governance processes by adding five-year financial plans, improving the capital planning process, and adopting new policies for financial accountability, resource allocation, and pension risk mitigation. Under the continued oversight of the Board, management has continued to deliver results in line with plans and budgets, leading to credibility with rating agencies, investment banks, and investors. Moody's continues to rate the University's governance as strong due to these actions.

The University of Arizona provides an example of how more limited monitoring, poor performance, and a negative surprise on performance can lead to negative rating outcomes. The justification for the University of Arizona's negative outlook, the agency cited “turnover in management, recent evidence of weaker financial monitoring, and ongoing governance scrutiny” as reasons for the change in outlook. A key to maintaining credibility and a strong rating is avoiding surprises and executing on plans. Misses to target or budget can be tolerated if they are one off in nature and there is a plan to improve performance.

Rating reports also provide the types of quantitative issues that can lead to a negative credit impact. For the most recent credit update for the University, each agency highlighted factors that could lead to a negative credit action, those factors include the following:

- Material demand decline leading to operating cash flow margin falling below 10% on a sustained basis.
- Significant weakening in financial leverage or reserves.

While the University has not crossed these thresholds, FY2024 performance is likely only to be about one percent above the 10% cash flow margin cited by Moody's over multiple years. Management recognizes that current operating performance does not support planned growth, capital, and debt over the five-year planning horizon. Improvements will be necessary at the underperforming units, as each unit retains their own resources. Units with results close to plan have sustainable financial performance, and those units generate their own revenues to fund initiatives.

### **Resource Allocation Principles**

The Board has established the following resource allocation principles. The resource allocation principles give the Chancellors more autonomy to make their universities successful while establishing additional accountability for them in achieving sustainable

financial results. These principles also require each unit to maintain integrity to their financial targets, as revenues generated stay at that institution.

1. Each university will retain all resources, such as tuition and fees, gifts, sales and services, that it generates through its own activities.
2. Each university will retain resources that it generates through cost reductions.
3. Resource allocation for state funding will consider the different missions and unique nature of each university with funding based on enrollments, programs, and levels of students (undergraduates versus graduates and professionals). The Council of Chancellors will propose the allocation of state funding to the Board for approval. The Board has full discretion of the allocation of State Appropriations.
4. University Outreach and Extension (Extension) is an integral part of the University's mission. Extension has been funded primarily by county, state, and federal appropriations. Extension will remain at MU and serve all four universities where collaboration opportunities exist.
5. Investment in research remains a key priority for each university to maintain their status and rankings. Research investments will be managed by each Chancellor, with all research related revenues and overhead reimbursement retained by the university generating the awards.
6. Each Chancellor is responsible for ensuring the auxiliary operations generate income streams to meet their obligations, with the first and foremost being the obligations that arise from the debt issued for the university. Failure by a University to meet financial performance expectations as a whole will result in sanctions, as defined in CRR 140.025.
7. Investment income from the University's working capital will be allocated based upon each university's relative assets that generated the income. Investment income will be allocated through an annual dividend. The Board will retain approval rights for the use of the dividend portion of the proceeds, which represents the excess earnings above a cash rate of return provided to each university. Each Chancellor will submit a plan for the use of the dividend to the Board for approval at the September Board meeting.
8. System administration, which provides university-wide services in finance, human resources, information technology, government relations, and legal counsel, had been funded primarily by state appropriations and investment income. System administration currently operates as a cost center funded by the four universities and health system.
  - a. The cost for providing these services will be allocated to each university based on its share of the total operating expense or other cost drivers for

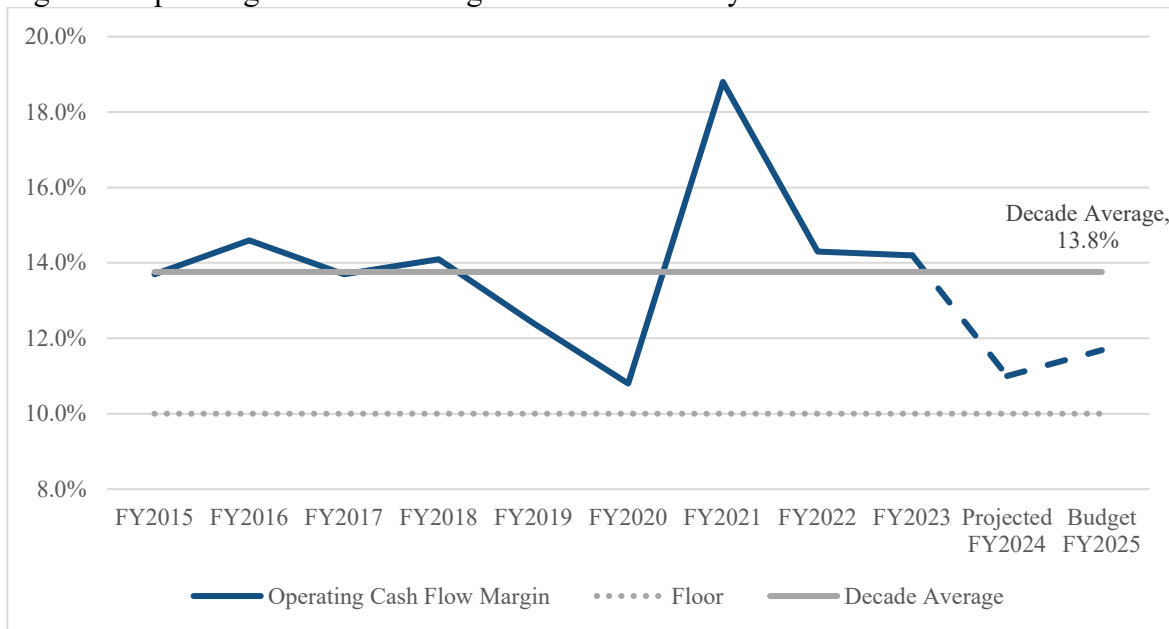
- specific services.
- b. Any percent annual cost growth in these services will be capped at one percent less revenue growth for the consolidated entity.
- c. The President could override this cap as needed in consultation with the Council of Chancellors.

These principles provided the universities with an increased level of autonomy with which to operate. That autonomy was also coupled with the increased level of accountability defined in CRR 140.025 Financial Performance and Accountability, which outlines the process for setting financial performance expectations and holding units accountable. These principles guide the budget process, with each University and MU Healthcare building their budgets in line with their own goals.

### Consolidated Performance

The University’s consolidated operating performance in FY2024 is projected to fall below 2023 levels, but not cross below the 10% operating cash flow margin noted by Moody’s. Operating cash flow margin (otherwise known as EBIDTA) represents operating earnings before any depreciation of capital or interest on debt. The figure below presents operating cash flow margin for the University over the past decade comparison to the 10% marker outlined in the Moody’s credit rating report.

Figure 1: Operating Cash Flow Margin for the University of Missouri



Note: Operating Cash Flow Margin presented in Figure 1 is based on Moody’s Methodology normalizes spendable investment income in a consistent manner across rated Universities instead of using the actual University of Missouri policies.

Over the past decade the University operating cash flow margin average was 13.8%, which is close to the Moody’s median of 14.3%. For FY2024, the University projects operating cash flow margin to decline to 11%, or 3% below historical levels. While the operating cash

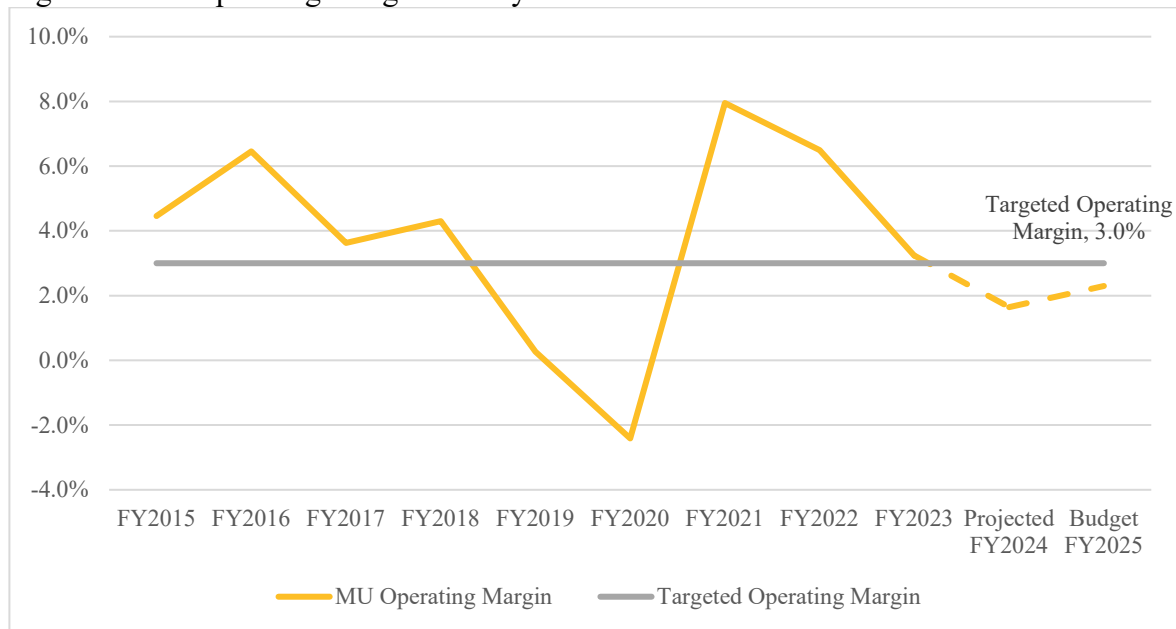
flow margin does not cross the 10% threshold, it is projected to end below historical levels and close to the threshold defined by Moody’s. A single year of performance below the historic average will not damage the University’s strong financial profile; however, it does need to trend upward in FY2025. Figure 1 demonstrates the negative trend in operating cash flow for the consolidated enterprise from 2021 to 2024

The financial planning exercise allows the University to determine the impact of lower operating performance if a return to the historical average is not possible. Lower operating performance can be balanced with a combination of lower growth, lower capital investment, and less use of debt. The purpose of the annual financial planning process in the fall is to consider these factors and reset targets in a way that manages financial performance holistically and in line with expectations.

**Operating Unit Trends Driving Performance**

MU and MU Healthcare collectively comprise 77% of operating performance in the FY2025 budget and serve as the primary drivers of consolidated performance. Under or over performance at these two units drive the total for the consolidated enterprise. Figures 2 and 3 will show MU and MU Healthcare’s performance on operating margin over the past decade. Operating margin includes depreciation and interest. The University’s operating performance target is operating margin.

Figure 2: MU Operating Margin History



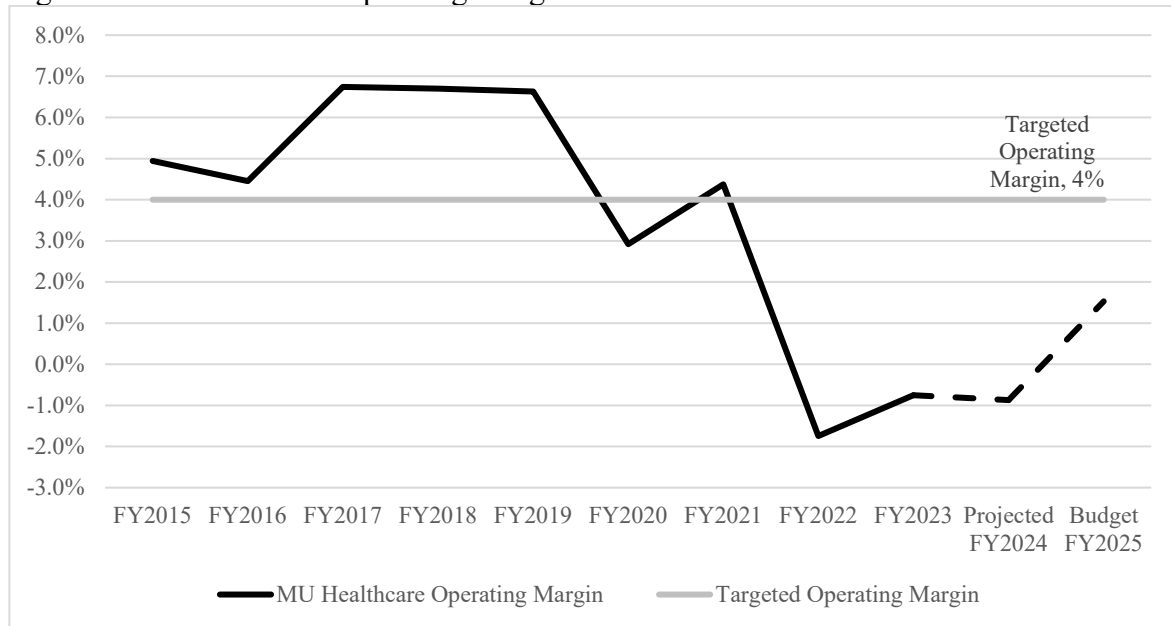
Note: Operating margin includes adjustment for \$15M research support from MUHC. Previous target excluded this impact and was set at 2.0%.

Figure 2 demonstrates MU’s performance on operating margin over the past decade. The University of Missouri (UM) was put on negative watch for downgrade in June of 2017, but was able to avoid a downgrade by maintaining strong performance through FY2018. With

the onset of the pandemic, MU’s operating performance dropped below target, resulting in a significant adjustment through the FY2021 budget process and overperformance for several years. Management demonstrated a continued ability to adjust operations within available resources in a reasonable timeframe for a higher education institution.

For the FY2025 budget, MU is targeting an improvement in performance consistent with the fall financial plan and close to target. The primary driver of the FY2024 underperformance at MU are auxiliary and clinical operations. The FY2025 budget includes performance improvement initiatives to keep MU close to target. While the budget remains balanced in total, continued focused financial improvement work will be necessary in some units that are not meeting their financial goals. MU’s five-year average of operating performance remains above target. MU will need to continue to keep capital budgets and new debt in line with available resources generated from operating performance.

Figure 3: MU Healthcare Operating Margin



Note: Operating margin includes CRMC across all years and adjustment for academic support provided to MU. Previous target excluded these two impacts and was set at 7%.

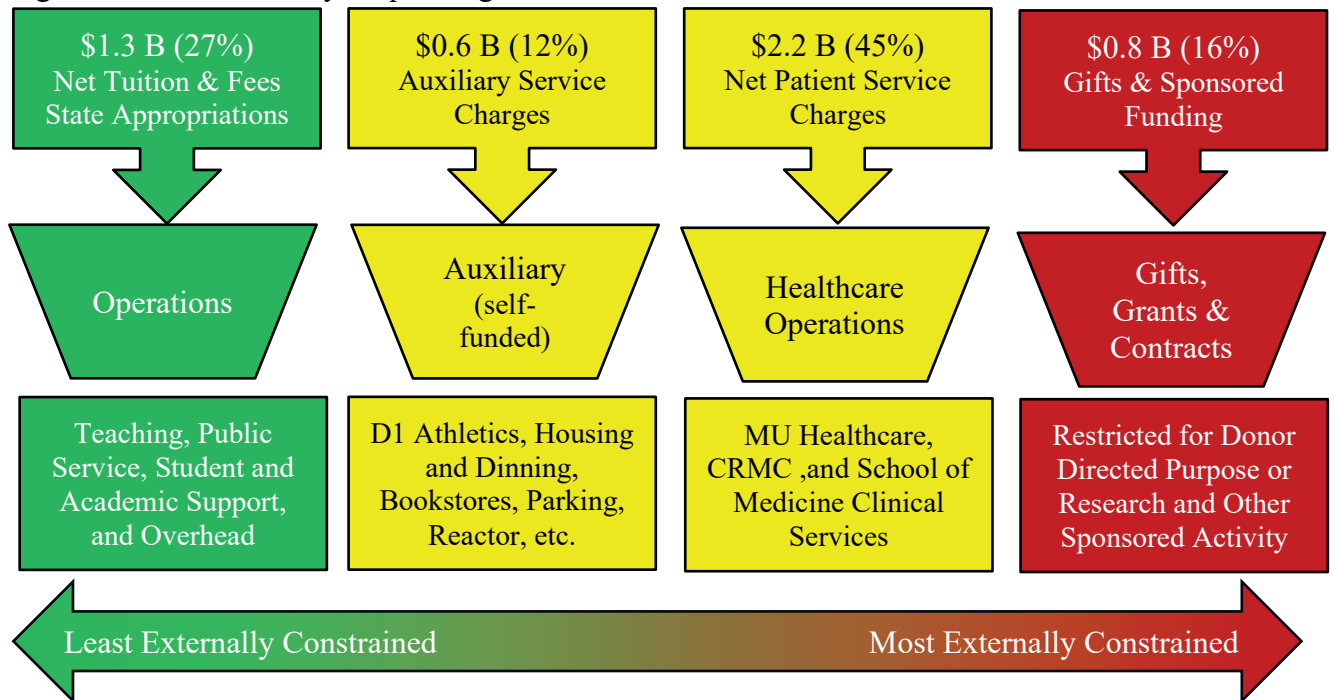
MU Healthcare has fallen below operating margin targets for the past five consecutive years. In the prior three years (FY2022-FY2024) MU Healthcare has underperformed target by 5% or more. In FY2022 and FY2023, MU’s overperformance offset MU Healthcare’s underperformance at the consolidated level. MU Healthcare’s operating underperformance is significant enough to drive a decline in Day’s Cash on Hand to 40% below target by FY2024. During the Fall 2023 financial planning process, MU Healthcare identified that improvement back towards historical levels was unattainable given the state of the healthcare industry. This led to the reduction of MUHC’ operating margin target from 7% down to 4%. The adjustment came with lower levels of capital investment and debt to keep healthcare’s financials in balance.

MU Healthcare’s FY2025 budget is an improvement over prior year. While not back to target, the budget reflects the realization of significant stewardship and growth initiatives, including the full integration of CRMC into MU Healthcare across all functions. With improved operating performance in FY2025 coupled with a \$50 million capital budget, MU Healthcare’s budget will stop the decline in Day’s Cash on Hand.

**Budgets By Unit Using the “Colors of Money”**

The University benefits from a diverse revenue stream. The “Colors of Money” illustration in Figure 4, presents the different types of revenue sources that support the University’s mission. This graphic depicts the different types of funding sources for the University, color coded like a stoplight to represent the level of spending restriction on the funding source. This is a useful way to segment the University’s operation and move a layer beneath the consolidated performance.

Figure 4: Color of Money - Operating Revenue



The operations fund, shown in green on the chart, is where the bulk of the University’s teaching, academic creative works, public service, and supporting service activities occur. Its primary funding sources are tuition and fees and state appropriations, although it does receive some support from unrestricted auxiliary operations in the form of overhead payments for services provided by the operations fund (such as accounting, procurement, legal, grant management, facilities, etc.). Operations fund revenues contribute 27% of total current fund revenues.

Auxiliary funds are shown in shades of yellow on the chart. The primary source of funding for this group is fees for services provided. These operations are treated as separate enterprises and are expected to set fees for their services to cover their current operating



costs plus depreciation, which is set aside for future capital and equipment replacement. These activities comprise 57% of the current fund budget.

Third parties, primarily donors and granting agencies, restrict the remainder of the current funds between Gifts and Grants & Contracts. These funds are shown in red on the chart because there is very little flexibility in how the funds are spent. Gift funds must be spent within donor stipulations. Grants and Contracts require delivery on a set scope of work. Restricted funds contribute to 16% of the current funds budget.

Figure 5: Operating Margin by Fund Type FY2025 Budget

	Operations <sup>1</sup> \$1.3B	Auxiliaries \$0.6B	Healthcare & MU Clinical Operations \$2.2B	Gifts & Grants \$0.8B	Operating Cash Flow Margin	Depreciation & Interest Expense	Operating Margin
MU	12.0%	14.2%	-0.3%	6.5%	9.2%	-6.9%	2.3%
UMKC	6.2%	11.7%		13.8%	8.6%	-6.6%	2.0%
S&T	9.1%	44.7%		16.1%	14.5%	-12.2%	2.3%
UMSL	7.7%	12.9%		5.0%	7.3%	-10.0%	-2.7%
MUHC			8.4%		7.6%	-6.9%	1.5%
<b>Consolidated Margin</b>	<b>10.0%</b>	<b>15.3%</b>	<b>6.9%</b>	<b>8.4%</b>	<b>8.9%</b>	<b>-7.4%</b>	<b>1.5%</b>
	Moody's Adjustment				2.8%	0.2%	3.0%
	Moody's Calculated Consolidated Margin				<b>11.7%</b>	<b>-7.2%</b>	<b>4.5%</b>

1: Non-capital maintenance and repairs funded by plant reserves and service operations are included in operations.

Figure 5 demonstrates the University's operating budget by "color of money". Overall, the academic enterprise (which is primarily composed of the green and red buckets) maintain higher margins in operations paying for the lower cash flow margins in gifts and grants. The margins in the operating fund and gifts and grants are in line with historical averages and financial plans. The key departure from longer-term history and targets is the performance of the clinical enterprise at MU and MU Healthcare, as discussed in Figure 3. Figure 5 also demonstrates the relationship between operating cash flow margin and operating margin, and the impact of depreciation (capital) and interest (debt) on performance (higher cash flow margin supports more capital and more debt).

The University's operating margin demonstrates management's ability to adjust expenditures within revenues received in an annual period across all sources of funding. The FY2025 budget is in line with both financial plans and targets for each institution, except for MU Healthcare and UMSL:

Table 1: FY2025 Operating Margin to Target by Unit

	Budget FY2025	Financial Plan FY2025	Target
MU	2.3%	2.7%	3.0%
UMKC	2.0%	2.2%	2.0%
S&T	2.3%	2.0%	2.5%
UMSL	-2.7%	-0.7%	1.0%
MU Healthcare	1.6%	3.2%	4.0%
Consolidated	1.5%	2.6%	3.0%

All unit budgets are close to target except for UMSL and MU Healthcare. In FY2025 UMSL will have one-time non-capital expenditures to demolish structures to make way for new construction projects as a part of the Campus of the Future. These expenditures are one-time and will be reimbursed by funding received from the State. When excluding these one-time reimbursed expenditures UMSL operating margin would be breakeven for FY2025, which is better than planned for FY2025. As discussed above, MU Healthcare’s budget remains below both target and submission in the five-year financial plan but does show improvement over FY2024.

Budgeted revenue numbers reflect the best available information at the time of the budget, which is finalized in mid-May. The budget serves as the guidepost for the year, with each institution managing actual resources throughout the year and comparing to the expectations set in the budget. Units will continue adjusting operating expenditures as they monitor final enrollments and other key revenue drivers throughout the summer and fall.

Full statements for the consolidated enterprise are included in Appendix 1 and details for each unit are included in Appendix 2. Financial results will be presented using the Moody’s framework, in three columns:

- FY2023 Actuals: actual performance for FY2023.
- FY2024 Projected: projected performance for FY2024, which includes performance through April with a projection for the final two months to close.
- FY2025 Budget: budgets completed for FY2025.

**Next Steps: Review of FY2024 and Financial Plan Development**

At the September Board of Curators meeting, the Board will approve the annual strategic dividend uses. At the November Board of Curators meeting, the Board will receive an update on FY2024 financial performance. Each University will spend the fall completing the five-year financial plans for each university and the health system. Financial plans will focus on aligning resources to the strategic plans and resetting performance targets to reflect the balance between the use of financial resources and strategic priorities. Targets recommended to the Board in February will consider industry trends or significant shifts in strategy necessitating a change in target for either the consolidated enterprise or amongst the units.

**APPENDIX 1: FY25 BUDGET CONSOLIDATED INCOME STATEMENT**

**Schedule 1: University of Missouri System FY2025 Budget (Dollars in Thousands)**  
**Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP – Unaudited**

Line No.		Actuals FY2023	Projected FY2024	Budget FY2025	% Change FY2024-25
<b>Operating Revenues</b>					
1	Tuition and Fees	\$ 985,283	\$ 1,058,226	\$ 1,116,700	6%
2	Less Scholarship Allowances	432,143	480,642	485,706	1%
3	Net Tuition and Fees	553,140	577,584	630,994	9%
4	Federal Pell Grants	55,221	57,532	58,591	2%
5	Government Scholarship Funding	34,703	34,900	33,839	-3%
6	Grants and Contracts	473,576	532,556	568,652	7%
7	Auxiliary Enterprises	486,730	536,399	574,021	7%
8	Patient Medical Services Net	1,951,542	2,086,173	2,261,504	8%
9	Other Operating Revenues	79,304	90,197	67,246	-25%
10	State Appropriations	453,422	480,016	501,602	4%
11	Federal Appropriations	29,273	29,020	28,221	-3%
12	Private Gifts	121,806	103,227	99,211	-4%
13	Spendable Investment Income	115,211	121,009	123,288	2%
14	<b>Total Operating Revenues</b>	<b>4,353,928</b>	<b>4,648,613</b>	<b>4,947,170</b>	<b>6%</b>
<b>Operating Expenses</b>					
15	Salaries and Wages	1,978,702	2,154,698	2,277,889	5.7%
16	Benefits	535,627	613,369	704,139	15%
17	Supplies, Services and Other Operating Expenses	1,373,929	1,496,558	1,524,486	2%
18	Depreciation	274,366	288,795	294,573	2%
19	Interest Expense	72,424	68,863	71,480	4%
20	<b>Total Operating Expenses</b>	<b>4,235,048</b>	<b>4,622,283</b>	<b>4,872,567</b>	<b>5%</b>
21	<b>Net Operating Income</b>	<b>118,880</b>	<b>26,330</b>	<b>74,603</b>	<b>183%</b>
22	<b>Net Operating Margin</b>	<b>2.7%</b>	<b>0.6%</b>	<b>1.5%</b>	
<b>Nonoperating Revenues (Expenses)</b>					
23	Investment Income (Losses), Net of Fees	196,806	369,648	247,598	-33%
24	Spendable Investment Income	(115,211)	(121,009)	(123,288)	2%
25	Other Nonoperating Revenues (Expenses)	33,288	13,805	778	-94%
26	Capital Appropriations and Grants	30,239	184,106	344,322	87%
27	Capital Gifts	61,187	77,769	159,763	105%
28	Private Gifts for Endowment Purposes	38,045	28,549	21,636	-24%
29	Pension and OPEB Impact on Income Statement	(68,390)	(63,452)	(5,159)	-92%
30	Mandatory Transfers	-	-	-	0%
31	Non-Mandatory Transfers	-	-	-	0%
32	<b>Net Nonoperating Revenues (Expenses)</b>	<b>175,964</b>	<b>489,416</b>	<b>645,648</b>	<b>32%</b>
33	<b>Increase in Net Position</b>	<b>294,844</b>	<b>515,746</b>	<b>720,252</b>	
34	<b>Net Position, Beginning of Year</b>	<b>6,170,285</b>	<b>6,465,148</b>	<b>6,980,894</b>	
35	Cumulative Effect of Change in Accounting Principles	19	-	-	
36	<b>Net Position, Beginning of Year, Adjusted</b>	<b>6,170,304</b>	<b>6,465,148</b>	<b>6,980,894</b>	
37	<b>Net Position, End of Period</b>	<b>\$ 6,465,148</b>	<b>\$ 6,980,894</b>	<b>\$ 7,701,146</b>	

June 27, 2024

The University's budget includes a revenue increase of 13.6% over FY2023 and 6.4% over FY2024:

Net Tuition and Fees (Line 3) are projected to grow by 5.5% or \$58.5 million year over year. Budgeted amounts include the tuition rate increases approved by the Board in May 2024. Overall enrollment is budgeted to increase by 2%. Tuition and fee growth is mitigated by a changing mix of students, with resident student enrollment increasing and non-resident student enrollment flat to declining. The long-term success of the academic enterprise is dependent on successful growth of these revenue streams. Additional discussion for each university is provided in the appendix 2.

Grants and Contracts (Line 6) are projected to grow by 6.8% or \$36.1 million year over year. MU continues to grow research grants and contracts with the Mizzou Forward initiative and investments in new faculty to grow research revenues. For FY2024, MU is projected to grow research revenues by 9.5%. UMKC is budgeting 2.3% growth in research grants and contracts.

Auxiliary Enterprises (Line 7) are projected to grow by 7.0% or \$37.6 million over the prior year. Auxiliary enterprises are a diverse group of service units that offer goods and services to the University community that help maintain a fully functional research university, but don't contribute directly to the institution's core mission. It is expected those units operate sustainably, examples of auxiliary operations include MU Research Reactor (MURR), student housing, student dining, athletics and bookstores. The growth in revenues reflect growth in production lines for MURR, inflationary rate increases for other auxiliaries and stable enrollment.

Patient Medical Services (Line 8) are projected to grow by 8.4% or \$175.3 million over the prior year. MU Healthcare continues to keep an eye towards the mid-Missouri market and is currently evaluating new growth opportunities to maintain its status in the current market while growing into new markets to reflect its position as an academic medical center.

Other Operating Revenues (Line 9) are projected to decline by \$22.9 million over the prior year. Other operating revenues include patent royalties, camps held, and merchandise sold (i.e. t-shirts) by schools or colleges, pass through aid from third parties such as KC Scholars, and application and deposit fees. These revenues typically will not generate resources for academic units but will cover the cost associated for the goods or services provided.

State Appropriations (Line 10) are budgeted at the amount Truly Agreed and Finally Passed (TAFP) by the legislature for the 2024 legislative session. Appropriations for capital projects are reported as "Capital Appropriations and Grants" on line 26.

Federal Appropriations (Line 11) are budgeted to remain flat. Federal appropriations represent federal capacity funds received from the United State Department of Agriculture (Smith-Lever, Hatch, etc.) which require an annual match from the State. Federal appropriations reported under the University-wide unit represent Build America Bond Tax Credits which provide a subsidy for qualified bond interest payments.

Private Gifts (Line 12) are budgeted to decrease by \$4.0 million. These funds from donors provide support for scholarships, faculty salaries, and academic programs. Budgeted expenditures supported by private gifts are dependent on the availability of the related revenues.

Spendable Investment Income (Line 13) reflects the earnings from investments that can be utilized towards current operating purposes. This amount includes the spending distribution from endowments, interest on cash balances from the general pool, and the strategic dividend from the general pool.

Details for each university are included in Appendix 2.

The University's operating expenses are projected to increase over FY2023 by 15.0% and grow over the projection for FY2024 by 5.4%:

Salaries and Wages (Line 15) are projected to grow by \$123.2 million or 5.7%. The increased budget for salaries and wages largely reflects the impact of a 2% - 3% market and merit pool across the different business units. Additional investments budgeted include faculty and staff to support research revenue growth and market adjustments to fill vacant positions.

Benefits (Line 16) are projected to grow with the growth in Salaries and Wages. The faster growth in benefits is driven primarily by increase medical costs and changes to the University's leave program. The University's leave program changed January 2024 this transition provides employees with paid parental and caregiver leave programs as well as short-term disability. With this transition employee's paid time off under short-term leave is recorded as a benefit. Prior to this transition, if available, employees would utilize their leave balances this would be reflected as salaries and wages.

Supplies, Services and Other Operating Expenses (Line 17) are projected to grow by \$27.9 million or 1.9%. The increase is largely driven by inflation with some efficiency built in. Additional details for each University are included in Appendix 2.

Depreciation (Line 18) and Interest (Line 19) expenses grow in line with the capital investments, completions of projected capital projects and repayment of external debt.

### **Key Assumptions & Risks**

At the time of budget completion, the University's state appropriations have passed the legislature and tuition rates have been set and approved by the Board in May. The key variables that will move throughout the coming year and drive revenue assumptions are:

- 1) Enrollment
- 2) Grants & Contracts
- 3) Auxiliaries
- 4) Patient Services

*Enrollment*

All four universities have strong leading indicators for enrollment growth. The following presents key metrics which the universities monitor on a weekly basis to determine projected enrollment for Fall 2024.

	MU	UMKC	S&T	UMSL
Change from PY in Deposits as of May for				
First-time College	18.3%	3.5%	13.1%	5.9%
Transfers	16.1%	9.0%	29.3%	2.5%
Change from PY in Enrollment as of May for				
Undergraduates	3.3%	5.1%	4.0%	3.4%
Total (Undergraduate, Graduates, & Professional)	1.0%	-0.9%	4.3%	-2.6%
FY2025 Budgeted Enrollment				
Total Enrollment Full-time	27,421	10,655	6,253	8,283
Total Enrollment Growth in Budget	1.8%	0.2%	2.9%	1.9%

As of May 2024, deposit and enrollment trends remain positive for undergraduate population across the four universities. Current students admitted with paid deposits are up across all four institutions. Budgeted enrollment numbers reflect the best available information at the time of the budget, which is finalized in mid-May. At the urban universities, a significant proportion of the student population comes from transfers who tend to enroll later in the fall and prove more difficult to project with leading indicators. Overall enrollment is budgeted to increase by 2% across the four Universities. Higher melt remains a key risk for the upcoming year with the delays in the issuance of key federal financial aid programs. Universities will adjust operating expenditures as they monitor key leading indicators.

*Grants and Contracts*

The University budgeted continued growth in grants and contracts given trends in research proposals and awards. The following presents the budgeted growth in grant revenue by university compared to FY2019 and associated improved metrics. Any variance in grant revenue growth will be offset by an expense.

	MU	UMKC	S&T	UMSL
Grants and Contracts <sup>1</sup>				
Budgeted Revenue FY2025	\$373 M	\$90 M	\$53 M	\$53 M
Growth from FY2024	10%	2%	1%	2%
Average Historical Annual Growth <sup>2</sup>	9%	19%	10%	13%
Faculty Productivity				
Budgeted Research per Faculty	\$177,696	\$255,682	\$195,526	\$243,890

Note 1: Amount reflects grant and sponsored program revenue recognized from the Federal, State and Other Organizations  
 Note2: Average growth from FY2019-2024

Each university continues to budget growth in grants and contract not only in total dollars but also research dollars per faculty. MU is planning on continuing the growth trend over the previous five years with further Mizzou Forward hires. The other three universities

budgeted for a slowdown in research growth for FY2025. Since FY2019 each university, grants and contracts revenue per faculty has grown by over 58%, as faculty productivity has improved. The FY2025 budget plans on growth in research and productivity in line with more recent historical trends.

#### *Auxiliary Enterprises*

Auxiliary enterprises are a diverse group of service units that offer goods and services to the University community that help maintain a fully functional research university, but don't contribute directly to the institution's core mission. Auxiliary enterprises have budgeted revenue growth above inflation. This growth is primarily attributed to MU Research Reactor (MURR). MURR operating revenue is budgeted to grow by 55% from FY2024. MURR's revenue growth is partially offset by expenditure growth required to support expanded operations and capital infrastructure.

Student auxiliaries such as housing and dining, recreation centers and student health have budget revenue based on approved rates and anticipated enrollment growth. Expenditures incurred by these operations are more centered around capital investments, debt service payments and other operating expenses instead of compensation when compared to the academic operations. Student auxiliary revenues are budgeted to grow with enrollment.

#### *Patient Medical Services*

Patient Medical Services revenues are budgeted to increase as MU Healthcare continues to serve the mid-Missouri market and is currently evaluating new growth opportunities to reflect its position as an academic medical center. Even with a comparatively solid revenue base outlook for FY2025, the University budget is trending upward but will not achieve FY2023 operating performance.

Overall expenses are budgeted to increase over prior year but at a slower rate than revenues.

Detailed statements of Revenues, Expenses, and Changes in Net Position are provided with explanations in Appendix 2 for each operating unit.

**APPENDIX 2: BUDGET DETAILS BY UNIT**

The details that follow show the breakout of the budget by operating unit. The key drivers of consolidated performance remain MU and MU Healthcare (MUHC), which in total encompass three quarters of the University’s operating expenditures.

For the FY2025 budget, operations within Capital Regional Medical Center (CRMC) are split between MU and MUHC. In FY2025, the community practice portion of CRMC will be moved to MU with University Physicians the remaining operations from CRMC will be consolidated with MUHC. The following is the consolidated financial impact of this change.

<i>\$'s in 000's</i>	Projected FY2024				Budget FY2025			% Change FY2024-25
	MUHC	CRMC	SOM - Clinical Operations	Total	MUHC	SOM - Clinical Operations	Total	
<b>Total Operating Revenues</b>	\$ 1,502,123	\$ 258,925	\$ 309,005	\$ 2,070,053	\$ 1,853,151	\$ 389,202	\$ 2,242,353	8%
Salaries and Wages	507,226	108,618	312,393	928,237	608,484	369,012	977,496	5%
Benefits	146,493	25,164	74,547	246,204	184,780	92,344	277,124	13%
Supplies, Services and Other Operating Expenses	745,450	121,772	(60,394)	806,828	904,538	(70,880)	833,659	3%
Depreciation	83,043	15,927	-	98,970	104,213	-	104,213	5%
Interest Expense	20,922	1,785	-	22,707	22,809	377	23,186	2%
<b>Total Operating Expenses</b>	\$ 1,503,134	\$ 273,266	\$ 326,546	\$ 2,102,946	\$ 1,824,825	\$ 390,854	\$ 2,215,679	5%
<b>Net Operating Income</b>	\$ (1,011)	\$ (14,341)	\$ (17,541)	\$ (32,893)	\$ 28,326	\$ (1,652)	\$ 26,674	
<b>Net Operating Margin</b>	<b>-0.1%</b>	<b>-5.5%</b>	<b>-5.7%</b>	<b>-1.6%</b>	<b>1.5%</b>	<b>-0.4%</b>	<b>1.2%</b>	



## MU

MU launched Mizzou Forward with the goal of enhancing the university’s research and education missions. Mizzou Forward has provide investments to achieve excellence as a public research, AAU institution guided by accountability and ambition.

MU							
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2024 Projection	FY2025 Budget
<b>Key Performance Trends</b>							
<i>Enrollment</i>	25,362	25,348	26,269	26,623	26,785	26,927	27,421
<i>Degrees/Certificates Awarded</i>	10,776	9,832	9,036	9,503	10,926	Data Not Available	
<i>Graduation Rate</i>	71.3%	73.0%	72.5%	75.3%	76.2%	Data Not Available	
<i>Grants and Contracts<sup>1</sup></i>	\$210 M	\$220 M	\$231 M	\$257 M	\$300 M	\$340 M	\$373 M
<i>NSF Rankings<sup>2</sup></i>	80	78	70	70	Data Not Available		
<i>Faculty Productivity</i>							
Research per Faculty	\$112,311	\$117,254	\$119,373	\$133,952	\$151,266	\$164,988	\$177,696
Enrollment per Faculty	13.53	13.54	13.59	13.87	13.51	13.06	13.14
<b>Key Financial Trends</b>							
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2024 Projection	FY2025 Budget
<i>Operating Margin</i>	0.3%	-2.4%	7.9%	6.5%	3.2%	1.6%	2.3%
<i>Spendable Cash to Operations</i>	0.82	0.76	0.86	0.85	0.80	0.77	0.74
<i>Spendable Cash to Debt</i>	1.48	1.29	1.53	1.69	1.87	2.08	1.99
<i>Tuition less Institutional Aid per Student</i>	\$11,366	\$11,280	\$10,991	\$11,612	\$12,555	\$13,443	\$14,031
<i>Institutional Resources per Student<sup>3</sup></i>	\$19,573	\$18,709	\$19,355	\$20,080	\$21,615	\$22,912	\$23,871
<i>Operating Expense per Degree Granted</i>	\$64,094	\$67,988	\$70,312	\$78,160	\$75,882	Data Not Available	

Note 1: Amount reflects grant and sponsored program revenue recognized from the Federal, State and Other Organizations

Note 2: NSF Rankings for total R&D Expenditures

Note 3: Institutional Resources = Tuition less Institutional Aid plus State Appropriations

Mizzou Forward investments have provided positive outcomes for students through improved graduation rate and for the University with faculty research productivity increasing 58% from FY2019 when compared to FY2025 budget. The FY2025 budget includes continued Mizzou Forward investments to support research and academic excellence. MU’s budget includes 1.8% enrollment growth driven by the incoming freshman cohort and improved retention. Additional faculty and staff are included in the budget to support this enrollment growth.

MU’s budget includes improvement from FY2024 but is not back to historical levels. Continued operating performance improvement is needed to support planned growth and capital investments. Capital investments included in FY2025 budget include Memorial Stadium, Center for Energy and Innovation, Thompson Center, Veterinary Medical Expansion, Meat Processing Facility, MURR West Addition, and other additions and renovations to laboratory and buildings. These capital investments are supported by \$255 million in external funding from the State, federal government, and philanthropy.

**Schedule 2: MU FY2025 Budget (Dollars in Thousands)**

**Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP - Unaudited**

Line No.		Actuals FY2023	Projected FY2024	Budget FY 2025	% Change FY2024-25
<b>Operating Revenues</b>					
1	Tuition and Fees	\$ 528,876	\$ 585,486	\$ 610,549	4%
2	Less Scholarship Allowances	236,975	267,516	256,714	-4%
3	Net Tuition and Fees	291,901	317,970	353,834	11%
4	Federal Pell Grants	24,574	24,886	25,000	0%
5	Government Scholarship Funding	19,828	19,120	18,000	-6%
6	Grants and Contracts	299,810	340,206	372,627	10%
7	Auxiliary Enterprises	347,804	389,812	442,478	14%
8	Patient Medical Services Net	317,322	325,686	395,874	22%
9	Other Operating Revenues	33,700	48,905	31,986	-35%
10	State Appropriations	242,650	254,960	269,964	6%
11	Federal Appropriations	19,464	19,541	18,868	-3%
12	Private Gifts	54,294	54,602	48,038	-12%
13	Spendable Investment Income	80,357	84,351	85,605	1%
14	<b>Total Operating Revenues</b>	<b>1,731,704</b>	<b>1,880,039</b>	<b>2,062,275</b>	<b>10%</b>
<b>Operating Expenses</b>					
15	Salaries and Wages	940,050	1,043,545	1,146,371	10%
16	Benefits	260,707	291,905	348,619	19%
17	Supplies, Services and Other Operating Expenses	333,082	371,446	378,241	2%
18	Depreciation	109,132	111,184	112,173	1%
19	Interest Expense	32,692	31,063	29,513	-5%
20	<b>Total Operating Expenses</b>	<b>1,675,663</b>	<b>1,849,143</b>	<b>2,014,918</b>	<b>9%</b>
21	<b>Net Operating Income</b>	<b>56,041</b>	<b>30,896</b>	<b>47,357</b>	<b>53%</b>
22	<b>Net Operating Margin</b>	<b>3.2%</b>	<b>1.6%</b>	<b>2.3%</b>	
<b>Nonoperating Revenues (Expenses)</b>					
23	Investment Income (Losses), Net of Fees	74,354	123,894	123,833	0%
24	Spendable Investment Income	(80,357)	(84,351)	(85,605)	1%
25	Other Nonoperating Revenues (Expenses)	7,080	3,263	729	-78%
26	Capital Appropriations and Grants	24,801	130,295	154,274	18%
27	Capital Gifts	11,007	28,621	101,026	253%
28	Private Gifts for Endowment Purposes	30,302	21,637	16,054	-26%
29	Mandatory Transfers	158	-	-	0%
30	Non-Mandatory Transfers	40,157	10,265	2,681	-74%
31	<b>Net Nonoperating Revenues (Expenses)</b>	<b>107,502</b>	<b>233,624</b>	<b>312,992</b>	<b>34%</b>
32	<b>Increase in Net Position</b>	<b>163,543</b>	<b>264,520</b>	<b>360,350</b>	
33	<b>Net Position, Beginning of Year</b>	<b>3,516,046</b>	<b>3,679,479</b>	<b>3,943,999</b>	
34	Cumulative Effect of Change in Accounting Principle	(110)	-	-	
35	<b>Net Position, Beginning of Year, Adjusted</b>	<b>3,515,936</b>	<b>3,679,479</b>	<b>3,943,999</b>	
36	<b>Net Position, End of Period</b>	<b>\$ 3,679,479</b>	<b>\$ 3,943,999</b>	<b>\$ 4,304,349</b>	

Note: \$15 million in support from MU Healthcare was netted against Supplies, Services and Other Operating Expense (Line 17) this amount was previously presented in Non-Mandatory Transfers (Line 30). This movement is between MU and MU Healthcare and does not impact consolidated financial statements. The presentation aligns with targets set during the financial plan.

June 27, 2024

**Schedule 3: FY2025 Budget Income Statement by Funding Source (Dollars in thousands)**

	Operations	Auxiliary	SOM - Clinical Operations	Gifts & Grants	Total Current Funds	Plant and Non- Expendable Endowment	Budget FY2025
<b>Operating Revenues</b>							
Tuition and Fees	\$ 610,549	\$ -	\$ -		\$ 610,549	\$ -	\$ 610,549
Less Scholarship Allowances	188,884	-	-	67,830	256,714	-	256,714
Net Tuition and Fees	421,665	-	-	(67,830)	353,834	-	353,834
Federal Pell Grants	-	-	-	25,000	25,000	-	25,000
Government Scholarship Funding	-	-	-	18,000	18,000	-	18,000
Grants and Contracts	-	-	-	372,627	372,627	-	372,627
Auxiliary Enterprises	14,846	427,632	-	-	442,478	-	442,478
Patient Medical Services Net	-	6,830	389,044	-	395,874	-	395,874
Other Operating Revenues	99,478	-	-	(67,492)	31,986	-	31,986
State Appropriations	264,932	-	-	5,032	269,964	-	269,964
Federal Appropriations	-	-	-	18,868	18,868	-	18,868
Private Gifts	120	20,627	-	27,291	48,038	-	48,038
Spendable Investment Income	35,730	30	159	49,686	85,605	-	85,605
<b>Total Operating Revenues</b>	<b>836,771</b>	<b>455,120</b>	<b>389,203</b>	<b>381,182</b>	<b>2,062,275</b>	<b>-</b>	<b>2,062,275</b>
<b>Operating Expenses</b>							
Salaries and Wages	451,994	147,115	369,012	178,250	1,146,371	-	1,146,371
Benefits	153,294	49,664	92,344	53,317	348,619	-	348,619
Supplies, Services and Other Operating Expenses	105,117	193,620	(70,880)	124,692	352,549	25,693	378,241
Depreciation	-	-	-	-	-	112,173	112,173
Interest Expense	-	-	-	-	-	29,513	29,513
<b>Total Operating Expenses</b>	<b>710,405</b>	<b>390,399</b>	<b>390,477</b>	<b>356,259</b>	<b>1,847,539</b>	<b>167,379</b>	<b>2,014,918</b>
<b>Net Operating Income</b>	<b>126,367</b>	<b>64,721</b>	<b>(1,274)</b>	<b>24,923</b>	<b>214,736</b>	<b>(167,379)</b>	<b>47,357</b>

Within the detailed sections the use of highlighted text will correspond to the “Colors of Money” presented above.

**Operating Revenues:**

Tuition and Fees (Line 1) are budgeted to increase by \$25.1 million or 4.3% over the prior year. Budgeted amounts include the tuition rate increases approved by the Board in May 2024. MU has budgeted 1.8% enrollment growth overall. The projected growth is based on growth in new first time college students over the prior year, and a projected shift in resident mix.

Scholarship Allowances (Line 2) are budgeted to decrease by \$10.8 million or 4.0% over the prior year. Scholarship allowance represents financial aid awarded to students, which includes institutional aid (funded by the institution or donors), federal grants (the largest being Pell), or government scholarships (Access Missouri and Bright Flight). The University operates as a pass-through for federal grants and government scholarships, aid is awarded to students and funding is received from the government. Scholarships are decreasing as the Missouri Compacts program has ended. MU changes programs annually to ensure scholarships are competitive with peer institutions and provide appropriate support to students.

Grants and Contracts (Line 6) are projected to increase by 9.5% over the prior year. MU is committed to improving research competitiveness and is projecting a 13.5% growth in grants and contract revenue from FY2023 to FY2024. The budgeted revenue growth aligns with trends in proposals and awards due to Mizzou Forward initiatives.

Auxiliary Enterprises (Line 7) revenue is projected to increase by \$52.6 million over FY2024 representing 13.5% growth. The growth in revenue is driven by the MU Research Reactor (MURR) multi-year agreement which is budgeted to increase by \$44.9 million over FY2024. MU Athletics' operating revenue growth is 3.7%, which is supported by philanthropy and stable ticket sales. Budgeted compensation growth for MU Athletics is 3.1% and other operating expenses are budgeted to decline by 5.8%. MU Athletics' budget for FY2025 remains close to FY2024 projection. The remaining budgeted increase is from inflationary rates.

Net Patient Medical Service (Line 8) revenues primarily represent revenues from University Physicians and CRMC Community Practice and are projected to increase by 21.6% over FY2024. The FY2025 budget reflects the integration of the community practice physicians at CRMC which is \$49.9 million. University Physicians revenue outlook has improved in the fourth quarter of FY2024 and is projecting to end \$10 million higher than the 3<sup>rd</sup> quarter projection utilized in the income statement presented above. The remaining \$10.3 million in revenue growth aligns with MU Healthcare's budgeted growth. The revenues from University Physicians fund the clinical compensation for Medical School faculty appointments.

State Appropriations (Line 11) reflects the 3% core increase, or \$7.6 million, and an additional \$5 million one-time funding for extension services. The remaining increase is attributed to additional line items and program support approved by the legislature during the 2024 legislative session.

**Operating Expenses**

Overall, MU's operating expenses are projected to increase by 9.0%. Salaries and wages are budgeted to increase by 9.9% and include the effect of a 2% performance-based merit raise pool.

**Schedule 4: MU Salaries and Wages by Funding Source (Dollars in Thousands)**

	<b>Projected FY2024</b>	<b>Budget FY2025</b>	<b>Variance</b>	
			<b>\$</b>	<b>%</b>
Operations and Service Operations	\$427,083	\$451,994	\$24,911	5.8%
Auxiliary Enterprises	132,932	147,115	14,183	10.7%
School of Medicine Clinical Operations	312,393	369,012	56,619	18.1%
Restricted (Gifts & Grants)	171,137	178,250	7,113	4.2%
<b>Total Salaries and Wages (Line 15)</b>	<b>\$1,043,545</b>	<b>\$1,146,371</b>	<b>\$102,826</b>	<b>9.9%</b>

Salaries and Wages (Line 15)

- *Operations and Service Operations* are budgeted to increase from FY2024 projection by \$24.9 million or 5.8%. \$8.5 million of the increase reflects of the 2% raise pool. The remaining increase represents faculty and staff for Mizzou Forward initiatives and additional hiring to support enrollment growth.
- *Auxiliary Enterprises* wages are budgeted to increase by \$14.2 million over the prior year. The budget for FY2025 addresses market compensation pressure and vacant positions needed to support revenue growth at MURR.

- *School of Medicine Clinical Operations* wages are budgeted increase \$56.6 million from FY2024. The FY2025 budget reflects the integration of the community practice physicians at CRMC which is \$41.7 million. Adjusted for the community practice physicians budgeted wage growth is 4.8% compared to 3.8% in budgeted revenue growth.
- *Restricted* funded wages from grants and gifts are anticipated to increase by \$7.1 million. This compensation and workforce size are dependent on the availability of the related revenues to fund research.

**Schedule 5: MU Supplies, Services and Other Operating Expenses Detail (Dollars in Thousands)**

	<b>Projected FY2024</b>	<b>Budget FY2025</b>	<b>Variance</b>	
			<b>\$</b>	<b>%</b>
Operations and Service Operations	\$107,777	\$105,117	(\$2,660)	-2.5%
Auxiliary Enterprises	178,808	193,620	14,812	8.3%
School of Medicine Clinical Operations	(60,394)	(70,880)	(10,486)	17.4%
Restricted (Gifts & Grants)	116,606	124,692	8,086	6.9%
Plant	28,649	25,693	(2,956)	-10.3%
<b>Total Supplies, Services and Other Operating Expenses (Line 17)</b>	<b>\$371,446</b>	<b>\$378,241</b>	<b>\$6,795</b>	<b>1.8%</b>

Supplies, Services and Other Operating Expenses (Line 17)

- *Operations and Service Operations* expenditures are budgeted to decrease by \$2.6 million over FY2024 projection. MU’s budget is built on maintaining faculty and staff to support enrollment. The labor market continues to place pressure on wage rate and turnover within the organization. Cost reductions were budgeted to fund the additional compensation need to retain and recruit faculty and staff. Expenditures in FY2024 reflect start-up costs for Mizzou Forward faculty, these expenses occur on an uncertain timeline as typically faculty have a few years to fully utilize these resources.
- *Auxiliary Enterprises* expenditures are budgeted to increase by \$14.8 million over FY2024 projection. The primary driver for this increase is related to MURR which has budgeted a \$19 million increase. This growth is offset by budgeted cost reductions from Athletics totaling \$4.5 million.
- *Patient Services* expenditures are presented as a negative expense as a charge to the Hospital for clinical services provided by University Physicians and CRMC community practice, including anesthesia coverage, call coverage, and other purchased services common in healthcare operations. The larger negative represents a larger charge to the hospital for physician services, which are budgeted to increase with the integration of CRMC community practice.
- *Restricted* expenditures funded from grants and gifts are anticipated to increase \$8.1 million from FY2024 projection. This increase correlates with the budgeted revenue growth in grants and contracts. These expenditures relate to the specific supplies and services needed by individual gift or grant agreements.
- *Plant* expenditures are projected to decrease by \$2.9 million over the prior year. With the increase in budgeted capital investments for FY2025 non-capital maintenance and repairs will decrease to align with available resources.

Capital spend over \$5 million included in MU's budget are as follows:

- Expansion of *MU Research Reactor (MURR) West Expansion* will be supported by government appropriations. The FY2025 budget includes investments totaling \$7 million for this project.
- *NextGen Precision Health Building - 4th Floor Fit Out* will be supported by capital reserves and governmental appropriations. The FY2025 budget includes investments totaling \$1.1 million for this project.
- *Vet Med Diagnostics Lab* will be supported by governmental appropriations and gifts. Total project cost included in FY2025 is \$4 million.
- *School of Medicine Building Renovations and Swine Facility Expansion* are anticipated to have \$35 million in spending for FY2025. The project sources include capital reserves and governmental appropriations.
- *Thompson Center* will be support by capital reserves, gifts and state appropriations. The FY2025 budget includes investments totaling \$33 million for this project.
- Renovations on *Pershing Hall* and *Lottes Health Science Library* will be funded by capital reserves are budgeted to be \$2.5 million for FY2025.
- Work will begin on *Memorial Stadium* this project will be funded gifts, debt, and financing of revenues generated by the project. Total project cost included in FY2025 is \$100 million.
- *Research Commons Thermal Plant - Chilled Water Addition* will be funded from capital reserves the FY2025 budget included investments totaling \$8 million.
- Additional funding from the State will support the *Radioisotope Facility at Discovery Ridge, the Meat Processing Facility and Veterinary Medical Expansion* the FY2025 budget includes \$20.5 million for these projects.

### UMKC

UMKC continues to focus on furthering its educational and research mission through UMKC Forward, an initiative launched in Spring of 2021. Academic realignment was a necessary process to fund this initiative and reallocate resources to provide financial stability to UMKC. Funding in FY2025 continues to prioritize student recruitment and retention to slow the decline in enrollment. Faculty development and research initiatives are also funded through UMKC Forward.

UMKC							
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2024 Projection	FY2025 Budget
<b>Key Performance Trends</b>							
<i>Enrollment</i>	11,424	11,336	11,073	10,911	10,716	10,635	10,655
<i>Degrees/Certificates Awarded</i>	3,375	3,511	3,637	3,410	3,862	Data Not Available	
<i>Graduation Rate</i>	49.6%	53.8%	56.8%	56.1%	55.9%	Data Not Available	
<i>Grants and Contracts<sup>1</sup></i>	\$37 M	\$42 M	\$48 M	\$63 M	\$82 M	\$88 M	\$90 M
<i>NSF Rankings<sup>2</sup></i>	237	230	234	208	Data Not Available		
<i>Faculty Productivity</i>							
Research per Faculty	\$91,580	\$115,228	\$137,544	\$185,456	\$239,670	\$250,000	\$255,682
Enrollment per Faculty	16.90	18.40	18.80	19.14	18.38	17.78	17.70
<b>Key Financial Trends</b>							
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2024 Projection	FY2025 Budget
<i>Operating Margin</i>	-3.7%	-0.8%	16.1%	9.0%	8.3%	2.1%	2.0%
<i>Spendable Cash to Operations</i>	0.40	0.41	0.78	0.79	0.89	0.89	0.87
<i>Spendable Cash to Debt</i>	0.72	0.83	1.52	1.78	2.27	2.44	2.78
<i>Tuition less Institutional Aid per Student</i>	\$12,916	\$13,423	\$13,592	\$14,149	\$14,665	\$14,219	\$15,818
<i>Institutional Resources per Student<sup>3</sup></i>	\$19,381	\$19,074	\$20,280	\$21,298	\$22,345	\$22,537	\$24,374
<i>Operating Expense per Degree Granted</i>	\$86,991	\$78,086	\$68,251	\$79,714	\$75,472	Data Not Available	

Note 1: Amount reflects grant and sponsored program revenue recognized from the Federal, State and Other Organizations

Note 2: NSF Rankings for total R&D Expenditures

Note 3: Institutional Resources = Tuition less Institutional Aid plus State Appropriations

UMKC financial performance over the past three years has been over target. Although UMKC’s enrollment has declined, other revenue resources and expense management have provided positive operating financial performance results. Coupled with the positive performance, UMKC has received \$33 million in capital philanthropy for the Health Science Building and KCUR building during FY2024.

Through the FY2025 budget process UMKC continues to manage expenditures within revenue resources. UMKC’s capital plan for FY2025 includes investments of \$99 million with additional philanthropy support of \$21 million and \$93 million for the State. Overall reserves remain strong for UMKC as capital giving was collected prior to construction for the capital projects.

Investments included in the FY2025 budget are as follows:

- *Student Support Services* include continued investments of counseling services and mentoring program for first generation students (First Gen Roo).
- *Professional Career Escalators* propel students from academic studies to higher-paying careers through a unique system of personalized support and services. This system is intended to improve retention, graduation, and post-graduation outcomes for UMKC’s students. MOExcels funding totaling \$7 million was awarded to UMKC in FY2023, FY2024, and FY2025 to support this initiative.
- *Scholarship Support* includes expanding the UMKC Advantage Grant to cover all student activity and course fees, in addition to tuition. Additional scholarships and stipends are included in the budget to retain and recruit top performing students.
- *Facility Investments* in research and classroom infrastructure and equipment, renovations of the student success center and library will continue in FY2025.

**Schedule 6: UMKC FY2025 Budget (Dollars in Thousands)**

Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP – Unaudited

Line No.		Actuals FY2023	Projected FY2024	Budget FY2025	% Change FY2024-25
<b>Operating Revenues</b>					
1	Tuition and Fees	\$ 220,984	\$ 221,477	\$ 239,439	8%
2	Less Scholarship Allowances	82,596	90,000	90,600	1%
3	<b>Net Tuition and Fees</b>	<b>138,388</b>	<b>131,477</b>	<b>148,839</b>	<b>13%</b>
4	Federal Pell Grants	13,528	14,000	14,000	0%
5	Government Scholarship Funding	5,231	5,740	5,700	-1%
6	Grants and Contracts	82,446	88,000	90,000	2%
7	Auxiliary Enterprises	42,754	45,796	38,048	-17%
8	Patient Medical Services Net	39,738	42,169	42,820	2%
9	Other Operating Revenues	21,192	25,000	19,950	-20%
10	State Appropriations	82,301	88,463	91,160	3%
11	Federal Appropriations	-	-	-	0%
12	Private Gifts	33,303	17,100	17,802	4%
13	Spendable Investment Income	16,544	15,714	16,740	7%
14	<b>Total Operating Revenues</b>	<b>475,425</b>	<b>473,459</b>	<b>485,059</b>	<b>2%</b>
<b>Operating Expenses</b>					
15	Salaries and Wages	216,977	227,920	239,599	5%
16	Benefits	63,717	68,080	77,802	14%
17	Supplies, Services and Other Operating Expenses	122,667	132,000	125,974	-5%
18	Depreciation	25,390	28,540	25,301	-11%
19	Interest Expense	7,184	7,114	6,881	-3%
20	<b>Total Operating Expenses</b>	<b>435,935</b>	<b>463,654</b>	<b>475,558</b>	<b>3%</b>
21	<b>Net Operating Income</b>	<b>39,490</b>	<b>9,805</b>	<b>9,502</b>	<b>-3%</b>
22	<b>Net Operating Margin</b>	<b>8.3%</b>	<b>2.1%</b>	<b>2.0%</b>	
<b>Nonoperating Revenues (Expenses)</b>					
23	Investment Income (Losses), Net of Fees	16,860	26,000	25,251	-3%
24	Spendable Investment Income	(16,544)	(15,714)	(16,740)	7%
25	Other Nonoperating Revenues (Expenses)	6,716	-	-	0%
26	Capital Appropriations and Grants	1,394	13,500	93,416	592%
27	Capital Gifts	14,155	20,000	20,500	2%
28	Private Gifts for Endowment Purposes	287	400	400	0%
29	Mandatory Transfers	26	-	(0)	0%
30	Non-Mandatory Transfers	3,940	1,400	(22)	-102%
31	<b>Net Nonoperating Revenues (Expenses)</b>	<b>26,834</b>	<b>45,586</b>	<b>122,806</b>	<b>169%</b>
32	<b>Increase in Net Position</b>	<b>66,324</b>	<b>55,391</b>	<b>132,308</b>	
33	<b>Net Position, Beginning of Year</b>	<b>673,178</b>	<b>739,502</b>	<b>794,893</b>	
34	Cumulative Effect of Change in Accounting Principle	-	-	-	
35	<b>Net Position, Beginning of Year, Adjusted</b>	<b>673,178</b>	<b>739,502</b>	<b>794,893</b>	
36	<b>Net Position, End of Period</b>	<b>\$ 739,502</b>	<b>\$ 794,893</b>	<b>\$ 927,201</b>	

June 27, 2024



Overall, UMKC’s operating margin is \$9.5 million, or 2.0%. UMKC’s margin is at target.

**Schedule 7: FY2025 Budget Income Statement by Funding Source (Dollars in thousands)**

	Operations	Auxiliary	Gifts & Grants	Total Current Funds	Plant and Non-Expendable Endowment	Budget FY2025
<b>Operating Revenues</b>						
Tuition and Fees	\$ 239,439	\$ -	\$ -	\$ 239,439	\$ -	\$ 239,439
Less Scholarship Allowances	53,112	-	37,488	90,600	-	90,600
Net Tuition and Fees	186,328	-	(37,488)	148,839	-	148,839
Federal Pell Grants	-	-	14,000	14,000	-	14,000
Government Scholarship Funding	-	-	5,700	5,700	-	5,700
Grants and Contracts	-	-	90,000	90,000	-	90,000
Auxiliary Enterprises	2,299	35,749	-	38,048	-	38,048
Patient Medical Services Net	-	42,820	-	42,820	-	42,820
Other Operating Revenues	25,312	-	(5,362)	19,950	-	19,950
State Appropriations	91,160	-	-	91,160	-	91,160
Federal Appropriations	-	-	-	-	-	-
Private Gifts	-	-	17,802	17,802	-	17,802
Spendable Investment Income	6,219	-	10,520	16,740	-	16,740
<b>Total Operating Revenues</b>	<b>311,317</b>	<b>78,570</b>	<b>95,172</b>	<b>485,059</b>	<b>-</b>	<b>485,059</b>
<b>Operating Expenses</b>						
Salaries and Wages	167,835	39,148	32,616	239,599	-	239,599
Benefits	54,179	11,255	12,368	77,802	-	77,802
Supplies, Services and Other Operating Expenses	64,929	18,990	37,081	120,999	4,975	125,974
Depreciation	-	-	-	-	25,301	25,301
Interest Expense	-	-	-	-	6,881	6,881
<b>Total Operating Expenses</b>	<b>286,943</b>	<b>69,393</b>	<b>82,065</b>	<b>438,401</b>	<b>37,157</b>	<b>475,558</b>
<b>Net Operating Income</b>	<b>24,375</b>	<b>9,176</b>	<b>13,108</b>	<b>46,659</b>	<b>(37,157)</b>	<b>9,502</b>

Within the detailed sections the use of highlighted text will correspond to the “Colors of Money” presented above.

**Operating Revenues:**

Tuition and Fees (Line 1) are budgeted to increase by \$17.9 million or 8.1% over the prior year. The gross tuition and fee budgeted amounts include the Board approved rates from May 2024. Budgeted enrollment includes an overall flat enroll for undergraduate and graduate enrollment. UMKC’s primary revenue driver remains graduate and professional programs, with the professional programs driving nearly 60% of the tuition program. Professional program enrollments are projected to slightly increase within the medical school program at St. Joes and the dental school’s Advance Standing Program.

Scholarship Allowances (Line 2) are budgeted to increase by \$0.6 million or 0.7% from the prior year. Scholarship allowance represents financial aid awarded to students, which includes institutional aid (funded by the institution or donors), federal grants (the largest being Pell), or government scholarships (Access Missouri and Bright Flight). The University operates as a pass-through for federal grants and government scholarships, aid is awarded to students and funding is received from the government. UMKC's scholarship is budgeted to remain flat.

Grants and Contracts (Line 6) are projected to increase by \$2 million over the prior year.

UMKC experienced significant growth in grants and contracts during FY2023, budgeted growth is based on known proposals and awards.

Auxiliary Enterprises (Line 7) revenue is projected to decrease by \$7.7 million over FY2024. The decline in auxiliary revenues is driven by movement of student health services from an auxiliary operation to being supported by operating funds as they are no longer a self-support operation. This decline is offset by increase in housing and dining rates approved in November 2023 and budgeted occupancy to remaining stable from FY2024.

Net Patient Medical Service (Line 8) revenues are projected to increase \$651,000 over FY2024. These revenues are contract services provided to the School of Medicine’s hospital affiliates through the graduate medical education programs.

Other Operating Revenues (Line 9) revenues are projected to decrease by \$5 million over FY2024. These revenues include camps held and merchandise sold (i.e. t-shirts) by schools or colleges, pass through aid from third parties such as KC Scholars, and application and deposit fees. These revenues typically will not generate resources for academic units but will cover the cost associated for the goods or services provided. The budgeted decline in revenues is based on anticipated decline in aid from third parties.

State Appropriations (Line 10) reflects the 3% core increase, or \$2.7 million, approved by the legislature during the 2024 legislative session.

**Operating Expenses**

Overall, UMKC’s operating expenses are projected to increase by 2.6%. Salaries and wages are budgeted to increase by 5.1% and include the effect of a 2.5% performance-based merit raise pool. UMKC has experienced high turnover rates and extended fill rates for many staff and faculty positions \$1 million will be utilized to address market compression issues.

**Schedule 8: UMKC Salaries and Wages Detail (Dollars in thousands)**

	Projected FY2024	Budget FY2025	Variance	
			\$	%
Operations and Service Operations	\$160,049	\$167,835	\$7,786	4.9%
Auxiliary Enterprises	10,166	9,286	(880)	-8.7%
Patient Service Auxiliaries	29,305	29,862	557	1.9%
Restricted (Gifts & Grants)	28,400	32,616	4,216	14.8%
<b>Total Salaries and Wages (Line 15)</b>	<b>\$227,920</b>	<b>\$239,599</b>	<b>\$11,679</b>	<b>5.1%</b>

Salaries and Wages (Line 15)

- *Operations and Service Operations* are budgeted to increase by \$7.8 million from FY2024 projection. This increase is attributed to investments in additional faculty to support new programs in Biomedical Engineering and Architecture; continued investment in UMKC Forward student advising, recruitment and career preparation; and market adjustments to existing faculty and staff.
- *Auxiliary Enterprises* are budgeted to decrease by \$880,000 over FY2024 projections. The wages have declined in line with revenue resources.

- *Patient Service Auxiliaries* wages reflect payments to resident physicians with the UMKC medical program. Payment for these services is supported by contract payments from local hospitals within the Kansas City area.
- *Restricted* salaries funded from grants and gifts are budgeted to increase by \$4.2 million slightly over FY2024 projections. This compensation will only be realized if there is related gift and grant revenues to fund the compensation.

**Schedule 9: UMKC Supplies Service and Other Operating Expenses Detail (Dollars in Thousands)**

	Projected	Budget	Variance	
	FY2024	FY2025	\$	%
Operations and Service Operations	\$68,985	\$64,929	(\$4,056)	-5.9%
Auxiliary Enterprises	15,073	15,388	315	2.1%
Patient Service Auxiliaries	3,691	3,601	(90)	-2.4%
Restricted (Gifts & Grants)	39,357	37,081	(2,276)	-5.8%
Plant	4,894	4,975	81	1.7%
<b>Total Supplies, Services and Other Operating Expenses (Line 17)</b>	<b>\$132,000</b>	<b>\$125,974</b>	<b>(\$6,026)</b>	<b>-4.6%</b>

Supplies, Services and Other Operating Expenses (Line 17)

- *Operations and Service Operations* expenditures are budgeted to decrease \$4.1 million over FY2024 projection, due mainly cost containment measures put into place.
- *Auxiliary Enterprises* expenditures are budgeted to increase by \$315,000 from FY2024 projection based on inflationary increases.
- *Patient Services* expenditures are budgeted to decrease by \$90,000 over prior projected year. This represents contracted physician services for the University’s Medical School as well as expenditures in the University’s Dental Clinic.
- *Restricted (Gifts & Grants)* expenditures funded from grants decrease by \$2.3 million from FY2024. The FY2025 budget reflects a shift of spending between compensation and other operating expenses.
- *Plant* expenditures are budgeted to increase by \$81,000 over FY2024 projection related as UMKC continues to invest in classroom improvements and campus maintenance and renovation projects.

Capital spend over \$5 million included in UMKC’s budget are as follows:

- *UMKC Health Sciences District Development* – a new health professions teaching facility which will provide interprofessional training for future doctors, nurses, pharmacist, and dentists. Funding for this project will be supported by gifts and capital appropriations from the State. The FY2025 budget includes investments totaling \$50 million for this project.
- *St. Joseph Health Center* – state and federal funding will be utilized for the expansion of classroom and laboratory space at the UMKC School of Medicine campus in St. Joseph, Missouri. The FY2025 budget includes investments totaling \$14 million for this project which will primarily be funded from state and federal appropriations.
- *Steamline Improvements* on the UMKC campus included in the FY2025 budget total \$14.5 million.

- *Atterbury Student Success Center & Miller Nichols Library Renovations* will be funded from philanthropy, grants, and reserves. The FY2025 budget included investments totaling \$9 million for this project.

### S&T

S&T’s budget continues to invest in accordance with North Star objectives, which focuses on growing enrollment, elevating S&T rank and reputation and advancing as an R1 Carnegie Classification research institution. S&T continues to utilize funding from the Kummer Foundation to support the North Star objectives.

Missouri S&T							
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2024	FY2025 Budget
<b>Key Performance Trends</b>							
<i>Enrollment</i>	7,236	6,725	6,345	5,945	5,883	6,077	6,253
<i>Degrees/Certificates Awarded</i>	2,471	2,387	2,405	2,209	2,174	Data Not Available	
<i>Graduation Rate</i>	65.9%	66.7%	63.4%	61.7%	63.6%	Data Not Available	
<i>Grants and Contracts<sup>1</sup></i>	\$33 M	\$35 M	\$38 M	\$44 M	\$46 M	\$52 M	\$53 M
<i>NSF Rankings<sup>2</sup></i>	205	205	195	207	Data Not Available		
<b>Faculty Productivity</b>							
<i>Research per Faculty</i>	\$101,006	\$113,433	\$133,532	\$168,073	\$178,708	\$200,290	\$195,526
<i>Enrollment per Faculty</i>	18.94	18.68	18.77	18.64	18.74	19.54	18.89
<b>Key Financial Trends</b>							
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2024 Projection	FY2025 Budget
<i>Operating Margin</i>	3.5%	-1.9%	10.2%	11.2%	6.3%	2.7%	2.3%
<i>Spendable Cash to Operations</i>	0.84	0.81	1.04	1.11	0.93	0.82	0.76
<i>Spendable Cash to Debt</i>	1.34	1.27	1.64	1.84	1.77	1.84	1.88
<i>Tuition less Institutional Aid per Student</i>	\$12,150	\$11,699	\$10,957	\$11,294	\$11,343	\$11,874	\$11,557
<i>Institutional Resources per Student<sup>3</sup></i>	\$19,085	\$18,174	\$18,896	\$20,214	\$20,853	\$21,768	\$21,466
<i>Operating Expense per Degree Granted</i>	\$62,802	\$61,948	\$57,862	\$62,119	\$78,772	Data Not Available	

Note 1: Amount reflects grant and sponsored program revenue recognized from the Federal, State and Other Organizations

Note 2: NSF Rankings for total R&D Expenditures

Note 3: Institutional Resources = Tuition less Institutional Aid plus State Appropriations

Through the pandemic S&T experienced a decline in enrollment, FY2024 will be the first year of overall enrollment growth since FY2016; this positive trend is expected to continue into FY2025. From FY2016 to FY2024, S&T’s enrollment has dropped 23%. Over this time frame S&T’s financial performance has balanced expenses within revenue resources. S&T’s cost management is reflected in the strong operating margin and spendable cash to operations metric over the last five years.

In FY2024 and FY2025 S&T’s margin is projected to be lower than the previous three fiscal years as federal stimulus funding expired, and inflation placed pressure on expenditure growth. S&T will need to maintain a positive margin close to target to support capital plans. S&T’s capital investment is projected to be \$73 million in FY2024 and \$134 million in FY2025. External resources from the Kummer Foundation, State, and other donors have been utilized to support the additional level of capital investment, these resources total \$35.6 million for FY2024 projection and \$91.5 million for the FY2025 budget.

**Schedule 10: S&T FY2025 Budget (Dollars in Thousands)****Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP – Unaudited**

Line No.		Actuals FY2023	Projected FY2024	Budget FY2025	% Change FY2024-25
<b>Operating Revenues</b>					
1	Tuition and Fees	\$ 126,007	\$ 136,682	\$ 146,972	8%
2	Less Scholarship Allowances	70,802	77,122	86,928	13%
3	Net Tuition and Fees	55,205	59,560	60,044	1%
4	Federal Pell Grants	5,580	6,600	6,200	-6%
5	Government Scholarship Funding	5,946	6,000	6,020	0%
6	Grants and Contracts	45,749	51,875	52,597	1%
7	Auxiliary Enterprises	24,474	25,900	29,280	13%
8	Patient Medical Services Net	-	-	-	0%
9	Other Operating Revenues	4,705	4,600	4,782	4%
10	State Appropriations	55,942	60,121	61,963	3%
11	Federal Appropriations	-	-	-	0%
12	Private Gifts	21,099	18,500	20,413	10%
13	Spendable Investment Income	14,269	14,490	14,207	-2%
14	<b>Total Operating Revenues</b>	<b>232,969</b>	<b>247,646</b>	<b>255,504</b>	<b>3%</b>
<b>Operating Expenses</b>					
15	Salaries and Wages	105,699	115,409	124,699	8%
16	Benefits	31,976	35,250	39,422	12%
17	Supplies, Services and Other Operating Expenses	51,944	59,250	54,447	-8%
18	Depreciation	23,588	26,100	26,490	1%
19	Interest Expense	5,077	4,837	4,603	-5%
20	<b>Total Operating Expenses</b>	<b>218,284</b>	<b>240,846</b>	<b>249,660</b>	<b>4%</b>
21	<b>Net Operating Income</b>	<b>14,685</b>	<b>6,800</b>	<b>5,844</b>	<b>-14%</b>
22	<b>Net Operating Margin</b>	<b>6.3%</b>	<b>2.7%</b>	<b>2.3%</b>	
<b>Nonoperating Revenues (Expenses)</b>					
23	Investment Income (Losses), Net of Fees	12,859	20,000	15,282	-24%
24	Spendable Investment Income	(14,269)	(14,490)	(14,207)	-2%
25	Other Nonoperating Revenues (Expenses)	(68)	830	24	-97%
26	Capital Appropriations and Grants	-	9,133	59,431	551%
27	Capital Gifts	30,332	26,482	32,034	21%
28	Private Gifts for Endowment Purposes	3,859	5,000	3,500	-30%
29	Mandatory Transfers	5	-	-	0%
30	Non-Mandatory Transfers	4,023	350	192	-45%
31	<b>Net Nonoperating Revenues (Expenses)</b>	<b>36,741</b>	<b>47,305</b>	<b>96,256</b>	<b>103%</b>
32	<b>Increase in Net Position</b>	<b>51,426</b>	<b>54,105</b>	<b>102,100</b>	
33	<b>Net Position, Beginning of Year</b>	<b>662,982</b>	<b>714,408</b>	<b>768,513</b>	
34	Cumulative Effect of Change in Accounting Principle	-	-	-	
35	<b>Net Position, Beginning of Year, Adjusted</b>	<b>662,982</b>	<b>714,408</b>	<b>768,513</b>	
36	<b>Net Position, End of Period</b>	<b>\$ 714,408</b>	<b>\$ 768,513</b>	<b>\$ 870,613</b>	

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Overall, S&T's operating margin is \$5.8 million, or 2.3% which is in line with financial plan presented to the Board in February.

**Schedule 11: FY2025 Budget Income Statement by Funding Source (Dollars in thousands)**

	Operations	Auxiliary	Gifts & Grants	Total Current Funds	Plant and Non-Expendable Endowment	Budget FY2025
<b>Operating Revenues</b>						
Tuition and Fees	\$ 146,972	\$ -	\$ -	\$ 146,972	\$ -	\$ 146,972
Less Scholarship Allowances	55,509	-	31,419	86,928	-	86,928
Net Tuition and Fees	91,463	-	(31,419)	60,044	-	60,044
Federal Pell Grants	-	-	6,200	6,200	-	6,200
Government Scholarship Funding	-	-	6,020	6,020	-	6,020
Grants and Contracts	-	-	52,597	52,597	-	52,597
Auxiliary Enterprises	1,307	27,972	0	29,280	-	29,280
Patient Medical Services Net	-	-	-	-	-	-
Other Operating Revenues	13,705	-	(9,155)	4,550	232	4,782
State Appropriations	61,963	-	-	61,963	-	61,963
Federal Appropriations	-	-	-	-	-	-
Private Gifts	-	-	20,413	20,413	-	20,413
Spendable Investment Income	3,403	20	8,802	12,225	1,982	14,207
<b>Total Operating Revenues</b>	<b>171,841</b>	<b>27,992</b>	<b>53,458</b>	<b>253,291</b>	<b>2,214</b>	<b>255,504</b>
<b>Operating Expenses</b>						
Salaries and Wages	96,619	4,327	23,753	124,699	-	124,699
Benefits	32,865	1,727	4,830	39,422	-	39,422
Supplies, Services and Other Operating Expenses	27,668	9,433	16,292	53,393	1,054	54,447
Depreciation	-	-	-	-	26,490	26,490
Interest Expense	-	-	-	-	4,603	4,603
<b>Total Operating Expenses</b>	<b>157,152</b>	<b>15,486</b>	<b>44,875</b>	<b>217,513</b>	<b>32,147</b>	<b>249,660</b>
<b>Net Operating Income</b>	<b>14,689</b>	<b>12,506</b>	<b>8,583</b>	<b>35,778</b>	<b>(29,934)</b>	<b>5,844</b>

**Operating Revenues:**

Tuition and Fees (Line 1) are budgeted to increase by \$10.3 million or 7.5% over the prior year. This increase is a result of tuition rate increases coupled with enrollment growth. S&T has budgeted 2.9% enrollment growth overall. The projected undergraduate enrollment growth is based on growth in first time college students and transfers over the prior year. Graduate enrollment at S&T is budgeted flat from prior year.

Scholarship Allowances (Line 2) are budgeted to increase by \$9.8 million or 12.7% over the prior year which will maintain the same level of aid awarded when compared to tuition. Scholarship allowance represents financial aid awarded to students, which includes institutional aid (funded by the institution or donors), federal grants (the largest being Pell), or government scholarships (Access Missouri and Bright Flight). The University operates as a pass-through for federal grants and government scholarships, aid is awarded to students and funding is received from the government.

Grants and Contracts (Line 6) are budgeted to increase by 1.4% or \$722,000 over the prior year. The budgeted revenue growth aligns with trends in proposals and awards.

Auxiliary Enterprises (Line 7) revenue is budgeted to increase by 13.1% or \$3.4 million over FY2024. The growth in revenue reflects the housing, dining and activity fees rate increases coupled with a budgeted 3% increase in the student population.

State Appropriations (Line 10) reflects the 3% core increase, or \$1.8 million, approved by the legislature during the 2024 legislative session.

**Operating Expenses**

Overall, S&T’s operating expenses are projected to increase by 3.7% reflecting a 3% performance-based merit and market raise pool.

**Schedule 12: S&T Salaries and Wages Detail (Dollars in Thousands)**

	<b>Projected FY2024</b>	<b>Budget FY2025</b>	<b>Variance</b>	
			<b>\$</b>	<b>%</b>
Operations and Service Operations	\$88,219	\$96,619	\$8,400	9.5%
Auxiliary Enterprises	4,191	4,327	136	3.2%
Restricted (Gifts & Grants)	22,999	23,753	754	3.3%
<b>Total Salaries and Wages (Line 15)</b>	<b>\$115,409</b>	<b>\$124,699</b>	<b>\$9,290</b>	<b>8.0%</b>

Salaries and Wages (Line 15)

- All wages for FY2024 budget include the effect of a 3% performance-based merit and market raise pool. S&T has experienced high turnover rates and extended fill rates for many staff positions and will utilize the raise pool to address market concerns.
- *Operations and Supporting Services* are budgeted to increase by \$8.4 million from FY2024 projection. Along the with the 3% raise pool, the budget includes 34 new faculty and staff positions to support enrollment growth.
- *Auxiliary Enterprises* wages are budgeted to increase by \$136,000 to fund market compensation pressure.
- *Restricted* wages funded from grants and gifts are budgeted to increase by \$754,000, this increase corresponds with the increase in budgeted grant revenue.

**Schedule 13: S&T Supplies Services and Other Operating Expense Detail (Dollars in Thousands)**

	<b>Projected FY2024</b>	<b>Budget FY2025</b>	<b>Variance</b>	
			<b>\$</b>	<b>%</b>
Operations and Service Operations	\$28,605	\$27,668	(\$937)	-3.3%
Auxiliary Enterprises	8,742	9,433	691	7.9%
Restricted (Gifts & Grants)	17,269	16,292	(977)	-5.7%
Plant	4,634	1,054	(3,580)	-77.3%
<b>Total Supplies, Services and Other Operating Expenses (Line17)</b>	<b>\$59,250</b>	<b>\$54,447</b>	<b>(\$4,803)</b>	<b>-8.1%</b>

Supplies, Services and Other Operating Expenses (Line 17)

- *Operations and Supporting Services* expenditures are budgeted to decrease \$937,000 over FY2024 projection. Nonrecurring non-capital repairs to classroom facilities are included in the FY2024 projections and will not be necessary in FY2025.

- *Auxiliary Enterprises* expenditures are budgeted to increase from FY2024 projection by \$691,000. Missouri S&T has two significant auxiliaries which drive the revenues and expenditures, Housing and Dining and University Centers. Expenditure growth is in line with budgeted revenue growth.
- *Restricted expenditures* funded from grants and gifts are anticipated to decrease by \$977,000 from the FY2024 projection. This amount is dependent on external sources of funding.
- *Plant* expenditures are budgeted to decrease by \$3.6 million over FY2024 projections due to a decrease in planned non-capital M&R plant projects.

Capital spend over \$5 million included in S&T's budget are as follows:

- *Missouri Protoplex Building* is a hub for connecting industry, state and federal agencies, and colleges and universities throughout Missouri to develop new manufacturing processes and new products. Funding for this project will be supported by gifts, state appropriations, and federal grants. The FY2025 budget includes investments totaling \$46.6 million for this project.
- *Student Experience Center (Engineering Research Innovation Lab)* will be funded from capital gifts, the FY2025 budget includes \$2.8 million for project cost.
- The *Arrival District* will provide S&T a front door fitting of its academic reputation and is funded through gifts, total project budget for FY2025 is \$4.1 million.
- *Welcome Center* will be funded from capital reserves and gifts. Total capital investment included in the FY2025 budget is \$17.0 million.
- *Advancing STEM in Missouri* projects FY2025 budget includes investments totaling \$37.8 million budget resources will come from the State.



## UMSL

UMSL’s FY2025 budget is built upon recapturing lost enrollments to regain revenues to match the institution’s current cost base. Stabilizing enrollment is UMSL’s highest priority. The FY2025 budget includes funding to improve enrollment including enhanced recruiting and advising, marketing, continued positive impact of branding revision, and revised financial aid initiatives.

UMSL							
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2024 Projection	FY2025 Budget
<b>Key Performance Trends</b>							
<i>Enrollment</i>	9,488	9,201	8,279	8,428	8,243	8,128	8,283
<i>Degrees/Certificates Awarded</i>	2,993	2,887	3,031	2,872	2,659	Data Not Available	
<i>Graduation Rate</i>	52.2%	56.3%	57.5%	51.6%	56.9%	Data Not Available	
<i>Grants and Contracts<sup>1</sup></i>	\$29 M	\$27 M	\$27 M	\$35 M	\$44 M	\$52 M	\$53 M
<i>NSF Rankings<sup>2</sup></i>	302	297	315	327	Data Not Available		
<i>Faculty Productivity</i>							
Research per Faculty	\$118,623	\$115,891	\$108,438	\$151,118	\$201,720	\$239,110	\$243,890
Enrollment per Faculty	23.31	23.65	21.56	23.03	22.90	22.39	22.82
<b>Key Financial Trends</b>							
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2024 Projection	FY2025 Budget
<i>Operating Margin</i>	-2.2%	-6.5%	8.8%	5.7%	-1.5%	-2.2%	-2.7%
<i>Spendable Cash to Operations</i>	0.51	0.50	0.69	0.74	0.71	0.70	0.69
<i>Spendable Cash to Debt</i>	0.90	0.89	1.20	1.39	1.54	1.72	1.84
<i>Tuition less Institutional Aid per Student</i>	\$9,521	\$9,263	\$10,144	\$9,338	\$10,061	\$10,584	\$10,006
<i>Institutional Resources per Student</i>	\$15,404	\$14,527	\$16,901	\$16,339	\$17,711	\$19,030	\$18,541
<i>Operating Expense per Degree Granted</i>	\$59,004	\$59,711	\$53,387	\$56,247	\$64,587	Data Not Available	

Note 1: Amount reflects grant and sponsored program revenue recognized from the Federal, State and Other Organizations  
 Note 2: NSF Rankings for total R&D Expenditures  
 Note 3: Institutional Resources = Tuition less Institutional Aid plus State Appropriations

UMSL enrollment has declined since Fall 2015; over the past decade the total full-time equivalent student population has declined by 2,075 or 20%. Through the pandemic UMSL was able to rebuild reserves with the assistance of federal stimulus funding and cost containment measures. With continued enrollment declines and reduction of federal stimulus funding, UMSL’s financial performance has placed a strain on operating performance. UMSL put into place cost containment measures in FY2023 and 2024 to mitigate the enrollment decline. Additionally, UMSL is projected to receive \$37.1 million from the State to support the space consolidation plan. With the support from the State and cost containment measures UMSL is projected to be at or above target for reserve and debt metrics.

In FY2024 and 2025 UMSL will have one-time non-capital expenditures related to the campus space consolidation. These expenditures are reimbursed by capital funding received from the State and are reported on Line 26 on the income statement. When excluding these one-time reimbursed expenditures UMSL operating margin would be -1.4% and breakeven for FY2024 and 2025, respectively. UMSL has experienced positive trends in deposits for Fall 2024 enrollment. If enrollment growth is achieved for FY2025 budget revenue resources will support expenditure base. If enrollment growth is not obtained, expense reductions will be necessary.

**Schedule 14: UMSL FY2025 Budget (Dollars in Thousands)**

**Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP – Unaudited**

Line No.		Actuals FY2023	Projected FY2024	Budget FY 2025	% Change FY2024-25
<b>Operating Revenues</b>					
1	Tuition and Fees	\$ 109,416	\$ 114,581	\$ 119,739	5%
2	Less Scholarship Allowances	41,728	45,896	51,410	12%
3	Net Tuition and Fees	67,688	68,685	68,329	-1%
4	Federal Pell Grants	11,539	12,046	13,391	11%
5	Government Scholarship Funding	3,698	4,040	4,119	2%
6	Grants and Contracts	43,975	52,365	53,412	2%
7	Auxiliary Enterprises	14,243	13,111	13,606	4%
8	Patient Medical Services Net	20	24	24	0%
9	Other Operating Revenues	1,803	2,298	2,211	-4%
10	State Appropriations	63,062	68,654	70,697	3%
11	Federal Appropriations	-	-	-	0%
12	Private Gifts	10,992	11,650	11,873	2%
13	Spendable Investment Income	8,740	9,332	9,469	1%
14	<b>Total Operating Revenues</b>	<b>225,760</b>	<b>242,205</b>	<b>247,132</b>	<b>2%</b>
<b>Operating Expenses</b>					
15	Salaries and Wages	103,137	107,056	110,684	3%
16	Benefits	32,848	34,487	35,755	4%
17	Supplies, Services and Other Operating Expenses	69,654	82,820	82,602	0%
18	Depreciation	18,327	18,347	20,189	10%
19	Interest Expense	5,118	4,929	4,597	-7%
20	<b>Total Operating Expenses</b>	<b>229,084</b>	<b>247,639</b>	<b>253,827</b>	<b>2%</b>
21	<b>Net Operating Income</b>	<b>(3,324)</b>	<b>(5,434)</b>	<b>(6,695)</b>	<b>23%</b>
22	<b>Net Operating Margin</b>	<b>-1.5%</b>	<b>-2.2%</b>	<b>-2.7%</b>	
<b>Nonoperating Revenues (Expenses)</b>					
23	Investment Income (Losses), Net of Fees	8,059	13,528	11,379	-16%
24	Spendable Investment Income	(8,740)	(9,332)	(9,469)	1%
25	Other Nonoperating Revenues (Expenses)	(110)	88	25	-72%
26	Capital Appropriations and Grants	4,044	31,178	37,201	19%
27	Capital Gifts	5,106	2,200	5,500	150%
28	Private Gifts for Endowment Purposes	3,589	1,500	1,660	11%
29	Mandatory Transfers	36	-	-	0%
30	Non-Mandatory Transfers	3,281	1,166	1,122	-4%
31	<b>Net Nonoperating Revenues (Expenses)</b>	<b>15,265</b>	<b>40,328</b>	<b>47,418</b>	<b>18%</b>
32	<b>Increase in Net Position</b>	<b>11,941</b>	<b>34,894</b>	<b>40,723</b>	
33	<b>Net Position, Beginning of Year</b>	<b>413,249</b>	<b>425,190</b>	<b>460,084</b>	
34	Cumulative Effect of Change in Accounting Principle	-	-	-	
35	<b>Net Position, Beginning of Year, Adjusted</b>	<b>413,249</b>	<b>425,190</b>	<b>460,084</b>	
36	<b>Net Position, End of Period</b>	<b>\$ 425,190</b>	<b>\$ 460,084</b>	<b>\$ 500,807</b>	

June 27, 2024

Overall, UMSL’s operating margin of (\$6.7) million or -2.7% is due to one-time non-capital expenditures related to the campus space consolidation. Space consolidation involves building demolition, which is expensed in “Supplies, Services, and Other” instead of capitalized. These expenditures are reimbursed by capital funding received from the State and are reported on Line 26 on the income statement above.

Dollars in Thousands	FY2024 Projection	FY2025 Budget
Net Operating Income (Line 21)	(\$5,434)	(\$6,695)
Expenditures Reimbursed by State Capital Funding	\$2,100	\$6,800
Adjusted Net Operating Income	(\$3,334)	\$105
<b>Adjusted Margin</b>	<b>-1.4%</b>	<b>0.0%</b>

When excluding these one-time reimbursed expenditures UMSL operating margin would be (\$3.3) million or -1.4% and \$105,000 or breakeven, for FY2024 and 2025, respectively. UMSL’s budget reflects improved operating performance reaching breakeven levels.

**Schedule 15: FY2025 Budget Income Statement by Funding Source (Dollars in thousands)**

	Operations	Auxiliary	Gifts & Grants	Total Current Funds	Plant and Non-Expendable Endowment	Budget FY2025
<b>Operating Revenues</b>						
Tuition and Fees	\$ 119,739	\$ -	\$ -	\$ 119,739	\$ -	\$ 119,739
Less Scholarship Allowances	26,600	-	24,810	51,410	-	51,410
Net Tuition and Fees	93,139	-	(24,810)	68,329	-	68,329
Federal Pell Grants	-	-	13,391	13,391	-	13,391
Government Scholarship Funding	-	-	4,119	4,119	-	4,119
Grants and Contracts	-	-	53,412	53,412	-	53,412
Auxiliary Enterprises	1,891	11,715	-	13,606	-	13,606
Patient Medical Services Net	-	24	-	24	-	24
Other Operating Revenues	6,554	-	(4,343)	2,211	-	2,211
State Appropriations	70,697	-	-	70,697	-	70,697
Federal Appropriations	-	-	-	-	-	-
Private Gifts	-	-	11,873	11,873	-	11,873
Spendable Investment Income	4,179	-	5,290	9,469	-	9,469
<b>Total Operating Revenues</b>	<b>176,460</b>	<b>11,739</b>	<b>58,933</b>	<b>247,132</b>	<b>-</b>	<b>247,132</b>
<b>Operating Expenses</b>						
Salaries and Wages	85,932	2,198	22,554	110,684	-	110,684
Benefits	29,460	603	5,692	35,755	-	35,755
Supplies, Services and Other Operating Expenses	38,518	7,418	27,734	73,670	8,932	82,602
Depreciation	-	-	-	-	20,189	20,189
Interest Expense	-	-	-	-	4,597	4,597
<b>Total Operating Expenses</b>	<b>153,909</b>	<b>10,220</b>	<b>55,981</b>	<b>220,110</b>	<b>33,718</b>	<b>253,827</b>
<b>Net Operating Income</b>	<b>22,551</b>	<b>1,519</b>	<b>2,952</b>	<b>27,022</b>	<b>(33,718)</b>	<b>(6,695)</b>

Within the detailed sections the use of highlighted text will correspond to the “Colors of Money” presented above.

**Operating Revenues:**

Tuition and Fees (Line 1) are budgeted to increase by \$5.2 million or 4.5% over the prior year. This increase is a result of a 5% undergraduate and graduate and 3.4% professional approved tuition rate increases. The budget includes 1.9% enrollment growth. The mix between student residency and level is reducing UMSL’s overall gross tuition increase down to 4.5%. UMSL’s budget is balanced upon the anticipated growth in full-time undergraduates; if enrollment growth is not realized, expense reductions will be necessary.

Scholarship Allowances (Line 2) are budgeted to increase by \$5.5 million or 12.0% over the prior year. Scholarship allowance represents financial aid awarded to students, which includes institutional aid (funded by the institution or donors), federal grants (the largest being Pell), and government scholarships (Access Missouri and Bright Flight). The University operates as a pass-through for federal grants and government scholarships, aid is awarded to students and funding is received from the government. UMSL has budgeted institutional aid funded from operations to increase by \$3.9 million over prior year to respond to the budgeted increase in tuition and fees and included strategic investments to increase financial aid support provided to undergraduates.

Grants and Contracts (Line 6) are projected to increase by \$1.0 million over the prior year. This increase reflects UMSL commitment on continued growth in research with the State and other sponsored entities.

Auxiliary Enterprise (Line 7) revenues are budgeted to increase by \$495,000 over FY2024 projection. The increased revenues are reflective of continued growth in performing arts center revenues, approved housing and dining rates increases along with projected increased occupancy.

State Appropriations (Line 10) reflects the 3% core increase, or \$2.0 million, approved by the legislature during the 2024 legislative session.

**Operating Expenses**

Overall, UMSL’s operating expenses are projected to increase by 2.5%.

Salaries and Wages (Line 15) include the effect of a 2% performance-based merit raise pool.

**Schedule 16: UMSL Salaries and Wages by Funding Source (Dollars in Thousands)**

	<b>Projected FY2024</b>	<b>Budget FY2025</b>	<b>Variance</b>	
			<b>\$</b>	<b>%</b>
<b>Operations and Service Operations</b>	\$83,800	\$85,932	\$2,132	2.5%
<b>Auxiliary Enterprises</b>	2,205	2,198	(7)	-0.0%
<b>Restricted (Gifts &amp; Grants)</b>	21,051	22,554	1,503	7.1%
<b>Total Salaries and Wages (Line 15)</b>	<b>\$107,056</b>	<b>\$110,684</b>	<b>\$3,628</b>	<b>3.4%</b>

- Wages funded by *Operations and Service Operations* are budgeted to increase by \$2.1 million from FY2024 projection. This increase represents a performance-based merit raise pool.

- *Auxiliary Enterprises* wages are budgeted to decrease by \$7,000, this increase is a result of available auxiliary revenue sources.
- Wages funded by *Gifts and Grants* are budgeted to increase by \$1.5 million from FY2024 projection this increase corresponds with the increase in budgeted grant revenue.

Supplies, Services and Other Operating Expenses (Line 17)

**Schedule 17: UMSL Supplies Services and Other Operating Expenses Detail (Dollars in Thousands)**

	Projected	Budget	Variance	
	FY2024	FY2025	\$	%
Operations and Service Operations	\$41,343	\$38,518	(\$2,825)	-6.8%
Auxiliary Enterprises	7,597	7,418	(179)	-2.4%
Restricted (Gifts & Grants)	24,474	27,734	3,260	13.3%
Plant	9,407	8,932	(475)	-5.0%
<b>Total Supplies, Services and Other Operating Expenses (Line17)</b>	<b>\$82,820</b>	<b>\$82,602</b>	<b>(\$218)</b>	<b>-0.3%</b>

- *Operations and Service Operations* expenditures are budgeted to decrease \$2.8 million over FY2024 projection. The decrease in expenditures reflects a reduction in emergency repairs necessary in FY2024 but not expected in FY2025.
- *Auxiliary Enterprises* expenditures are budgeted to decrease slightly because of operational efficiencies.
- *Restricted* expenditures funded from grants and gifts are anticipated increase \$3.3 million from FY2024 projection. This increase reflects the one-time non-capital expenditures related to the campus space consolidation.
- *Plant* expenditures are budgeted to decrease \$475,000 from FY2024 projections as UMSL prioritizes campus space consolidation projects.

Capital spend over \$5 million included in UMSL’s budget are as follows:

- *Space Consolidation* - will consolidate the university’s academic core to its North campus while renovating classroom, laboratory and community spaces. Funding for this project will be supported by capital reserves, gifts, and state capital appropriations. The FY2024 budget includes investments totaling \$48.4 million for this project.

**MUHC**

**Schedule 18: MU Healthcare FY2025 Budget (Dollars in Thousands)**

**Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP – Unaudited**

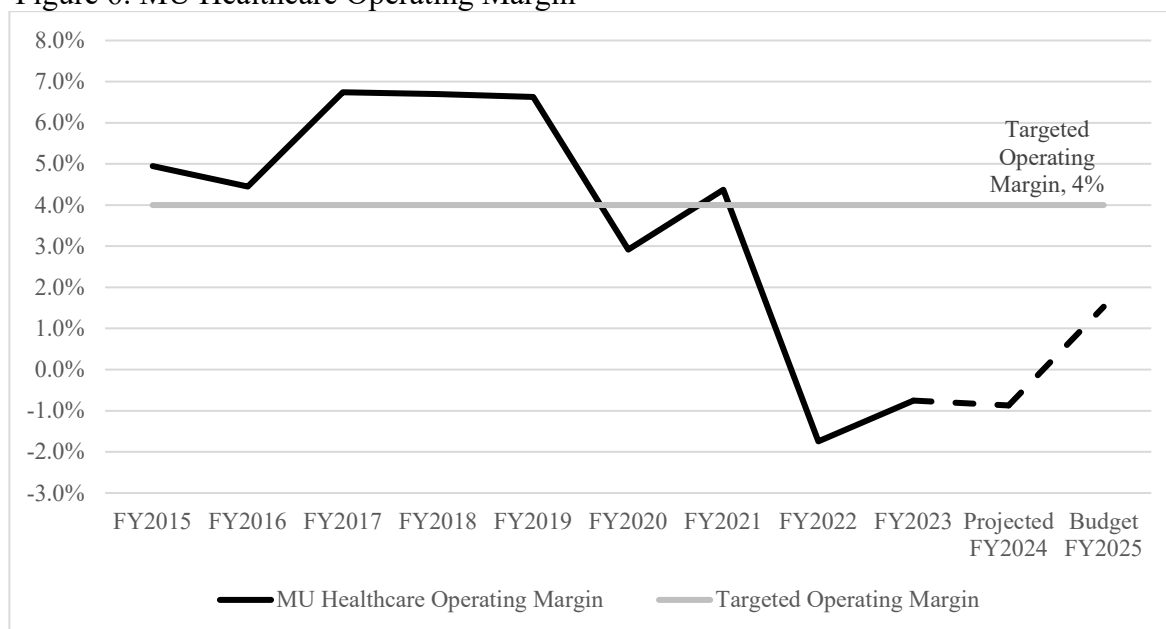
Line No.		Actuals FY2023	Projected FY2024	Budget FY 2025	% Change FY2024-25
<b>Operating Revenues</b>					
1	Tuition and Fees	\$ -	\$ -	\$ -	0%
2	Less Scholarship Allowances	-	-	-	0%
3	Net Tuition and Fees	-	-	-	0%
4	Federal Pell Grants	-	-	-	0%
5	Government Scholarship Funding	-	-	-	0%
6	Grants and Contracts	90	87	16	-82%
7	Auxiliary Enterprises	34,994	40,313	28,953	-28%
8	Patient Medical Services Net	1,594,462	1,718,294	1,822,786	6%
9	Other Operating Revenues	764	1,089	438	-60%
10	State Appropriations	-	-	-	0%
11	Federal Appropriations	-	-	-	0%
12	Private Gifts	1,990	1,265	958	-24%
13	Spendable Investment Income	-	-	-	0%
14	<b>Total Operating Revenues</b>	<b>1,632,300</b>	<b>1,761,048</b>	<b>1,853,151</b>	<b>5%</b>
<b>Operating Expenses</b>					
15	Salaries and Wages	571,083	615,844	608,484	-1%
16	Benefits	144,841	171,657	184,780	8%
17	Supplies, Services and Other Operating Expenses	819,752	867,222	904,538	4%
18	Depreciation	91,740	98,970	104,213	5%
19	Interest Expense	17,172	22,707	22,809	0%
20	<b>Total Operating Expenses</b>	<b>1,644,588</b>	<b>1,776,400</b>	<b>1,824,825</b>	<b>3%</b>
21	<b>Net Operating Income</b>	<b>(12,288)</b>	<b>(15,352)</b>	<b>28,326</b>	<b>-285%</b>
22	<b>Net Operating Margin</b>	<b>-0.8%</b>	<b>-0.9%</b>	<b>1.5%</b>	
<b>Nonoperating Revenues (Expenses)</b>					
23	Investment Income (Losses), Net of Fees	8,459	15,108	19,105	26%
24	Spendable Investment Income	-	-	-	0%
25	Other Nonoperating Revenues (Expenses)	19,997	9,375	-	-100%
26	Capital Appropriations and Grants	-	-	-	0%
27	Capital Gifts	587	466	703	51%
28	Private Gifts for Endowment Purposes	-	10	20	99%
29	Mandatory Transfers	-	-	-	0%
30	Non-Mandatory Transfers	(20,131)	(13,449)	(3,003)	-78%
31	<b>Net Nonoperating Revenues (Expenses)</b>	<b>8,912</b>	<b>11,510</b>	<b>16,825</b>	<b>46%</b>
32	<b>Increase in Net Position</b>	<b>(3,376)</b>	<b>(3,842)</b>	<b>45,151</b>	
33	<b>Net Position, Beginning of Year</b>	<b>1,123,303</b>	<b>1,120,005</b>	<b>1,116,163</b>	
34	Cumulative Effect of Change in Accounting Principle	78	-	-	
35	<b>Net Position, Beginning of Year, Adjusted</b>	<b>1,123,381</b>	<b>1,120,005</b>	<b>1,116,163</b>	
36	<b>Net Position, End of Period</b>	<b>\$ 1,120,005</b>	<b>\$ 1,116,163</b>	<b>\$ 1,161,314</b>	

This presentation format matches the higher education presentation of revenues and expenses. The health system follows the healthcare convention in their presentations to the Health Affairs Committee. The main difference is the classification of gift revenues (line 13) and interest expense (line 20) which is an operating revenue in higher education and a non-operating item in healthcare. Additionally, \$15 million in support provided to MU SOM was included in Supplies, Services

June 27, 2024

and Other Operating Expense (Line 17) this amount was previously presented in Non-Mandatory Transfers (Line 30). This movement is between MU and MU Healthcare and does not impact consolidated financial statements. The presentation aligns with targets set during the financial plan.

Figure 6: MU Healthcare Operating Margin



Note: Operating margin includes CRMC across all years and adjustment for academic support provided to MU. Previous target excluded these two impacts and was set at 7%.

MU Healthcare’s operating performance hit a low in FY2022 as cost increases outpaced available revenue. Much of the cost increase reflected labor challenges in clinical staffing, as nursing agency contract rates during the pandemic increased. Drug cost increases from changes to the 340b program further reduced operating income. Prior to this decline, MU Healthcare’s operating margin from FY2015-FY2021 averaged 5.3%. The operating margin target for MU Healthcare was adjusted during the 2024 planning cycle to reflect changes in capital and growth plans that could be sustained with a 4% margin.

<b>MUHC</b>							
<i>Key Financial Trends</i>							
	FY2019	FY2020	FY2021	FY2022	FY2023	FY2024 Projection	FY2025 Budget
<i>Operating Margin</i>	6.6%	2.9%	4.4%	-1.7%	-0.8%	-0.9%	1.5%
<i>Days Cash on Hand</i>	193	183	172	148	139	117	126
<i>Spendable Cash to Debt</i>	2.00	1.71	1.82	1.50	1.09	0.93	1.11

MU Healthcare’s operating performance improved in FY2023 and is projected to remain close to FY2024 performance. Cash balances throughout 2024 for MU Healthcare have continued to fall due to lower operating performance and capital investment in the new Children’s Tower. The FY2025 budget will improve cash position with the achievement of operating performance improvements and lower capital spending.

## **UM System Administration**

The UM System Business Unit includes the administrative and support functions including service centers that provide unduplicated support to the four universities and health system. As described in the report to the Board on Administrative Efficiencies from the November 2020 Board Meeting:

“Instead of funding administration with state appropriations and investment income, these services will be funded via a cost allocation to the Universities based upon their share of total operating expenses or other cost drivers. The cost allocation for services will also force administrative units to justify the scale and cost of their function to the Universities they support.”

The following Statement of Revenues, Expenses, and Changes in Net Position reflect the funding structure change, with the universities and hospital now paying the cost of system administration. The funding structure moved state appropriations and investment income out to the Universities, then charged a related amount to have each University pay system administration for the services provided. UM System Administration’s budget growth lags the university’s growth to ensure that administration continues to be a smaller part of the organization.



**Schedule 19: UM System Administration FY2025 Budget (Dollars in Thousands)**

**Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP - Unaudited**

Line No.		Actuals FY2023	Projected FY2024	Budget FY 2025	% Change FY2024-25
<b>Operating Revenues</b>					
1	Tuition and Fees	\$ -	\$ -	\$ -	0%
2	Less Scholarship Allowances	23	75	20	-73%
3	Net Tuition and Fees	(23)	(75)	(20)	-73%
4	Federal Pell Grants	-	-	-	0%
5	Government Scholarship Funding	-	-	-	0%
6	Grants and Contracts	1,506	23	-	-100%
7	Auxiliary Enterprises	22,461	21,467	21,656	1%
8	Patient Medical Services Net	-	-	-	0%
9	Other Operating Revenues	13,993	6,634	8,007	21%
10	State Appropriations	-	-	-	0%
11	Federal Appropriations	-	-	-	0%
12	Private Gifts	126	108	126	17%
13	Spendable Investment Income	4,768	4,940	5,086	3%
14	<b>Total Operating Revenues</b>	<b>42,831</b>	<b>33,097</b>	<b>34,854</b>	<b>5%</b>
<b>Operating Expenses</b>					
15	Salaries and Wages	41,407	46,345	48,046	4%
16	Benefits	14,059	16,347	17,760	9%
17	Supplies, Services and Other Operating Expenses	(31,751)	(36,978)	(38,572)	4%
18	Depreciation	6,189	5,654	6,207	10%
19	Interest Expense	363	177	170	-4%
20	<b>Total Operating Expenses</b>	<b>30,267</b>	<b>31,545</b>	<b>33,610</b>	<b>7%</b>
21	<b>Net Operating Income</b>	<b>12,564</b>	<b>1,552</b>	<b>1,244</b>	<b>-20%</b>
22	<b>Net Operating Margin</b>	<b>29.3%</b>	<b>4.7%</b>	<b>3.6%</b>	
<b>Nonoperating Revenues (Expenses)</b>					
23	Investment Income (Losses), Net of Fees	7,086	7,729	7,625	-1%
24	Spendable Investment Income	(4,768)	(4,940)	(5,086)	3%
25	Other Nonoperating Revenues (Expenses)	(56)	249	0	-100%
26	Capital Appropriations and Grants	-	-	-	0%
27	Capital Gifts	-	-	-	0%
28	Private Gifts for Endowment Purposes	6	2	-	0%
29	Mandatory Transfers	-	-	-	0%
30	Non-Mandatory Transfers	(19,427)	79	(970)	-1327%
31	<b>Net Nonoperating Revenues (Expenses)</b>	<b>(17,159)</b>	<b>3,119</b>	<b>1,570</b>	<b>-50%</b>
32	<b>Increase in Net Position</b>	<b>(4,595)</b>	<b>4,671</b>	<b>2,814</b>	
33	<b>Net Position, Beginning of Year</b>	<b>223,347</b>	<b>218,803</b>	<b>223,474</b>	
34	Cumulative Effect of Change in Accounting Principle	51	-	-	
35	<b>Net Position, Beginning of Year, Adjusted</b>	<b>223,398</b>	<b>218,803</b>	<b>223,474</b>	
36	<b>Net Position, End of Period</b>	<b>\$ 218,803</b>	<b>\$ 223,474</b>	<b>\$ 226,288</b>	

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The primary remaining revenue at UM System is MOREnet which supplies high speed internet service to schools, higher education, and libraries across the state. MOREnet submitted a balanced budget in FY2025. In total, the rest System Administration's budget expenses grew in line with overall revenue growth and includes a 2% performance-based market and merit raise pool. The increases in salaries and wages represent a combination of increases from the onboarding of CRMC together with cost reduction measures to manage overhead growth, including position eliminations. The negative \$38.6 million in Supplies, Services, and Other represents the charges to the operating units for the System services.

### **University-wide Units**

University-wide Business Units are used to hold resources and deliver programs that are utilized by the entire institution. These include self-insurance funds related to benefits and risk management programs, activities of the central bank, and the endowed chair programs that were established with a recurring state appropriation to match endowment distributions. Most of the activity in the University-wide units relates to consolidating entries for non-operating items that are not spread to the other Universities, primarily related to the benefit plans, insurance, and investments.

Activity reflected in the unit's operating margin relates to benefits and insurance. In total, there is over \$400 million in self-insurance activity between benefits and insurance programs. The impact on the margin will fluctuate due to the actual cost of medical and insurance claims which the University self-insures. The budgeted \$10.9 million operating loss is an expected one-time item where benefit costs for FY2025 will exceed amounts collected from the universities. Rates will be adjusted for FY2026 to achieve balanced performance. The non-operating revenues (expenses) reflect the impact on benefit liabilities, which will continue to affect contributions and benefit charges to the operating units on a forward basis.

**Schedule 20: University-wide Units FY2025 Budget (Dollars in Thousands)**

**Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP - Unaudited**

Line No.		Actuals FY2023	Projected FY2024	Budget FY 2025	% Change FY2024-25
<b>Operating Revenues</b>					
1	Tuition and Fees	\$ -	\$ -	\$ -	0%
2	Less Scholarship Allowances	19	33	33	0%
3	Net Tuition and Fees	(19)	(33)	(33)	0%
4	Federal Pell Grants	-	-	-	0%
5	Government Scholarship Funding	-	-	-	0%
6	Grants and Contracts	-	-	-	0%
7	Auxiliary Enterprises	-	-	-	0%
8	Patient Medical Services Net	-	-	-	0%
9	Other Operating Revenues	3,147	1,671	(128)	-108%
10	State Appropriations	9,467	7,818	7,818	0%
11	Federal Appropriations	9,809	9,479	9,354	0%
12	Private Gifts	2	2	2	-25%
13	Spendable Investment Income	(9,467)	(7,818)	(7,818)	0%
14	<b>Total Operating Revenues</b>	<b>12,939</b>	<b>11,119</b>	<b>9,194</b>	<b>-17%</b>
<b>Operating Expenses</b>					
15	Salaries and Wages	349	(1,421)	6	-100%
16	Benefits	(12,521)	(4,357)	1	-100%
17	Supplies, Services and Other Operating Expenses	8,598	20,798	17,256	-17%
18	Depreciation	-	-	-	0%
19	Interest Expense	4,818	(1,964)	2,906	-248%
20	<b>Total Operating Expenses</b>	<b>1,244</b>	<b>13,056</b>	<b>20,169</b>	<b>54%</b>
21	<b>Net Operating Income</b>	<b>11,695</b>	<b>(1,937)</b>	<b>(10,975)</b>	<b>467%</b>
22	<b>Net Operating Margin</b>	<b>90.4%</b>	<b>-17.4%</b>	<b>-119.4%</b>	
<b>Nonoperating Revenues (Expenses)</b>					
23	Investment Income (Losses), Net of Fees	69,129	163,389	45,122	-72%
24	Spendable Investment Income	9,467	7,818	7,818	0%
25	Other Nonoperating Revenues (Expenses)	(271)	-	-	0%
26	Capital Appropriations and Grants	-	-	-	0%
27	Capital Gifts	-	-	-	0%
28	Private Gifts for Endowment Purposes	2	-	1	100%
29	Pension and OPEB Impact on Income Statement	(68,390)	(63,452)	(5,159)	-92%
30	Mandatory Transfers	(240)	-	-	0%
31	Non-Mandatory Transfers	(11,811)	189	-	-100%
32	<b>Net Nonoperating Revenues (Expenses)</b>	<b>(2,114)</b>	<b>107,944</b>	<b>47,782</b>	<b>-56%</b>
33	<b>Increase in Net Position</b>	<b>9,581</b>	<b>106,007</b>	<b>36,807</b>	
34	<b>Net Position, Beginning of Year</b>	<b>(441,820)</b>	<b>(432,239)</b>	<b>(326,232)</b>	
35	Cumulative Effect of Change in Accounting Principle	-	-	-	
36	<b>Net Position, Beginning of Year, Adjusted</b>	<b>(441,820)</b>	<b>(432,239)</b>	<b>(326,232)</b>	
37	<b>Net Position, End of Period</b>	<b>\$ (432,239)</b>	<b>\$ (326,232)</b>	<b>\$ (289,425)</b>	

June 27, 2024

# FY2025 Operating Budget

University of Missouri System  
Board of Curators  
Finance Committee

June 27, 2024



UMKC

MISSOURI  
S&T

UMSL

University of Missouri System

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June 27, 2024

# What is the Purpose of the Budget?

- Serves as the guide for institutions for the year and assess current financial health.
- Management uses the budget as a guide, but can adjust actual operations to meet strategy and preserve financial health
- Board approves the budget and monitors actual performance against the budget
- Key metric of budget performance for the University is operating margin.



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June 27, 2024

# Resource Allocation Principles

- Provides each University with autonomy
- Each University retains all revenues generated through its own activities
  - Each university must balance operating, capital, debt, and growth initiatives
- System administration operates as a cost center providing services across the University, any growth in these services will be capped at 1% less revenue growth for the consolidated entity
- With autonomy comes accountability, as defined in CRR 140.025 Financial Accountability



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June 27, 2024

# Budget by Colors of Money

	Operations <sup>1</sup> \$1.3B	Auxiliaries \$0.6B	Healthcare & MU Clinical Operations \$2.2B	Gifts & Grants \$0.8B	Operating Cash Flow Margin	Depreciation & Interest Expense	Operating Margin
MU	12.0%	14.2%	-0.3%	6.5%	9.2%	-6.9%	2.3%
UMKC	6.2%	11.7%		13.8%	8.6%	-6.6%	2.0%
S&T	9.1%	44.7%		16.1%	14.5%	-12.2%	2.3%
UMSL	7.7%	12.9%		5.0%	7.3%	-10.0%	-2.7%
MUHC			8.4%		7.6%	-6.9%	1.5%
<b>Consolidated Margin</b>	<b>10.0%</b>	<b>15.3%</b>	<b>6.9%</b>	<b>8.4%</b>	<b>8.9%</b>	<b>-7.4%</b>	<b>1.5%</b>
	Moody's Adjustment				2.8%	0.2%	3.0%
	Moody's Calculated Consolidated Margin				<b>11.7%</b>	<b>-7.2%</b>	<b>4.5%</b>

1: Non-capital maintenance and repairs funded by plant reserves and service operations are included in operations.



# FY2025 Budget Operating Margin to Target

	Budget FY2025	Financial Plan FY2025	Target
<b>MU</b>	2.3%	2.7%	3.0%
<b>UMKC</b>	2.0%	2.2%	2.0%
<b>S&amp;T</b>	2.3%	2.0%	2.5%
<b>UMSL</b>	0.0% <sup>1</sup>	-0.7%	1.0%
<b>MU Healthcare</b>	1.6%	3.2%	4.0%
<b>Consolidated</b>	1.5%	2.6%	3.0%

<sup>1</sup>UMSL's Operating Margin adjusted for the one-time impact of Campus of the Future. Actual Margin is -2.7% including one-time demolition costs.





# FY2025 Operating Budget - MU

<i>Dollars in Thousands</i>	Operations	Auxiliary	SOM- Clinical Operations	Gifts & Grants	Operating Cash Flow	Depreciation & Interest Expense	Budget FY2025
Total Operating Revenue	\$ 836,771	\$ 455,120	\$ 389,203	\$ 381,182	\$ 2,062,275		\$ 2,062,275
Total Operating Expense	736,097	390,399	390,477	356,259	1,873,232	141,686	2,014,918
Net Operating Income	\$ 100,674	\$ 64,721	\$ (1,274)	\$ 24,923	\$ 189,044	\$ (141,686)	\$ 47,357
Operating Margin	12.0%	14.2%	-0.3%	6.5%	9.2%		2.3%



# FY2025 Operating Budget - UMKC

<i>Dollars in Thousands</i>	Operations	Auxiliary	Gifts & Grants	Operating Cash Flow	Depreciation & Interest Expense	Budget FY2025
Total Operating Revenue	\$ 311,317	\$ 78,570	\$ 95,172	\$ 485,059		\$ 485,059
Total Operating Expense	291,918	69,393	82,065	443,376	32,182	475,558
Net Operating Income	\$ 19,400	\$ 9,176	\$ 13,108	\$ 41,684	\$ (32,182)	\$ 9,502
Operating Margin	6.2%	11.7%	13.8%	8.6%		2.0%



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# FY2025 Operating Budget – S&T

<i>Dollars in Thousands</i>	Operations	Auxiliary	Gifts & Grants	Operating Cash Flow	Depreciation & Interest Expense	Budget FY2025
Total Operating Revenue	\$ 174,055	\$ 27,992	\$ 53,458	\$ 255,504		\$ 255,504
Total Operating Expense	158,206	15,486	44,875	218,567	31,093	249,660
Net Operating Income	\$ 15,849	\$ 12,506	\$ 8,583	\$ 36,937	\$ (31,093)	\$ 5,844
Operating Margin	9.1%	44.7%	16.1%	14.5%		2.3%



# FY2025 Operating Budget – UMSL

<i>Dollars in Thousands</i>	Operations	Auxiliary	Gifts & Grants	Operating Cash Flow	Depreciation & Interest Expense	Budget FY2025
Total Operating Revenue	\$ 176,460	\$ 11,739	\$ 58,933	\$ 247,132		\$ 247,132
Total Operating Expense	162,841	10,220	55,981	229,042	24,786	253,828
Net Operating Income	\$ 13,619	\$ 1,519	\$ 2,952	\$ 18,090	\$ (24,786)	\$ (6,696)
Operating Margin	7.7%	12.9%	5.0%	7.3%		-2.7%



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# FY2025 Operating Budget - MUHC

<i>Dollars in Thousands</i>	Operations	MU Healthcare	Gifts & Grants	Operating Cash Flow	Depreciation & Interest Expense	Budget FY2025
Total Operating Revenue	\$ -	\$ 1,853,151	\$ -	\$ 1,853,151		\$ 1,853,151
Total Operating Expense	-	1,697,803	-	1,697,803	127,022	1,824,825
Net Operating Income	\$ -	\$ 155,348	\$ -	\$ 155,348	\$ (127,022)	\$ 28,326
Operating Margin	0.0%	8.4%	0.0%	8.4%		1.5%



# Next Steps

- Board will approve FY2025 Dividend at the September Board meeting
- FY2024 Financial Performance update will be provided to the Board in November
- Financial plans will be completed in the Fall and presented to the Board in February
  - Quantify investments and balance against financial performance and capital needs
  - Plans will serve as basis for FY2026 budget process



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June 27, 2024

# Questions



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University of Missouri System

June 27, 2024

OPEN – FIN – 1- 57

Fiscal Year 2026 State Appropriations Request for Operations  
UM

The University's FY2026 operations appropriation request is due to the Missouri Department of Higher Education and Workforce Development (MDHEWD) each year by August 1. The Board of Curators will review the initial version of the request at the June 27, 2024 Board meeting and authorize the President to work with MDHEWD and state government leaders on securing appropriations for FY2026.

The University's request details are discussed in the body of this paper with the priority of securing continuing operational funding to support the University's future.



No. 2

Recommended Action - Fiscal Year 2026 State Appropriations Request for Operations, UM

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

The President is authorized to file a request for state appropriations for operations as follows:

- (1) Increased funding for Core Operations
- (2) Submit new requests for any higher education directives that might be identified prior to submission;
- (3) Submit Other Curator Programs Requests which includes core funding continuing at the same amounts and new requests for State Historical Society; and
- (4) Submit requests in Accordance with Legislative Requirements.

Any material deviations from estimates in the paper will be reviewed with the Board prior to submission to the State.

Roll call vote Finance Committee                      YES                      NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway

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

Roll call vote Full Board:                      YES                      NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

June 27, 2024

Fiscal Year 2026 State Appropriations Request for Operations  
UM

State Appropriations represent a significant contribution to the University's overall budget, representing over \$500 million in funding to support the University of Missouri's core mission. In FY2025, State of Missouri's budget remained strong with continued growth in tax revenues. The enacted FY2025 state budget contained increases for higher education. University will work with elected officials and the Coordinating Board for Higher Education (CBHE) to provide continued mission support for the University's education, research, professional degrees, and land-grant extension services.

For the FY2026 Appropriations Request, the University will employ a flexible strategy to try and maximize the amount of funding from the state. For operating appropriations, the University will seek to first protect the recurring funding, increase recurring funding to fund inflationary cost pressures, continue to delineate the increased cost of the university's research, extension, and professional education programs and participate in any other increases or changes proposed by the Missouri Department of Higher Education and Workforce Development (MDHEWD).

The outline of the appropriations request follows the format and requests proposed by the CBHE as the order of priority for the requests for the Governor for the FY2025 state budget. The priorities listed within this request follow the initial instructions provided by MDHEWD and have been reviewed by the Council of Chancellors.

**Summary of FY2025 Appropriations**

For FY2025, the University of Missouri received 3% core increase over FY2024. The university's core appropriations are separated mission component to reflect the state's share of cost for the Agriculture Extension Service, Professional Doctoral Degrees (MD, DDS, PharmD, etc.), and Research and Development. The separation of mission components demonstrates the cost differential of running land-grant and research operations when compared to other higher education institutions in the state.

**Table 1: Summary of TAFP Appropriations for FY2025**

<b>Item</b>	<b>Amount</b>
<b>UM Core Operations</b>	
Core for Educational Mission	\$289.80
Agricultural Extension Services	24.80
First Professional Doctorate Degrees	104.37
Research and Development Operations	82.44
<b>FY 2025 Total Core</b>	<b>\$501.41</b>
<b>Core Program and One-time Line Items</b>	
Agriculture Extension Service (One-time)	\$5.00
MU Greenley Research Water Works	0.27
MU Fischer Delta Research Center	1.00
MU Veterans Law Clinic	0.33
MU Fischer Delta Research Center Rice Breeders Association	0.12
Urban Gardening and Agriculture Extension Program (One-time)	0.15
Adult Leadership Training targeting Rural Leaders and Ag (One-time)	1.00
Missouri S&T Project Lead the Way	0.25
UMSL International Collaboration GR	1.55
UMSL Defense Medicine Technologies	0.60
UMSL Infectious Disease	0.25
Missouri Kidney Program Core	1.75
Missouri Telehealth Network	0.44
Show-Me Extension for Community Healthcare Outcomes	1.50
State Historical Society of Missouri Core	5.20
<b>Total Other Programs</b>	<b>\$19.41</b>
<b>Legislative Requirements</b>	
Debt Offset Tax Authority	\$1.40
Spinal Cord Injury Research	1.50
Seminary Fund	0.28
Missouri Returning Heroes (One-time)	0.00
<b>Total Legislative Requirements</b>	<b>\$3.18</b>
<b>Total FY 2025 Operating Appropriations</b>	<b>\$524.00</b>

Dollars in Millions

June 27, 2024

FY2025 operating appropriations of \$524.00 million increased by \$22.73 million (4.5%):

- Core appropriations increased by 3% or \$14.6 million
- A one-time appropriation of \$5.00 million for agriculture and extension services was added as a line-item, this was included in FY2024 appropriation but was subsequently vetoed by the Governor.
- Requested funding not provided for Alzheimer’s Research. However, the University is mandated by statute to request these funds each year.

**FY2026 Priorities**

The funding priorities for FY2026 will cover the following areas:

- 1) Core appropriations (with an inflationary increase)
- 2) Reappropriation of capital funding included in previous cycles that remains unspent as capital projects progress
- 3) Maintenance of line items
- 4) Participation in MDHEWD funding requests

*1) Core Appropriations Inflationary Increase* – participate in the requested inflationary increase with CBHE, with any increase split based on share of current core budget. Inflationary core increases will be requested for each mission area. Table 2 shows the inflationary request calculation at 3.4% inflation, the amount of CPI-U through the first quarter of 2024. MDHEWD has yet to provide guidance on the amount of the inflationary increase.

**Table 2: Inflationary Request Calculation**

	MU	UMKC	Missouri S&T	UMSL	U-Wide Mission Support	3% Withhold	Total
Agricultural Extension Service	\$24.05					\$.74	\$24.80
First Professional Doctorate Degrees	60.86	36.38		4.00		3.13	104.37
Research and Development Operations	64.03	5.52	7.96	2.45		2.48	82.44
Core Educational Mission	108.35	49.26	53.76	61.92	7.82	8.69	289.80
<b>FY2025 Total</b>	<b>257.29</b>	<b>91.16</b>	<b>61.72</b>	<b>68.37</b>	<b>7.82</b>	<b>15.04</b>	<b>501.41</b>
April Inflation	3.4%	3.4%	3.4%	3.4%	3.4%	3.4%	3.4%
<b>Inflationary Increase</b>	<b>\$8.75</b>	<b>\$3.10</b>	<b>\$2.10</b>	<b>\$2.33</b>	<b>\$2.26</b>	<b>\$.51</b>	<b>\$17.05</b>
Dollars in Millions							

Beyond the inflationary request, the University plans to participate in any core appropriations increase requested by MDHEWD. The amount of the inflationary request will be calibrated to align with the overall request made by MDHEWD. The University will continue to advocate for funding across the different areas of mission that are unique to public research universities.

2) *Capital Funding included in House Bills 6, 17, and 20 FY2025* – the University will continue to work to utilize capital funding appropriated and request re-appropriations as projects typically take multiple years and budget cycles to complete.

<b>Line Item</b>	<b>Amount</b>
MU NextGen Radio pharmaceuticals and Animal Science	\$138,277,358
MU Center for Autism and Neurodevelopment Disorders	31,500,000
UMKC Health Sciences District Development	79,716,358
S&T Missouri Protoplex	41,250,000
UMSL Campus of the Future	73,806,232
MU Delta Research Center	498,952
MU Delta Research, Extension -Soil Laboratory	2,000,000
MU Delta Research, Extension – Greenhouse and Farm Buildings	1,000,000
MU Missouri Seed Foundation	2,407,027
MU Veterinary Laboratory	7,543,326
MU Veterinary Hospital and Veterinary Laboratory	43,000,000
MU Meat Laboratory Facility	35,000,000
Eckles Hall Missouri Wine and Grape Institute Research Center	3,000,000
MU NextGen Radiopharmaceuticals	20,000,000
UMKC St. Joe Medical School	396,016
S&T Advancing Missouri’s STEM Education & Workforce	50,000,000
S&T Advanced Manufacturing Building	5,000,000
UMSL Engineering Building	25,000,000
Library and Research Center at S&T	5,373,475
S&T Manufacturing Innovation Center	15,000,000

3) *Maintenance of Other Programs*– the university requests that other programs continue at current amounts.

The University also submits appropriation requests for other programs that have historically been provided as line items by elected officials. These appropriation requests along with program descriptions are submitted to MDHEWD each year by August 1. As with the other operating appropriations, the first goal in the FY2026 appropriations request is to maintain FY2025 core appropriations funded from General Revenue if state revenue is sufficient. Other programs include the State Historical Society of Missouri, Missouri S&T Project Lead the Way, Missouri Telehealth Network, Show-Me Extension for Community Healthcare Outcomes, and Missouri Kidney Program

**Table 3: FY2026 Other Program Request**

Increase for Agriculture Extension Services (One-time)	\$5.00
MU Law Veterans Clinic	0.33
MU Fischer Delta Research Center	1.00
MU Fischer Delta Research Center Rice Breeders Association	0.12
Urban Gardening and Agriculture Extension Program (One-time)	0.15
Adult Leadership Training targeting Rural Leaders and Ag (One-time)	1.00
MU Greenley Research Center	0.27
S&T Project Lead the Way	0.25
Missouri Kidney Program Core	1.75
Missouri Telehealth Network Core	0.44
Show-Me Extension for Community Healthcare Outcomes	1.50
State Historical Society of Missouri Core	4.31
State Historical Society of Missouri Core Increase	1.82
State Historical Society of Missouri 3 FTE	2.55
<b>Total Other Programs</b>	<b>\$20.49</b>

Dollars in Millions

4) *Participation in MDHEWD Funding Requests* – the universities will participate in any funding requests through the CBHE and seek an equitable share of any funding for new programming. In addition to the request for appropriation, each University will submit MoExcels grant proposals through this year’s process. MoExcels proposals will line up with each University’s priorities and seek to maximize one-time operating investments from the state and the universities’ share of these resources.

### **Request for Legislative Requirements**

The University has certain appropriation requests made annually as one-time or recurring requests in accordance with legislative authority. The University will request these appropriations continue in FY2026, as summarized in Table 4. The first three rows have special fund sources that cannot be used for any other purpose and have been annually appropriated. The Spinal Cord Injury Fund balance is decreasing so the full \$1.5 million may not be available for research grants. The University requests more spending authority than necessary in case the fund collections increase.

Missouri statutory language requires the University request funding for Alzheimer’s Research and Missouri Returning Heroes from General Revenue. Alzheimer’s Research has not been appropriated in recent years. Missouri Returning Heroes received appropriation for the first time in FY2024 but did not receive appropriation in FY2025. The Returning Heroes act provides discounted tuition to veterans returning from foreign service. The Returning Heroes request is higher than in past years due to legislation that expands the returning heroes’ opportunities to those pursuing master’s and non-professional doctoral degrees.

**Table 4: FY2026 Legislative Requirements**

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Debt Offset Tax Authority	\$1.40
Spinal Cord Injury Research	1.50
Seminary Fund	0.28
Alzheimer's Research (One-time)	0.68
Missouri Returning Heroes (One-time)	0.69
<b>Total Legislative Requirements</b>	<b>\$4.55</b>

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Dollars in Millions

## Appendix A

This appendix provides background information on each appropriation line item.

### UM Core Operations

The \$501.41 million **Core Operating Appropriation** contributes 12% of the University's total operating revenues. Continued core funding is required to provide high quality student instruction, improvement in academic productivity, expansion of research and creative works, outreach and engagement with the citizens of Missouri, and continued focus on student access and success.

### Other Programs

The **MU Veteran's Law Clinic** supports veterans in their claims requests with the Department of Veteran's Affairs (VA). The clinic provides law students with experiential learning opportunities to represent clients in their claims. This additional funding supports an expansion of the clinic's services to ensure it does not turn away veterans who need help in filing and adjudicating their claims with the VA.

The **MU Delta Research Center** is a longstanding agricultural research enterprise with five sites encompassing over 1,100 acres in the Missouri bootheel. This direct funding will be utilized by the center to expand research initiatives to meet the needs of Missouri farmers in southeast Missouri. For 2023 through 2025, the center received additional funding for the **Rice Breeders Association** to support rice variety research.

The **MU Lee Greenly Jr Memorial Research Center** evaluates efficient and profitable crop production while emphasizing soil conservation, water quality and energy efficiency. It is involved in developing a systems approach for irrigation and drainage using drain tile and studying paired watersheds to evaluate the impact of agroforestry practices on water quality.

The **Missouri S&T Project Lead the Way** appropriation permits S&T to partner with Southern Ozarks Alliance for Rural Development (SOAR) to increase the number of school districts utilizing Project Lead the Way (PLTW). The goal of PLTW is to help students understand STEM education is relevant in their lives and see potential for future careers. This appropriation helps school districts offset costs of STEM programs and to provide state match for potential federal grant money. This funding provides grants to school districts within the targeted 10 county area for their needs in teaching STEM curriculums.

The purpose of the **UMSL International Collaboration** appropriation is to increase international collaboration and promote economic opportunity that helps attract and retain new economic activity to the St. Louis region. University of Missouri-St. Louis works with BioSTL, a regional nonprofit dedicated to advancing prosperity in St. Louis through the growth of biosciences and other targeted innovation clusters. The centerpiece of the program is the GlobalSTL program, which connects the economies of St. Louis and targeted international locations (including Israel, Ireland, and other countries) with a robust pipeline that engages and links experienced professionals to identify international

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companies who are likely to be attracted by St. Louis' convergence of corporate, university, and entrepreneurial strengths. Specific business strategies will partner prospective international companies with St. Louis and Missouri resources that might lead to recruitment of a presence in St. Louis. BioSTL provides matching funds. **UMSL Defense Medicine Technologies** and **UMSL Infectious Disease** were added as similar programs in the 2022 legislative session.

The **Missouri Kidney Program** (MoKP) is a state funded program, administered by the University of Missouri School of Medicine. MoKP provides financial assistance with transportation to and from dialysis, medication assistance, and insurance premium assistance to eligible Missourians who have kidney failure and are on dialysis, or have received a kidney transplant. The program supports education and research, partners with dialysis centers and transplant centers statewide, and has longstanding expertise in health insurance coverage for kidney disease, including MO HealthNet (Medicaid) and Medicare. All participants must meet residency, citizenship, financial eligibility and medical conditions.

The **Missouri Telehealth Network** (MTN) gives patients in underserved areas access to University of Missouri Health Care specialists without leaving their communities. The network saves patients transportation, discomfort and emotional costs. While all states have at least one telehealth network, Missouri has one of the most developed telehealth networks in the country.

**Show-Me Extension for Community Healthcare Outcomes** (ECHO) provides comprehensive, best-practice care to patients with complex health conditions, in their local community. Show-Me ECHO facilitates collaboration between specialty and primary care that expands access to best-practice medical care across Missouri. It links expert specialist teams at an academic 'hub' with primary care clinicians in local communities – the 'spokes' of the model. Together, they participate in regularly scheduled Show-Me ECHO clinics, which are virtual grand rounds, combined with mentoring and patient case presentations and discussions. The state provides this general revenue funding for creating and implementing programs in Asthma, Autism, Community Health Work, Child Psychology, Chronic Pain Management, Dermatology, Healthcare Ethics, Hepatitis C, and Opioid Use Disorder and the topics are increasing.

The **State Historical Society of Missouri** (SHSMO) is the premier research center for the study of Missouri state and local history. Founded in May 1898 by the Missouri Press Association and established as a trustee of the state by the legislature a year later, SHSMO collects, preserves, and publishes materials that enhance research and support learning opportunities in the study of Missouri and the Midwest. The general revenue core appropriation supports the operations for the SHSMO and the University is a fiscal agent for the SHSMO.

## Requests in Accordance with Legislative Requirements

The University annually makes certain requests, one-time or recurring, in accordance with legislative authority.

The **Debt Offset Tax Authority** appropriation is to cover unpaid debts owed to the institution by state taxpayers. This reduces bad debt expense to the institution by capturing state income tax refunds to pay overdue accounts owed to the University. The appropriation request is for \$1.4 million from the Debt Offset Escrow Fund.

The **Spinal Cord Injury Fund** supports research in Missouri in the area of spinal cord injuries and congenital or acquired disease processes. The Spinal Cord Injury Fund was established by legislature in 2001 and is funded from a two-dollar surcharge on all county ordinance, criminal and traffic violation cases. State statute stipulates the Board of Curators shall request annually an appropriation for research awards and award administration from the Spinal Cord Injury Fund. Research awards are a maximum of \$250,000 per award. An appropriation of \$1.5 million is needed to ensure the new and existing awards can be funded. The University continues to request \$1.5 million in spending authority, but the current appropriation is limited by available fund balance.

The state **Seminary Fund** provides income for the general operation of University of Missouri – Columbia’s College of Agriculture and Missouri Science and Technology’s School of Mines and Metallurgy. This fund consists primarily from the sale of land grant property and other moneys donated on behalf of the University to the State of Missouri. Per state statute, the Seminary monies belong to the University but the state must hold the securities. A request must be made to the state annually for earnings, estimated at \$275,000, from the monies to be distributed to the University.

State statute (section 172.801, RSMo) requires the Board of Curators to annually request an appropriation to fund **Alzheimer’s Research**. The statute indicates the amount of the request be computed annually and be not less than \$200,000 adjusted for inflation. In addition, the request is to include administrative costs not to exceed ten percent of the appropriation for research. The estimated amount in FY2026 is \$681,560. No appropriations have been provided for this program since FY 2005.

The **Missouri Returning Heroes Act** limits the amount of tuition charged to combat veterans who meet certain criteria but allows institutions to request the tuition waived in the following year’s appropriation request. MDHEWD requests this item annually for all institutions and includes the amount in the budget request provided to the Governor. This request has not been funded in previous years, FY 2009 through FY 2022, but has benefited over 3,200 unduplicated students at an estimated \$7.9 million. The legislation has been expanded from undergraduate degrees to allow returning heroes opportunities to pursue master’s and non-professional doctoral degrees. The impact for the FY2026 request is estimated to be \$687,510.

# University of Missouri System Board of Curators Finance Committee

June 27, 2024



UMKC

MISSOURI  
S&T

UMSL

University of Missouri System

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# FY 2026 Core Request - \$518 M

Core Appropriation	\$501.41
FY2026 Inflationary Increase	17.05
Pursue State Higher Ed Directives	TBD
<b>Total Core Requests</b>	<b>518.46</b>
Other Programs	20.49
Legislative Requirements	4.55
<b>Total Requests for Other Programs &amp; Legislative Requirements</b>	<b>25.04</b>
<b>FY2026 Total Request for Appropriations</b>	<b>543.50</b>
\$millions	



# Questions



UMKC

MISSOURI  
S&T

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University of Missouri System

OPEN – FIN – 2-14

June 27, 2024

Approval of Fiscal Year 2026 State Capital Priorities  
UM

Included herein is the FY 2026 State Capital Appropriations Request. The Missouri Department of Higher Education and Workforce Development (MDHEWD) requests a top priority capital project every year for potential inclusion in appropriations requests to elected officials. These projects represent the top priorities of each University. Capital projects funded by the state can shift based upon the availability of funding and the priorities of elected officials and state offices. The action item authorizes the President to work with state officials on obtaining capital funding for each University.

The Capital Plans for each University were approved at the April Board of Curators meeting, and the recommended projects for submission to the state are all included in those plans. The projects included in the State Capital Appropriations Request are: Mizzou Momentum at MU; New Science, Engineering, and Research Building at UMKC; Bioplex at Missouri S&T; and Stadler Hall Renovation and Infrastructure Upgrades at UMSL.

University of Missouri Appropriations Request for Capital Items							
	<i>Capital Improvement Summary</i>				<i>Economic Impact Factors</i>		
Facility Name	Campus	State Request	University Amount	Total	Impact on Overall Economy	Earnings Generated	Jobs Generated
<i>State Appropriations Projects</i>							
MIZZOU Momentum	MU	\$200,000,000	\$150,000,000	\$350,000,000	\$787,500,000	\$283,500,000	5,103
New Science, Engineering, and Research Building	UMKC	\$75,000,000	\$50,000,000	\$125,000,000	\$281,250,000	\$101,250,000	1,823
Bioplex	S&T	\$68,705,600	\$68,705,600	\$137,411,200	\$309,175,000	\$111,303,000	2,003
Stadler Hall Renovation	UMSL	\$70,000,000	\$0	\$70,000,000	157,500,000	\$56,700,000	1,021
<b>Total State Appropriations Projects</b>		<b>\$413,705,600</b>	<b>\$268,705,600</b>	<b>\$682,411,200</b>	<b>\$1,535,425,000</b>	<b>\$552,753,000</b>	<b>9,950</b>

## **MIZZOU Momentum Projects**

### ***University of Missouri – Columbia***

Mizzou is the first public university west of the Mississippi and has become Missouri's largest higher education institution, the state's leader in public research, nationally ranked for academic excellence and value, and competes at the highest levels of college athletics. An investment of \$200,000,000 allows this trajectory to continue and supports Mizzou's transformational mission for all Missourians. MIZZOU Momentum Projects include:

**Academic Infrastructure** investments will target 1) **Jesse Hall Exterior Repairs.** This iconic building has stood as the heart of the campus for more than a century and graces the north terminus of the Francis Quadrangle. This effort will repair the deteriorating exterior brick and stone masonry, ornamental and structural painted metal, and replace the original wood windows. 2) **Pickard Hall Decommissioning & Removal.** Pickard Hall is located on the east side of the historic Francis Quadrangle and currently sits empty due to contamination from nearly century-old innovative research in radium extraction. This project will complete the decommissioning and removal process required by the Nuclear Regulatory Commission (NRC) and prepare the historic Quad site for future development. 3) **Electrical Interconnection.** Mizzou's electrical power needs have grown significantly and will soon reach levels beyond our power plant's capacity. This initiative will increase the amount of electricity we can purchase from the nation's electric grid by adding a high-voltage transmission line from Columbia's Grindstone Substation, relocating Mizzou's Hospital Drive substation, and reconfiguring existing electrical infrastructure.

**Memorial Stadium Improvements** will honor a venue that will soon celebrate 100 years of football, bringing together Tiger fans from all walks of life. This project imagines the next century of the game day experience by constructing an addition on the north concourse, adding open-air observation decks, modernizing existing concessions and restrooms, creating a new stadium gateway, and much more. The design preserves and memorializes the north end zone "Rock M." The Memorial Stadium Improvement Project will be the face of Mizzou Athletics, creating a new standard for the Southeastern Conference (SEC) and an intimidating place for opposing teams to play.

**NextGen MURR Phase II** continues to provide funding to make Missouri a leader in radiopharmaceuticals and nuclear research. For almost 60 years, the MU Research Reactor (MURR) has been at the forefront of innovation in nuclear science, including critical cancer-fighting research and medical isotope production. This funding will continue the progress towards construction of a new, larger research reactor to expand that capacity and serve the next generation of nuclear research. Phase I of this project is currently underway, with programming and design work scheduled to begin later this year.

These investments are under consideration for state funding. If capital funding from the state is only available for research and educational purposes, the request will be modified to only include academic infrastructure and MURR.

## **New Science, Engineering, and Research Building,**

### ***University of Missouri - Kansas City***

June 27, 2024



The initial concept for a new Science, Engineering, and Research building provides additional program space for the College of Science and Engineering to meet growing demand in computer science and to provide additional research space to meet increased demand as UMKC seeks to transition from an R2 research institution to an R1 research institution.

Funding for the \$125,000,000 project will be from state appropriations and gifts.

### **Bioplex**

#### ***Missouri University of Science and Technology***

The Bioplex is a planned new construction project immediately North and West of the James E. Bertelsmeyer Hall. The project will bring faculty together from a broad range of academic programs who are currently engaged in medical or health-related research and allow for future research growth. This 124,000 gsf facility will be the final building project in S&T's new arrival district and will anchor the southern edge of the arrival court. The project cost includes research equipment required for the program.

The facility will be located directly adjacent to Bertelsmeyer Hall and near Schrenk Hall which together house S&T's chemical and biochemical engineering, chemistry, biological sciences, and environmental science programs. This adjacency will allow better collaboration between the research faculty.

With more than 20 faculty involved in medical or health-related research, S&T is positioned to have a significant impact on the future of medical research in a wide range of areas, including nano-delivery of medicines for cancer and other diseases, systems engineering approaches to matching kidneys with transplant patients, biomaterials to speed the healing of open wounds and bones, and neuroscientific research to help diagnose Alzheimer's disease.

S&T has secured major support from the National Institutes of Health in recent years, with funding increasing from \$280,000 in 2019 to over \$2.5 million in 2023 and a projected growth to \$15 million by 2030. All of this follows an investment of \$45.8 million in capital construction and renovation of chemical and biological engineering and biological sciences facilities since 2014, and \$28 million in planned renovations starting in fiscal year 2024.

This \$137,411,200 project will be funded with \$68,705,600 in gift funds and \$68,705,600 in State funds.

### **Stadler Hall Renovation and Infrastructure Upgrades**

#### ***University of Missouri - St. Louis***

Renovation of Stadler Hall will include renovating existing research laboratories, offices, classrooms, restrooms, and common core areas. The project provides new infrastructure (HVAC, electrical switchgear, building envelope, etc.), and the associated technology required to teach and learn in today's world. The project will also include extensive renovation to common use areas to

allow students to study and collaborate and will address life safety and ADA deficiencies. Exterior improvements include building envelope upgrades, signage improvements, sidewalks, accessible routes, doors, and steps. In addition to the needs for Stadler, UMSL's request incorporates necessary infrastructure upgrades to support research and student education including replacement of heating, cooling and electrical infrastructure for the North Campus.

This project is aligned with UMSL's ten-year Master Plan, Space Survey, and ISES Report by addressing technology, life-safety, building code and accessibility deficiencies. UMSL's research department has been operating in a facility that is 50+ years old with infrastructure that is failing and out of date. In addition, the technology in the building does not operate as designed, and research is being compromised as a result. This project updates the interior of the research complex with state-of-the-art research and technology that will align with the survivability of UMSL's long term plans.

Funding for the \$70,000,000 project will be provided by a state appropriation.

No. 3

Recommended Action - Fiscal Year 2026 State Capital Priorities for Improvements, UM

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

That President Choi be authorized to submit to the appropriate state offices the University's Fiscal Year 2026 State Capital Priorities as shown on the accompanying schedules in accordance with any state funding restrictions and rules.

Roll call vote Finance Committee                      YES                      NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway

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

Roll call vote Full Board:                      YES                      NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

# University of Missouri System Board of Curators June 27, 2024

FY26 State Capital Priorities  
UM



UMKC

MISSOURI  
S&T

UMSL

University of Missouri System

June 27, 2024

OPEN – FIN – 3-7

# FY 2026 State Capital Priorities

University of Missouri Appropriations Request for Capital Items							
Facility Name	Capital Improvement Summary				Economic Impact Factors		
	Campus	State Request	University Amount	Total	Impact on Overall Economy	Earnings Generated	Jobs Generated
<i>State Appropriations Projects</i>							
MIZZOU Momentum	MU	\$200,000,000	\$150,000,000	\$350,000,000	\$787,500,000	\$283,500,000	5,103
New Science, Engineering, and Research Building	UMKC	\$75,000,000	\$50,000,000	\$125,000,000	\$281,250,000	\$101,250,000	1,823
Bioplex	S&T	\$68,705,600	\$68,705,600	\$137,411,200	\$309,175,000	\$111,303,000	2,003
Stadler Hall Renovation	UMSL	\$70,000,000	\$0	\$70,000,000	157,500,000	\$56,700,000	1,021
<b>Total State Appropriations Projects</b>		<b>\$413,705,600</b>	<b>\$268,705,600</b>	<b>\$682,411,200</b>	<b>\$1,535,425,000</b>	<b>\$552,753,000</b>	<b>9,950</b>





————— University of Missouri System —————

Approval of Amendments to the Collected Rules & Regulation 70.060  
Consulting, Design and Construction [Master Construction Agreements (MCA), Emergency  
Construction, and Competitive bidding language]

Facilities Planning and Development is requesting modifications to CRR 70.060 as shown in the enclosed document.

This proposed revision would raise the limit for Master Construction Agreements (MCA) from \$1,000,000 per project to \$3,000,000 per project. MCAs are utilized by the campuses to complete small construction, renovation, and repair projects efficiently. MCA contractors serve as general contractors for projects and manage the construction process. MCAs are annual agreements with optional extensions up to a total of five-years, which results in administrative efficiencies for the University and is valuable for time sensitive projects. MCAs also result in enhanced collaboration between the University and contractors due to ongoing relationships. MCA contractors procure subcontractors for each project through a competitive bids process, ensuring costs remain low. Inflation and other factors have significantly increased the cost of construction (nearly double) over the last two decades based on that data. Increasing the limit for MCAs will provide campuses with an efficient alternative to traditional design-bid-build (DBB) delivery when needed.

This proposed revision would allow the Executive Vice President for Finance/Chief Financial Officer or their delegate to waive the need for competitive bidding in emergencies to protect individuals or property. The proposed language regarding emergency procurements is substantially similar to the language in section 34.045, RSMo, which is applicable to state of Missouri contracts.

The proposed revision also adds language to the CRR clarifying when informal and formal competitive bidding are required and the use of alternative construction procurement methods, such as construction manager-at-risk and design-build. Currently, bidding for projects under \$100,000 and alternative procurement methods are addressed in the Facilities Management Policy and Procedure Manual; however, this information would be more suitable for the CRR. The proposed revision also reorganizes several existing CRR provisions (regarding advertising projects over \$100,000 and donor funded projects) and makes minor wording changes for purposes of clarification.

Recommended Action - Amendments to Collected Rules and Regulations CRR 70.060  
Consulting, Design and Construction

It was recommended and endorsed by UM System President Mun Y. Choi and Executive Vice President for Finance & Operations, Chief Financial Officer Ryan Rapp, moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the following actions be approved:

That the Collected Rules and Regulations CRR 70.060 for Consulting, Design and Construction be amended as shown in the attached document in order to:

raise the limit for Master Construction Agreements (MCA) from \$1,000,000 per project to \$3,000,000 per project; and

allow the Executive Vice President for Finance/Chief Financial Officer or their delegate to waive the need for competitive bidding in emergencies to protect individuals or property; and

clarify when competitive bidding is required; and

reorganize provisions and make minor word changes for the purpose of clarification.

Roll call vote Finance Committee                      YES                      NO

- Curator Blitz
- Curator Fry
- Curator Graves
- Curator Holloway

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

Roll call vote:    YES                      NO

- Curator Blitz
- Curator Fry
- Curator Graves
- Curator Holloway
- Curator Krewson
- Curator Layman
- Curator Sinquefield
- Curator Wenneker
- Curator Williams



## Chapter 70: Execution of Instruments

### 70.060 Consulting, Design and Construction

Bd. Min. 12-12-64, p. 26,063; Amended Bd. Min. 11-19-76; 8.250 R.S.Mo 1929; Bd. Min. 5-5-89, Amended Bd. Min. 12-15-95; Bd. Min. 9-27-01; Bd. Min. 3-22-02; Bd. Min. 12-11-03, Bd. Min. 5-5-06, Bd. Min. 10-5-07, Bd. Min. 9-24-10, Bd. Min. 8-19-11, Bd. Min. 1-31-13; Amended 4-11-14; Amended Bd. Min. 12-7-17. Amended Bd. Min. 6-27-24

- A. The President shall have the authority to hire consultants and administer facilities design and construction operations in conformance with these Collected Rules and Regulations.
- B. Board of Curators have an active role in establishing capital plans and priorities. Board of Curators approval shall be obtained for:
  1. Campus master plans when significant changes are proposed, but not less than every five years.
  2. A five-year Capital Project Plan for each campus annually. Capital Project Plan shall include:
    - a. All planned new buildings or additions over \$5,000,000 in project cost
    - b. All planned renovation/infrastructure projects over \$8,000,000 in project cost
    - c. Planned total spend summary for all capital improvements each year

All projects on the capital project plan shall support the campus strategic plan and master plan.
  3. The architectural and engineering consultant fees and the project budget, funding, and scope of work for renovation/infrastructure projects with a total project cost of \$8,000,000 or more; or new building or addition projects with a total project cost of \$5,000,000 or more, before the design of the project is started. This does not include the pre-design programming and planning to develop the estimated project cost, scope of work, and justification.
  4. The architectural and engineering consultant when the fees are more than \$500,000 and the project cost is less than \$5,000,000 for new buildings

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and additions; or the project cost is less than \$8,000,000 for renovation/infrastructure projects.

5. If a previously approved Capital project changes substantially in size, scope, or cost, or the source of funds changes significantly, the Capital project shall be reapproved before construction begins, the Guaranteed Maximum Price is increased, or, in the case of a project that includes a series of construction contracts, the next construction contract is approved.

C. Debt Financed Capital Improvement Projects

1. Board of Curators approval shall be obtained for the use of debt financing on a project prior to bidding.
2. Facilities and Administrative Cost Recovery may be used as an identified funding source for the debt service on debt issued to build research and academic buildings at the University of Missouri, on a facility for which the Board has approved a business plan. The approval of a business plan must occur prior to hiring architectural and engineering consultants. See CRR 145.010 *"Policy for Management and Oversight of Debt and Derivatives"* for overall limitations on this funding source.

D. Project Design of new buildings and building additions with a total project cost greater than \$5,000,000 will be provided to the Board of Curators for informational review before design is complete and construction contracts are awarded.

E. An annual report shall be provided to the Board with the status of each project on the approved capital plan and all projects approved by the Board.

F. Competitive Bidding:

1. Contracts for construction, renovation or repair projects estimated to cost \$25,000 or more shall be awarded to the lowest, responsive, responsible bidder or bidders based on pre-established criteria.
2. For contracts estimated to cost between \$25,000 and \$100,000, bids shall be solicited from a minimum of three contractors.
3. Contracts estimated to cost \$100,000 or more shall be advertised for bid for five days in two newspapers with a circulation of at least 50,000, and at least two times over a 10-day period in a newspaper located in the county

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where the work is located, or advertised through an electronic medium if this method is more advantageous in soliciting competitive bids.

4. Competitive bids are not required for:
  - a. Contracts Under \$25,000. Contracts estimated at less than \$25,000, if there are no savings or advantages to bidding.
  - b. Master Construction Agreements. Individual projects may be performed under Master Construction Agreements without seeking competitive bids for the individual projects, regardless of whether the cost exceeds the thresholds set forth herein.
  - c. Donor Funded Projects. Notwithstanding any provision herein to the contrary, the Board of Curators may, at its discretion, dispense with the competitive bidding and advertising requirements in this Section 70.060 as they relate to the construction of a building on University property if a private donor providing all or substantially all of the money for such construction project specifies, as a condition precedent to the donation, the architect and/or the general contractor to be utilized. In exercising its discretion concerning such donations, the Board of Curators' considerations will include, but not necessarily be limited to, the capabilities and prior experience of the architect and/or general contractor with similar construction projects, the ability of the University to assure that the building meets all applicable construction standards and codes, any conflicts of interest that may exist for the donor, the architect and/or general contractor and the ability of the University to assure compliance with all applicable contract terms and laws related to such construction projects. Any such approval by the Board of Curators to dispense with the competitive bidding and advertising requirements in this Section 70.060 shall be contingent upon the willingness of the specified architect and/or general contractor to agree in writing to comply with standard University contract terms and conditions and to perform such contractual obligations for a specified amount within the specified budget for the construction project.
  - d. Emergency Procurement. The Vice President for Finance/Chief Financial Officer or the Director of Facilities Planning and Development or other delegate may waive the requirement of competitive bids for construction and repair projects when they determine that there exists a threat to life, property, public health, or public safety or when immediate expenditure is necessary for

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repairs to University property in order to protect against further loss of or damage to University property, to prevent or minimize serious disruption in University services, or to ensure the integrity of University records. Emergency procurements shall be limited to only the supplies or services necessary to meet the emergency and shall be made with as much competition as is practicable under the circumstances. A written description of the basis for the emergency and reasons for the selection of the particular contractor should be included in the contract file.

G. Master Construction Agreements

1. Master Construction Agreements shall be competitively procured based on price, qualifications, and quality of services provided in evaluating the best proposal.
2. The construction cost for individual projects performed by Master Construction Agreements shall not exceed \$3,000,000.
3. Master Construction Agreements shall be annual agreements with annual renewals not to exceed a total contract period of (5) five years.
4. Subcontracts for individual projects performed under a Master Construction Agreement should be procured using as much competition as practical under the circumstances but are not required to be formally advertised for bidding.

H. Alternative Procurement Methods

1. Notwithstanding anything to the contrary herein, contracts for construction projects may be awarded and performed using the Design-Build, Construction Manager at Risk, or Construction Manager Agency project delivery methods, in accordance with applicable statutes or policies created by the President or the President's designee.

I. Codes and Standards

1. All facilities shall comply with International Code Council (ICC) Codes. Codes and standards required by accreditation agencies will also be used unless the ICC requirements are more stringent. In the event that special design features and/or construction systems are not covered in the ICC codes, the applicable edition of the National Fire Protection Association

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(NFPA) family of standards and/or the NFPA 101 Life Safety Code shall be used.

2. All facilities shall be in conformance with the Americans with Disabilities Act.
  - K. Preference shall be given to Missouri products and firms when such are equally or better suited for the intended purpose and can be obtained without additional cost. Firms are considered "Missouri firms" if they maintain a regular place of business in the State of Missouri.
  - L. The prevailing wages in the community where construction takes place shall be required to be paid on all construction projects for construction work. Prevailing wages are not required to be paid for maintenance work.

## Chapter 70: Execution of Instruments

### 70.060 Consulting, Design and Construction

Bd. Min. 12-12-64, p. 26,063; Amended Bd. Min. 11-19-76; 8.250 R.S.Mo 1929; Bd. Min. 5-5-89, Amended Bd. Min. 12-15-95; Bd. Min. 9-27-01; Bd. Min. 3-22-02; Bd. Min. 12-11-03, Bd. Min. 5-5-06, Bd. Min. 10-5-07, Bd. Min. 9-24-10, Bd. Min. 8-19-11, Bd. Min. 1-31-13; Amended 4-11-14; Amended Bd. Min. 12-7-17. **Amended Bd. Min 6-27-24**

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- B. Board of Curators have an active role in establishing capital plans and priorities. Board of Curators approval shall be obtained for:
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    - a. All planned new buildings or additions over \$5,000,000 in project cost
    - b. All planned renovation/infrastructure projects over \$8,000,000 in project cost
    - c. Planned total spend summary for all capital improvements each year

All projects on the capital project plan shall support the campus strategic plan and master plan.
  3. The architectural and engineering consultant fees and the project budget, funding, and scope of work for renovation/infrastructure projects with a total project cost of \$8,000,000 or more; or new building or addition projects with a total project cost of \$5,000,000 or more, before the design of the project is started. This does not include the pre-design programming and planning to develop the estimated project cost, scope of work, and justification.
  4. The architectural and engineering consultant when the fees are more than \$500,000 and the project cost is less than \$5,000,000 for new buildings

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and additions; or the project cost is less than \$8,000,000 for renovation/infrastructure projects.

5. If a previously approved Capital project changes substantially in size, scope, or cost, or the source of funds changes significantly, the Capital project shall be reapproved before construction begins, the Guaranteed Maximum Price is increased, or, in the case of a project that includes a series of construction contracts, the next construction contract is approved.

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1. Board of Curators approval shall be obtained for the use of debt financing on a project prior to bidding.
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- D. Project Design of new buildings and building additions with a total project cost greater than \$5,000,000 will be provided to the Board of Curators for informational review before design is complete and construction contracts are awarded.

- E. An annual report shall be provided to the Board with the status of each project on the approved capital plan and all projects approved by the Board.

F. Competitive Bidding:

1. Contracts for construction, renovation or repair projects estimated to cost \$25,000 or more shall be awarded to the lowest, responsive, responsible bidder or bidders based on pre-established criteria.
2. For contracts estimated to cost between \$25,000 and \$100,000, bids shall be solicited from a minimum of three contractors.
3. Contracts estimated to cost \$100,000 or more shall be advertised for bid for five days in two newspapers with a circulation of at least 50,000, and at least two times over a 10-day period in a newspaper located in the county

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where the work is located, or advertised through an electronic medium if this method is more advantageous in soliciting competitive bids.

4. Competitive bids are not required for:

a. Contracts Under \$25,000. ~~1.~~— ~~Projects—~~Contracts estimated at less than \$25,000, if there are no savings or advantages to bidding.

b. Master Construction Agreements. Individual projects may be performed under Master Construction Agreements without seeking competitive bids for the individual projects, regardless of whether the cost exceeds the thresholds set forth herein.

c. Donor Funded Projects. Notwithstanding any provision herein to the contrary, the Board of Curators may, at its discretion, dispense with the competitive bidding and advertising requirements in this Section 70.060 as they relate to the construction of a building on University property if a private donor providing all or substantially all of the money for such construction project specifies, as a condition precedent to the donation, the architect and/or the general contractor to be utilized. In exercising its discretion concerning such donations, the Board of Curators' considerations will include, but not necessarily be limited to, the capabilities and prior experience of the architect and/or general contractor with similar construction projects, the ability of the University to assure that the building meets all applicable construction standards and codes, any conflicts of interest that may exist for the donor, the architect and/or general contractor and the ability of the University to assure compliance with all applicable contract terms and laws related to such construction projects. Any such approval by the Board of Curators to dispense with the competitive bidding and advertising requirements in this Section 70.060 shall be contingent upon the willingness of the specified architect and/or general contractor to agree in writing to comply with standard University contract terms and conditions and to perform such contractual obligations for a specified amount within the specified budget for the construction project.

d. Emergency Procurement. The Executive Vice President for Finance/Chief Financial Officer or Director of Facilities Planning and Development or other delegate may waive the requirement of competitive bids for construction and repair projects when they determine that there exists a threat to life, property, public health, or public safety or when immediate expenditure is necessary for

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repairs to University property in order to protect against further loss of or damage to University property, to prevent or minimize serious disruption in University services, or to ensure the integrity of University records. Emergency procurements shall be limited to only the supplies or services necessary to meet the emergency and shall be made with as much competition as is practicable under the circumstances. A written description of the basis for the emergency and reasons for the selection of the particular contractor should be included in the contract file.

#### G. Master Construction Agreements

1. Master Construction Agreements shall be competitively procured bid-based on including price, firms' qualifications, and quality of services provided in evaluating the best proposal.
- ~~2. Individual projects may be performed under Master Construction Agreements without seeking competitive bids for the individual projects.~~
- ~~3.2.~~ The construction cost for individual projects performed by Master Construction Agreements shall not exceed \$~~3~~1,000,000.
- ~~4.3.~~ Master Construction Agreements shall be annual agreements with annual renewals not to exceed a total contract period of (5) five years.
- ~~5.4.~~ Subcontracts for individual projects performed under a Master Construction Agreement do not require advertising for bidding should be procured using as much competition as practical under the circumstances but are not required to be formally advertised for bidding.

#### H. Alternative Procurement Methods

1. Notwithstanding anything to the contrary herein, contracts for construction projects may be awarded and performed using the Design-Build, Construction Manager at Risk, or Construction Manager Agency project delivery methods, in accordance with applicable statutes or policies created by the President or the President's designee.

#### I. Codes and Standards

1. All facilities shall comply with International Code Council (ICC) Codes. Codes and standards required by accreditation agencies will also be used unless the ICC requirements are more stringent. In the event that special design features and/or construction systems are not covered in the ICC

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codes, the applicable edition of the National Fire Protection Association (NFPA) family of standards and/or the NFPA 101 Life Safety Code shall be used.

2. All facilities shall be in conformance with the Americans with Disabilities Act.

~~I. Construction projects, other than individual projects performed on master construction agreements, estimated to cost \$100,000 or more shall be advertised for bid for five days in two newspapers with a circulation of at least 50,000, and at least two times over a 10-day period in a newspaper located in the county where the work is located, or advertised through an electronic medium if this method is more advantageous in soliciting competitive bids.~~

~~J. Notwithstanding any provision herein to the contrary, the Board of Curators may, at its discretion, dispense with the competitive bidding and advertising requirements in this Section 70.060 as they relate to the construction of a building on University property if a private donor providing all or substantially all of the money for such construction project specifies, as a condition precedent to the donation, the architect and/or the general contractor to be utilized. In exercising its discretion concerning such donations, the Board of Curators' considerations will include, but not necessarily be limited to, the capabilities and prior experience of the architect and/or general contractor with similar construction projects, the ability of the University to assure that the building meets all applicable construction standards and codes, any conflicts of interest that may exist for the donor, the architect and/or general contractor and the ability of the University to assure compliance with all applicable contract terms and laws related to such construction projects. Any such approval by the Board of Curators to dispense with the competitive bidding and advertising requirements in this Section 70.060 shall be contingent upon the willingness of the specified architect and/or general contractor to agree in writing to comply with standard University contract terms and conditions and to perform such contractual obligations for a specified amount within the specified budget for the construction project.~~

K. Preference shall be given to Missouri products and firms when such are equally or better suited for the intended purpose and can be obtained without additional cost. Firms are considered "Missouri firms" if they maintain a regular place of business in the State of Missouri.

L. The prevailing wages in the community where construction takes place shall be required to be paid on all construction projects for construction work. Prevailing wages are not required to be paid for maintenance work.

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Architect/Engineer Hiring  
Discovery Ridge Radioisotope Science Center  
MU

The University of Missouri – Columbia requests approval for Architect/Engineer hiring for the Discovery Ridge Radioisotope Science Center project. A funding plan for the total project budget of \$39,000,000 will be presented as part of the request for project approval.

The DOE Isotope Program (DOE IP) has collaborated with the University of Missouri Research Reactor (MURR) for decades. More recently, a collaboration has been established that allowed MURR to be one of the first to join DOE IP's University Network. This new partnering approach will allow for MURR to supply economical supply of R&D grade Se-75 and Lu-177, the exact radioisotope is being discussed between the DOE and MURR. Establishment of the Radioisotope Science Center will build on this proven partnership and provide a facility for continued collaboration. The proposed center would leverage MURR's competency and experience in the weekly processing and supply of short-lived isotopes as active pharmaceutical ingredients.

The Discovery Ridge Radioisotope Science Center facility will consist of approximately 24,000 to 26,000 gross square feet. The facility spaces will consist of hot cell processing space, support functions and services, offices, and collaboration spaces. The proposed new building will be sited at Discovery Ridge immediately adjacent to the new Discovery Drive Road addition. Utilities have been extended as part of this new road construction and are available for the proposed new building. A new drive will be constructed as part of the new building allowing access to a new parking area as well as shipping and receiving at the West end of the site. Parking has been provided to accommodate full occupancy of the building and pedestrian access is available for the new entry as well as exit access around the building.

BSA LifeStructures will utilize and team with IMEG for all engineering discipline support (structural, mechanical, plumbing, fire protection and electrical) and provide radiological laboratory and equipment planning, management and procurement/delivery coordination. They presented a focused and well-balanced team of experts with in-depth knowledge of radiological design. The committee was impressed by BSA Lifestructures and the enthusiasm with which their team approached the design and their knowledge of radiological lab and flow design. The BSA LifeStructures team has completed multiple large relevant projects similar to this center.

The selection committee also interviewed Clark and Enersen, Kansas City; BSA Life Structures, St. Louis; and Peckham Guyton Albers & Viets, Inc., St. Louis, Missouri (PGAV).

The fee percentage was determined from the University of Missouri's "Architectural and Engineering Basic Services Fee Estimating Guidelines" with UM Facilities Planning and Development Office. The project is a Type V – New Construction (considerably more complex than average), and the maximum basic services calculated fee permitted is 7.0% of the \$20,800,000 construction cost, for \$1,456,000. Additional services to the basic design fee include Special Federal & NRC regulatory compliance/reporting, radioisotope laboratory/process planner coordination with owner for environmental assessment, commissioning and building envelope review, inclusion of the programming and pre-design confirmation and audio/visual and

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equipment list for specialized areas. A total of \$745,000 in pre-approved additional services was added to the basic services fee amount to arrive at a total maximum fee of \$2,201,000.

The project will be delivered as a Construction Manager at Risk (CMR) project due to the size, complexity, and schedule requirements of this project. The intent is to solicit the CMR immediately after approval of the A/E Hire to assist with preconstruction services (cost estimating, schedule, identify long lead items and procurement strategies, value engineering and constructability). The project is expected to be complete by November 2027.

No. 5

Recommended Action - Architect/Engineer Hire, Discovery Ridge Radioisotope Science Center, MU

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

the Architect/Engineer hire for the Discovery Ridge Radioisotope Science Center, MU at the maximum amount of \$2,201,000.

Roll call vote Finance Committee                      YES                      NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway

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

Roll call vote Full Board:                              YES                              NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

Enabling Project Approval  
Memorial Stadium Improvements  
MU

To meet the schedule for the Memorial Stadium Improvement Project, the Board of Curators need to consider an enabling project of up to \$9,500,000. The enabling project is necessary to order materials for the project with longer lead times for targeted occupancy in the fall 2026 football season.

The enabling project will allow for the purchase of long lead time mechanical and electrical equipment. Additionally, it may include rerouting some utilities, expanded parking and early sitework to enable mobilization for the 2024 football season. The combined budget for these enabling actions will be included in the full project budget and funding plan for the Memorial Stadium Improvements Project.

The project will be delivered using Construction Manager at Risk (CMR) due to the size, complexity, and schedule requirements. The CMR was solicited via a competitive process and was awarded to Whiting Turner in May 2024. Whiting Turner is assisting with preconstruction services (cost estimating, schedule, identify long lead items and procurement strategies, value engineering and constructability).

No. 6

Recommended Action - Enabling Project Approval, Memorial Stadium North Concourse Improvements, MU

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

the Enabling Project Approval, Memorial Stadium North Concourse Improvements, MU

Funding of the project budget is from:

University Reserves and/or Debt	<u>\$9,500,000</u>
Total Funding	\$9,500,000

Roll call vote Finance Committee                      YES                      NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway

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

Roll call vote Full Board:                                      YES                                      NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

# GOVERNANCE, COMPENSATION AND HUMAN RESOURCES COMMITTEE

Robert W. Fry, Chair  
Lyda Krewson  
Jeff L. Layman  
Robin R. Wenneker

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

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

## II. **Governance**

### A. **Scope**

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

### B. **Executive Liaison**

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

### C. **Responsibilities**

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

1. ensuring that Board members are prepared to carry out their fiduciary duties to the University;
2. providing and monitoring a substantive orientation process for all new Board members and a continuous board education program for existing Board members;
3. periodic review and coordination, with timing and substance agreed upon with the Board Chair, of appropriate Board self-assessments;
4. establishing expectations and monitoring compliance of individual Board members, when made necessary by circumstances or requested by the Board Chair;



5. periodic review of the Board's adherence to its rules of conduct, including conflict-of-interest and disclosure policies, and that it otherwise maintains the highest levels of integrity in everything it does;
6. periodic review of the adequacy of the Board's bylaws and other Collected Rules and Regulations adopted by the Board that pertain to its internal operations (all recommendations for bylaws amendment shall first be considered by this Committee);
7. periodic review and identification of best practices in institutional and Board governance;
8. monitoring and assessing external influences and relationships with affiliated entities; and
9. those additional matters customarily addressed by the governance committee of a governing board for an institution of higher education.

### III. Compensation and Human Resources

#### A. Scope

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

#### B. Executive Liaison

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

#### C. Responsibilities

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

1. Performance and compensation of individuals reporting directly to the Board:
  - a. President
  - b. General Counsel
  - c. Secretary of the Board of Curators
2. Pursuant to Section 320.020 of the Collected Rules and Regulations, appointment or change of appointment of the following shall be reported to and approved by the Board before the effective date:
  - a. Vice Presidents
  - b. Chancellors
3. Intercollegiate Athletics

Pursuant to Section 270.060 of the Collected Rules and Regulations, contracts for Directors of Intercollegiate Athletics and Head Coaches may not exceed five (5) years and shall not include buyout clauses calling for the individual to receive more than the balance of the contractually anticipated annual compensation (excluding incentives, allowances, expense

stipends, etc.) the individual would have earned under the remaining terms of the contract, unless approved by the UM Board of Curators upon the recommendation of the President.

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

**Amendments to Collected Rules and Regulations 600.020, 600.030, and 600.040 Addressing  
Conduct On or After August 14, 2020 and  
Removal from Publication of CRR Chapter 600 Sections Addressing Conduct  
Occurring Prior to August 14, 2020**

**Executive Summary**

Rules in Chapter 600 of the Collected Rules and Regulations address standards and procedures for addressing equal opportunity in education and employment, Title IX, and equity matters. They play an important role in the University’s compliance with federal and state anti-discrimination laws and regulations and supporting the University’s educational environment.

In review of these rules by equity and Title IX staff and the Office of the General Counsel, a handful of revisions have been identified as important to align the University’s rules with federal standards and improve operation and understanding of the rules. Additional revisions to CRR Chapter 600 will be needed prior to August, 2024 to address recent changes made by the U.S. Department of Education to federal Title IX rules. As work continues on that somewhat larger set of revisions for presentation to the Board later this summer, it will be important and advantageous to the University’s processes to make certain limited revisions at this time.

The limited revisions proposed in the attached documents are summarized below:

- Amendments to the definition of “rape” in CRR 600.020.B.1.c(i) to align with changes to the definition of that term in the FBI’s National Incident-Based Reporting System;
- Amendments to CRRs 600.030.Q.1 and 600.040.R.1 to change the term of the Equity Resolution Hearing Panel Pool members from one year to two years. Allowing two year terms will make the vetting and training process less burdensome and more efficient.
- Amendment to 600.040.R.2 to changing the makeup of the hearing panel to consist of a Hearing Officer and two randomly chosen members of the hearing panel pool for each hearing. This will more closely mirror the hearing process in CRR 600.030. Presently under CRR 600.040.R.2, one of the hearing panelists acts as hearing panel chair, presiding over the hearing and making rulings on procedural issues. Experience indicates that having a Hearing Officer, who is a trained individual, presiding over the hearing, and making the decisions on the various procedural issues that arise is preferred by hearing panelists and improves the process.
- Remove from publication the CRR Chapter 600 Sections addressing conduct occurring prior to August 14, 2020. When federal Title IX regulations became effective on August 14, 2020, they did not apply retroactively. As a result, the University revised its rules for conduct occurring after that date, but kept in place the preexisting rules and process for conduct prior to August 14, 2020. With the passage of time, we are no longer seeing complaints involving conduct prior to August 14, 2020, and while it is possible we may

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get some complaints of such conduct, we anticipate that this would be fairly rare. It is confusing to employees and students to have two sets of CRRs on our website, one for conduct alleged to have occurred prior to August 14, 2020 and one for conduct alleged to have occurred on or after August 14, 2020. We believe removing the pre-August 14, 2020 CRRs will make the rules less confusing, but have little adverse impact on employees and students. The rules can be maintained on file for use if needed.

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No. 1

Recommended Action - Amendments to CRR 600.020, 600.030, and 600.040 Addressing Conduct On or After August 14, 2020 and Removal from Publication of Chapter CRR Chapter 600 Sections Addressing Conduct Occurring Prior to August 14, 2020

It was recommended by General Counsel Mark Menghini, 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:

Collected Rules and Regulations CRR 600.020 Sexual Harassment under Title IX - for matters involving conduct alleged to have occurred on or after August 14, 2020; 600.030 Resolution Process for Resolving Complaints of Sexual Harassment under Title IX - for matters involving conduct alleged to have occurred on or after August 14, 2020; and 600.040 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization - for matters involving conduct alleged to have occurred on or after August 14, 2020 be amended as indicated in the attached documents; and

The following Collected Rules and Regulations be removed from publication on the University's website and retained on file with the Board Secretary only for use if needed to address conduct alleged to have occurred prior to August 14, 2020:

- 600.010 Equal Employment/Educational Opportunity and Nondiscrimination Policy - for matters involving conduct alleged to have occurred prior to August 14, 2020;
- 600.020 Sex Discrimination, Sexual Harassment and Sexual Misconduct in Education/Employment Policy - for matters involving conduct alleged to have occurred prior to August 14, 2020;
- 600.030 Equity Resolution Process for Resolving Complaints of Discrimination, Harassment, and Sexual Misconduct against a Student or Student Organization - for matters involving conduct alleged to have occurred prior to August 14, 2020;
- 600.040 Equity Resolution Process for Resolving Complaints of Discrimination, Harassment, and Sexual Misconduct against a Faculty Member - for matters involving conduct alleged to have occurred prior to August 14, 2020;
- 600.050 Equity Resolution Process for Resolving Complaints of Discrimination, Harassment, and Sexual Misconduct against a Staff Member - for matters involving conduct alleged to have occurred prior to August 14, 2020; and
- 600.060 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against the University of Missouri - for matters involving conduct alleged to have occurred prior to August 14, 2020

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# 600.020 Sexual Harassment under Title IX - for matters involving conduct alleged to have occurred on or after August 14, 2020

Executive Order 40, 4-8-14; Revised 6-19-14; Revised 9-22-14 by Executive Order 41. Revised 2-9-17 with an effective date of 3-1-17; Revised 7-28-20 with effective date of 8-14-20; Revised 9-7-23; Revised 6/27/2024.

A. Sexual Harassment in Education. The University is committed to affording equal employment and education opportunities to its employees and students, and to creating an environment free from discrimination and harassment. In furtherance of these commitments, both University policy and applicable state and federal law, prohibit all students, employees, volunteers and visitors at the University from engaging in sexual harassment in a University education program or activity against a person in the United States.

This policy applies to sexual harassment in any phase of the University's employment process, any phase of its admission or financial aid programs, and all other aspects of its education programs or activities. For purposes of this policy, "education program or activity" includes locations, events, or circumstances over which the University exercised substantial control over both the respondent and the context in which the conduct occurs, and includes any building owned or controlled by a student organization that is officially recognized by the University. This policy and CRR 600.030 do not apply to sexual harassment that happens outside the United States, even when the conduct occurs in an education program or activity of the University.

B. Definitions

1. Sexual Harassment. Sexual harassment means conduct on the basis of sex that satisfies one or more of the following:

- a. "Quid Pro Quo" - An employee of the University conditioning the provision of an aid, benefit, or service of the University on an individual's participation in unwelcome sexual conduct;
- b. "Hostile Environment" - Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the University's education program or activity;
- c. "Sexual assault" - Any sexual act that constitutes rape, sodomy, sexual assault with an object, fondling, incest, and statutory rape, as defined below:
  - (i) "Rape" is penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, or by a sex-related object. This definition also includes instances in which the victim is incapable of giving consent because of temporary or

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permanent mental or physical incapacity (including due to the influence of drugs or alcohol) or because of age. Physical resistance is not required on the part of the victim to demonstrate lack of consent. Attempted Rape is included.

(ii) "Sodomy" is oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.

(iii) "Sexual Assault with an Object" is using an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity. An "object" or "instrument" is anything used by the offender other than the offender's genitalia.

(iv) "Fondling" is the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.

(v) "Incest" is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by Missouri law.

(vi) "Statutory Rape" is sexual intercourse with a person who is under the statutory age of consent as defined by Missouri law.

- d. "Dating Violence" - The term "dating violence" means violence committed by a person-- (A) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (B) where the existence of such a relationship shall be determined based on a consideration of the following factors: (i) The length of the relationship, (ii) The type of relationship, and (iii) The frequency of interaction between the persons involved in the relationship.
- e. "Domestic violence" - The term "domestic violence" includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of Missouri, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of Missouri.
- f. "Stalking" - The term "stalking" means engaging in a course of conduct directed at a specific person knowing or consciously disregarding a substantial and unjustifiable risk that the course of conduct would cause a reasonable person



to--(A) fear for their safety or the safety of others; or (B) suffer substantial emotional distress.

2. Consent to Sexual Activity. Consent to sexual activity is knowing and voluntary. Consent to sexual activity requires of all involved persons a conscious and voluntary agreement to engage in sexual activity. Each person engaged in the sexual activity must have met the legal age of consent. It is the responsibility of each person to ensure they have the consent of all others engaged in the sexual activity. Consent must be obtained at the time of the specific activity and can be withdrawn at any time. Consent, lack of consent, or withdrawal of consent may be communicated by words or non-verbal acts. Someone who is incapacitated cannot consent. Silence or absence of resistance does not establish consent. The existence of a dating relationship or past sexual relations between the Parties involved should never by itself be assumed to be an indicator of consent. Further, consent to one form of sexual activity does not imply consent to other forms of sexual activity. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Coercion and force, or threat of either, invalidates consent.
3. Incapacitated or incapacitation. A state in which rational decision-making or the ability to consent is rendered impossible because of a person's temporary or permanent physical or mental impairment, including but not limited to physical or mental impairment resulting from drugs or alcohol, disability, sleep, unconsciousness or illness. Consent does not exist when the Respondent knew or should have known of the other individual's incapacitation. Incapacitation is determined based on the totality of the circumstances. Incapacitation is more than intoxication but intoxication can cause incapacitation. Factors to consider in determining incapacity include, but are not limited to, the following:
  - a. Lack of awareness of circumstances or surroundings (e.g., an inability to understand, either temporarily or permanently, the who, what, where, how and/or why of the circumstances; blackout state)
  - b. Inability to physically or verbally communicate coherently, particularly with regard to consent (e.g., slurred or incoherent speech)
  - c. Lack of full control over physical movements (e.g., difficulty walking or standing without stumbling or assistance)
  - d. Physical symptoms (e.g., vomiting or incontinence).

- C. Title IX Coordinators. Duties and responsibilities of the University's Title IX Coordinators include monitoring and oversight of overall implementation of Title IX compliance at the University, including coordination of training, education, communications and coordination with the Title IX Processes for faculty, staff, students and other members of the University community and investigation of Formal Complaints of sexual harassment, and to respond promptly to reports of sexual harassment of which the University has actual knowledge in University education programs and activities. The University may designate Deputy Coordinators as needed to assist in fulfillment of the Coordinator's duties and responsibilities. NOTE: All references to "Title IX Coordinator" throughout this policy refer to the Title IX Coordinator or the Coordinator's designee. For the purposes of this section, "actual knowledge" means notice of sexual harassment or allegations of sexual harassment to a University's Title IX Coordinator or any official of the University who has authority to institute corrective measures on behalf of the

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University. Imputation of knowledge based solely on vicarious liability or constructive notice is insufficient to constitute actual knowledge. This standard is not met when the only official of the University with actual knowledge is the respondent. The mere ability or obligation to report sexual harassment or to inform a student about how to report sexual harassment, or having been trained to do so, does not qualify an individual as one who has authority to institute corrective measures on behalf of the University. The following individuals serve as Title IX Coordinators and are designated to handle inquiries regarding the Anti-Discrimination policies and to serve as coordinators for purposes of Title IX compliance:

University of Missouri System and University of Missouri-Columbia

Andy Hayes, J.D.

Title IX Coordinator

Address:

University of Missouri

320 Jesse Hall

Columbia, MO 65211

Telephone: (573) 882-2824

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[equity.missouri.edu](http://equity.missouri.edu)

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Title IX Coordinator

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Title IX Coordinator

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Rolla, MO 65409

Telephone: 573-341-4655

Email: [hirtz@mst.edu](mailto:hirtz@mst.edu)

[titleix.mst.edu](http://titleix.mst.edu)

University of Missouri-St. Louis

Jessica Swederske

Acting Title IX Coordinator

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153 JC Penney North

St. Louis, MO 63121

Telephone: 314-516-5748

Email: [swederskej@umsl.edu](mailto:swederskej@umsl.edu)

[www.umsl.edu/title-ix](http://www.umsl.edu/title-ix)

University of Missouri Health System

Julia Ware, M.D., J.D., CPHRM, CPPS

Title IX Coordinator

Address:

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One Hospital Drive  
Columbia, MO 65212  
Telephone: 573-882-8187  
Email: [wareja@health.missouri.edu](mailto:wareja@health.missouri.edu)

If the report of alleged sexual harassment in a University education program or activity involves the University's Title IX Coordinator, reports may be made to the System Title IX Coordinator. If the report involves the System Title IX Coordinator, reports may be made to the System President. The contact information for the System President is:

Office of the President  
105 Jesse Hall  
Columbia, MO 65211  
Telephone: 573-882-2011  
Email: [president@umsystem.edu](mailto:president@umsystem.edu)

NOTE: The above-listed contact information for Title IX Coordinators may be updated as needed and without requiring the approval of the Board of Curators.

- D. Title IX Resolution Process. The University is committed to preventing and eliminating impermissible sexual harassment in its education programs, activities and employment. To that end, the University maintains policies regarding reporting, investigation, and resolution of complaints of sexual harassment. Specifically, please see:

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

- E. Designated Officials. The following are the officials designated by the University as those who have "authority to institute corrective measures." These officials are mandated reporters and shall report to the Title IX Coordinators any information that puts them on notice of sexual harassment or allegations of sexual harassment.

1. The President of the University of Missouri System;
2. The Chancellors of each University in the University of Missouri System;
3. The Provosts of each University in the University of Missouri System; and
4. The Chief Human Resource Officers for each University in the University of Missouri System.

Any person having inquiries concerning the application of Title IX should contact their respective UM System or University Title IX Coordinator.

#### F. Reporting Sexual Harassment

1. Students, Employees, Volunteers, and Visitors. Students, employees, volunteers, and visitors of the University who have experienced any form of sexual harassment are encouraged to report the incident promptly to the appropriate Title IX Coordinator listed in Section 600.020.C. above. In addition, students, volunteers, and visitors of the University who have witnessed such conduct are encouraged to report the incident promptly to the appropriate Title IX Coordinator. The University will respond to all such reports pursuant to one of its Title IX and Equity Resolution Processes (see Sections 600.030, 600.040, 600.050).
2. Mandated Reporters. Any employee of the University, except as noted below, who becomes aware of sexual harassment as defined in this policy is a Mandated Reporter, regardless of whether the recipient of the behavior is a student, employee, volunteer or visitor of the University.

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3. Employees with a Legal Obligation or Privilege of Confidentiality. Employees with a legal obligation or privilege of confidentiality (including health care providers, counselors, lawyers, and their associated staff) are not considered Mandated Reporters and are not required to report when the information is learned in the course of a confidential communication. This also means that the employee seeking the exemption is employed by the University for that specific purpose and was acting in that capacity when the confidential disclosure was made. If the information is not learned in the course of confidential communication (for example, behavior is observed in class) then the employee has the same obligation as a Mandated Reporter.
4. Designated Confidential Employees. Consistent with the law and upon approval from the Office of the General Counsel, Universities may also designate non-professional counselors or advocates as confidential for purposes of this policy and, therefore, excluded from the definition of Mandated Reporters.
5. Required Reporting. A Mandated Reporter is required to promptly report the information to the appropriate Title IX Coordinator. The Mandated Report must be made regardless of whether the person reporting the information to the Mandated Reporter requests confidentiality and regardless of how the Mandated Reporter becomes aware of the offensive behavior (personal observation, direct information from the subject of the behavior, indirect information from a third party, etc.). If the Complainant requests confidentiality or that a report not be pursued, the Mandated Reporter should warn the Complainant that, at this stage in the process, the Mandated Reporter must report all known information to the Title IX Coordinator.
6. Content of Mandated Report to Title IX Coordinator. Mandated Reporters must report all details that they possess. This includes names of the Parties, if known, and all other information in the Mandated Reporter's possession.
7. Non-compliance. Failure to comply with this policy can result in disciplinary action. Employees also are cautioned that non-compliance with this policy may increase their risk of personal liability. Further, an individual who fails to report as required under this policy may be determined to be ineligible for defense or protection under Section 490.010 of the University's Collected Rules and Regulations for any associated claims, causes of action, liabilities or damages.

G. Retaliation, False Reporting, and Witness Intimidation or Harassment.

1. Retaliation is any adverse action taken against a person because of that person's participation or refusal to participate in the process set forth in CRR 600.030. Any person who engages in such retaliation shall be subject to disciplinary action, up to and including expulsion or termination, in accordance with applicable procedures. Any person who believes they have been subjected to retaliation is encouraged to notify the Title IX Coordinator. The University will promptly respond to all claims of retaliation in accordance with this policy. Examples of prohibited retaliation include, but are not limited to, giving a lesser grade than the student's academic work warrants because the student filed a report or Formal Complaint of sexual harassment; giving lower than justified performance appraisals because a person was a witness in an investigation of alleged sexual harassment; and threatening

- to spread false information about a person for filing a report or Formal Complaint of sexual harassment.
2. False reporting is making an intentional false report or accusation in relation to this policy as opposed to a report or accusation, which, even if erroneous, is made in good faith.
  3. The University prohibits attempted or actual intimidation or harassment of any potential Party or witness. No individual participating in an investigation relating to a report or Formal Complaint that a violation of this policy has occurred should, directly or through others, take any action which may interfere with the investigation.
  4. For situations involving alleged retaliation, false reporting, and witness intimidation or harassment, the Title IX Coordinator will refer the matter to the appropriate University process.
- H. U.S. Department of Education—Office for Civil Rights. Inquiries concerning the application of Title IX also may be referred to the United States Department of Education's Office for Civil Rights. For further information on notice of nondiscrimination and for the address and phone number of the U.S. Department of Education office which serves your area call 1-800-421-3481.  
The State of Missouri Regional Office for Civil Rights is located in Kansas City and is available to provide assistance.

Office for Civil Rights  
U.S. Department of Education  
One Petticoat Lane  
1010 Walnut, 3rd Floor, Suite 320  
Kansas City, MO 64106  
Telephone: 816-268-0550  
FAX: 816-268-0559  
TDD: 800-877-8339  
Email: [OCR.KansasCity@ed.gov](mailto:OCR.KansasCity@ed.gov)

# 600.020 Sexual Harassment under Title IX - for matters involving conduct alleged to have occurred on or after August 14, 2020

Executive Order 40, 4-8-14; Revised 6-19-14; Revised 9-22-14 by Executive Order 41. Revised 2-9-17 with an effective date of 3-1-17; Revised 7-28-20 with effective date of 8-14-20; [Revised 9-7-23](#); ~~Revised 6/27/2024~~

A. Sexual Harassment in Education. The University is committed to affording equal employment and education opportunities to its employees and students, and to creating an environment free from discrimination and harassment. In furtherance of these commitments, both University policy and applicable state and federal law, prohibit all students, employees, volunteers and visitors at the University from engaging in sexual harassment in a University education program or activity against a person in the United States.

This policy applies to sexual harassment in any phase of the University's employment process, any phase of its admission or financial aid programs, and all other aspects of its education programs or activities. For purposes of this policy, "education program or activity" includes locations, events, or circumstances over which the University exercised substantial control over both the respondent and the context in which the conduct occurs, and includes any building owned or controlled by a student organization that is officially recognized by the University. This policy and CRR 600.030 do not apply to sexual harassment that happens outside the United States, even when the conduct occurs in an education program or activity of the University.

B. Definitions

1. Sexual Harassment. Sexual harassment means conduct on the basis of sex that satisfies one or more of the following:

- a. "Quid Pro Quo" - An employee of the University conditioning the provision of an aid, benefit, or service of the University on an individual's participation in unwelcome sexual conduct;
- b. "Hostile Environment" - Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the University's education program or activity;
- c. "Sexual assault" - Any sexual act that constitutes rape, sodomy, sexual assault with an object, fondling, incest, and statutory rape, as defined below:
  - (i) "Rape" [is penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, or by a sex-related object. This definition also includes instances in which the victim is incapable of giving consent because of temporary or](#)

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permanent mental or physical incapacity (including due to the influence of drugs or alcohol) or because of age. Physical resistance is not required on the part of the victim to demonstrate lack of consent. ~~is the carnal knowledge of a person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity. There is "carnal knowledge" if there is the slightest penetration of the vagina or penis by the sex organ of the other person.~~ Attempted Rape is included.

(ii) "Sodomy" is oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.

(iii) "Sexual Assault with an Object" is using an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity. An "object" or "instrument" is anything used by the offender other than the offender's genitalia.

(iv) "Fondling" is the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.

(v) "Incest" is sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by Missouri law.

(vi) "Statutory Rape" is sexual intercourse with a person who is under the statutory age of consent as defined by Missouri law.

- d. "Dating Violence" - The term "dating violence" means violence committed by a person-- (A) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (B) where the existence of such a relationship shall be determined based on a consideration of the following factors: (i) The length of the relationship, (ii) The type of relationship, and (iii) The frequency of interaction between the persons involved in the relationship.
- e. "Domestic violence" - The term "domestic violence" includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of Missouri, or by any other person against an adult or youth victim who is

protected from that person's acts under the domestic or family violence laws of Missouri.

- f. "Stalking" - The term "stalking" means engaging in a course of conduct directed at a specific person knowing or consciously disregarding a substantial and unjustifiable risk that the course of conduct would cause a reasonable person to--(A) fear for their safety or the safety of others; or (B) suffer substantial emotional distress.

- 2. Consent to Sexual Activity. Consent to sexual activity is knowing and voluntary. Consent to sexual activity requires of all involved persons a conscious and voluntary agreement to engage in sexual activity. Each person engaged in the sexual activity must have met the legal age of consent. It is the responsibility of each person to ensure they have the consent of all others engaged in the sexual activity. Consent must be obtained at the time of the specific activity and can be withdrawn at any time. Consent, lack of consent, or withdrawal of consent may be communicated by words or non-verbal acts.

Someone who is incapacitated cannot consent. Silence or absence of resistance does not establish consent. The existence of a dating relationship or past sexual relations between the Parties involved should never by itself be assumed to be an indicator of consent. Further, consent to one form of sexual activity does not imply consent to other forms of sexual activity. Consent to engage in sexual activity with one person does not imply consent to engage in sexual activity with another. Coercion and force, or threat of either, invalidates consent.

- 3. Incapacitated or incapacitation. A state in which rational decision-making or the ability to consent is rendered impossible because of a person's temporary or permanent physical or mental impairment, including but not limited to physical or mental impairment resulting from drugs or alcohol, disability, sleep, unconsciousness or illness. Consent does not exist when the Respondent knew or should have known of the other individual's incapacitation. Incapacitation is determined based on the totality of the circumstances. Incapacitation is more than intoxication but intoxication can cause incapacitation.

Factors to consider in determining incapacity include, but are not limited to, the following:

- a. Lack of awareness of circumstances or surroundings (e.g., an inability to understand, either temporarily or permanently, the who, what, where, how and/or why of the circumstances; blackout state)
- b. Inability to physically or verbally communicate coherently, particularly with regard to consent (e.g., slurred or incoherent speech)
- c. Lack of full control over physical movements (e.g., difficulty walking or standing without stumbling or assistance)
- d. Physical symptoms (e.g., vomiting or incontinence).

- C. Title IX Coordinators. Duties and responsibilities of the University's Title IX Coordinators include monitoring and oversight of overall implementation of Title IX compliance at the University, including coordination of training, education, communications and coordination with the Title IX Processes for faculty, staff, students and other members of the University community and investigation of Formal Complaints of sexual harassment, and to respond promptly to reports of sexual harassment of which the University has actual knowledge in University education programs and activities. The

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University may designate Deputy Coordinators as needed to assist in fulfillment of the Coordinator's duties and responsibilities. NOTE: All references to "Title IX Coordinator" throughout this policy refer to the Title IX Coordinator or the Coordinator's designee. For the purposes of this section, "actual knowledge" means notice of sexual harassment or allegations of sexual harassment to a University's Title IX Coordinator or any official of the University who has authority to institute corrective measures on behalf of the University. Imputation of knowledge based solely on vicarious liability or constructive notice is insufficient to constitute actual knowledge. This standard is not met when the only official of the University with actual knowledge is the respondent. The mere ability or obligation to report sexual harassment or to inform a student about how to report sexual harassment, or having been trained to do so, does not qualify an individual as one who has authority to institute corrective measures on behalf of the University. The following individuals serve as Title IX Coordinators and are designated to handle inquiries regarding the Anti-Discrimination policies and to serve as coordinators for purposes of Title IX compliance:

University of Missouri System and University of Missouri-Columbia

Andy Hayes, J.D.

Title IX Coordinator

Address:

University of Missouri

320 Jesse Hall

Columbia, MO 65211

Telephone: (573) 882-2824

Email: [hayesas@missouri.edu](mailto:hayesas@missouri.edu)

[equity.missouri.edu](http://equity.missouri.edu)

University of Missouri-Kansas City

KC Atchinson, J.D.

Title IX Coordinator

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Administrative Center

5115 Oak Street, Room 212D

Kansas City, MO 64112

Telephone: 816-235-6705

Email: [atchinsonk@umkc.edu](mailto:atchinsonk@umkc.edu)

[www.umkc.edu/titleix](http://www.umkc.edu/titleix)

Missouri University of Science and Technology

Paul Hirtz, Ph.D.

Title IX Coordinator

Address:

Technology Development Center

900 Innovation Drive, Suite 500

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Telephone: 573-341-4655

Email: [hirtz@mst.edu](mailto:hirtz@mst.edu)

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If the report of alleged sexual harassment in a University education program or activity involves the University's Title IX Coordinator, reports may be made to the System Title IX Coordinator. If the report involves the System Title IX Coordinator, reports may be made to the System President. The contact information for the System President is:

Office of the President  
105 Jesse Hall  
Columbia, MO 65211  
Telephone: 573-882-2011  
Email: [president@umsystem.edu](mailto:president@umsystem.edu)

NOTE: The above-listed contact information for Title IX Coordinators may be updated as needed and without requiring the approval of the Board of Curators.

- D. Title IX Resolution Process. The University is committed to preventing and eliminating impermissible sexual harassment in its education programs, activities and employment. To that end, the University maintains policies regarding reporting, investigation, and resolution of complaints of sexual harassment. Specifically, please see:  
Section 600.030 – Resolution Process for Resolving Complaints of Sexual Harassment Under Title IX
- E. Designated Officials. The following are the officials designated by the University as those who have "authority to institute corrective measures." These officials are mandated reporters and shall report to the Title IX Coordinators any information that puts them on notice of sexual harassment or allegations of sexual harassment.
1. The President of the University of Missouri System;
  2. The Chancellors of each University in the University of Missouri System;
  3. The Provosts of each University in the University of Missouri System; and
  4. The Chief Human Resource Officers for each University in the University of Missouri System.

Any person having inquiries concerning the application of Title IX should contact their respective UM System or University Title IX Coordinator.

F. Reporting Sexual Harassment

1. Students, Employees, Volunteers, and Visitors. Students, employees, volunteers, and visitors of the University who have experienced any form of sexual harassment are encouraged to report the incident promptly to the appropriate Title IX Coordinator listed in Section 600.020.C. above. In addition, students, volunteers, and visitors of the University who have witnessed such conduct are encouraged to report the incident promptly to the appropriate Title IX Coordinator. The University will respond to all such

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reports pursuant to one of its Title IX and Equity Resolution Processes (see Sections 600.030, 600.040, 600.050).

2. Mandated Reporters. Any employee of the University, except as noted below, who becomes aware of sexual harassment as defined in this policy is a Mandated Reporter, regardless of whether the recipient of the behavior is a student, employee, volunteer or visitor of the University.
3. Employees with a Legal Obligation or Privilege of Confidentiality. Employees with a legal obligation or privilege of confidentiality (including health care providers, counselors, lawyers, and their associated staff) are not considered Mandated Reporters and are not required to report when the information is learned in the course of a confidential communication. This also means that the employee seeking the exemption is employed by the University for that specific purpose and was acting in that capacity when the confidential disclosure was made. If the information is not learned in the course of confidential communication (for example, behavior is observed in class) then the employee has the same obligation as a Mandated Reporter.
4. Designated Confidential Employees. Consistent with the law and upon approval from the Office of the General Counsel, Universities may also designate non-professional counselors or advocates as confidential for purposes of this policy and, therefore, excluded from the definition of Mandated Reporters.
5. Required Reporting. A Mandated Reporter is required to promptly report the information to the appropriate Title IX Coordinator. The Mandated Report must be made regardless of whether the person reporting the information to the Mandated Reporter requests confidentiality and regardless of how the Mandated Reporter becomes aware of the offensive behavior (personal observation, direct information from the subject of the behavior, indirect information from a third party, etc.). If the Complainant requests confidentiality or that a report not be pursued, the Mandated Reporter should warn the Complainant that, at this stage in the process, the Mandated Reporter must report all known information to the Title IX Coordinator.
6. Content of Mandated Report to Title IX Coordinator. Mandated Reporters must report all details that they possess. This includes names of the Parties, if known, and all other information in the Mandated Reporter's possession.
7. Non-compliance. Failure to comply with this policy can result in disciplinary action. Employees also are cautioned that non-compliance with this policy may increase their risk of personal liability. Further, an individual who fails to report as required under this policy may be determined to be ineligible for defense or protection under Section 490.010 of the University's Collected Rules and Regulations for any associated claims, causes of action, liabilities or damages.

G. Retaliation, False Reporting, and Witness Intimidation or Harassment.

1. Retaliation is any adverse action taken against a person because of that person's participation or refusal to participate in the process set forth in CRR 600.030. Any person who engages in such retaliation shall be subject to disciplinary action, up to and including expulsion or termination, in accordance with applicable procedures. Any person who believes they have been subjected to retaliation is encouraged to notify the Title IX Coordinator. The University will promptly respond to all claims of

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retaliation in accordance with this policy.

Examples of prohibited retaliation include, but are not limited to, giving a lesser grade than the student's academic work warrants because the student filed a report or Formal Complaint of sexual harassment; giving lower than justified performance appraisals because a person was a witness in an investigation of alleged sexual harassment; and threatening to spread false information about a person for filing a report or Formal Complaint of sexual harassment.

2. False reporting is making an intentional false report or accusation in relation to this policy as opposed to a report or accusation, which, even if erroneous, is made in good faith.
3. The University prohibits attempted or actual intimidation or harassment of any potential Party or witness. No individual participating in an investigation relating to a report or Formal Complaint that a violation of this policy has occurred should, directly or through others, take any action which may interfere with the investigation.
4. For situations involving alleged retaliation, false reporting, and witness intimidation or harassment, the Title IX Coordinator will refer the matter to the appropriate University process.

H. U.S. Department of Education—Office for Civil Rights. Inquiries concerning the application of Title IX also may be referred to the United States Department of Education's Office for Civil Rights. For further information on notice of nondiscrimination and for the address and phone number of the U.S. Department of Education office which serves your area call 1-800-421-3481.

The State of Missouri Regional Office for Civil Rights is located in Kansas City and is available to provide assistance.

Office for Civil Rights  
U.S. Department of Education  
One Petticoat Lane  
1010 Walnut, 3rd Floor, Suite 320  
Kansas City, MO 64106  
Telephone: 816-268-0550  
FAX: 816-268-0559  
TDD: 800-877-8339  
Email: [OCR.KansasCity@ed.gov](mailto:OCR.KansasCity@ed.gov)

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

Executive Order 41, 9-22-14; Amended 2-09-17 with effective date of 3-1-17; Revised 7-28-20 with effective date of 8-14-20; Amended 2-4-21; Amended 6/27/24.

- A. General. The University will promptly and appropriately respond to any report of violation of the University's Title IX policies.
- B. Jurisdiction. Jurisdiction of the University of Missouri under the Title IX policies shall be limited to sexual harassment which occurs in an education program or activity of the University of Missouri against a person in the United States. For purposes of this policy, "education program or activity" includes locations, events, or circumstances over which the University exercised substantial control over both the Respondent and the context in which the conduct occurs, and includes any building owned or controlled by a student organization that is officially recognized by the University. This policy does not apply to sexual harassment which occurs outside of the United States, even when the conduct occurs in an education program or activity of the University. If a Complainant alleges or the investigation suggests that another University policy violation occurred in concert with an alleged violation of the University's Title IX policies, the University shall have the authority to investigate and take appropriate action regarding the alleged violations of other University policies pursuant to this process. In conducting such investigations, the Title IX Coordinator(s), and/or their Investigator may consult with and/or seek guidance from the Equity Officer, Student Conduct Coordinator, or other University officials as appropriate. If the allegations in a Formal Complaint that fall under this policy are dismissed, the University may discontinue the process under this policy and proceed under the applicable University procedure for all remaining allegations in the Formal Complaint.
- C. Definitions:
  - 1. Academic Medical Center. University of Missouri Hospitals and Clinics, and other Academic Medical Centers as may be designated by the University in the future.
  - 2. Academic Medical Center Resolution Process. Resolution of a Formal Complaint by a decision-maker making a finding on each of the alleged policy violations and a finding on sanctions.
  - 3. Administrative Resolution. A voluntary informal resolution process where a decision-maker makes a finding on each of the

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- alleged policy violations in a Formal Complaint and a finding on sanctions without a hearing.
4. Advisors. The individuals selected by the Complainant and the Respondent, or if a Party does not have their own Advisor, selected by the University, to conduct all cross-examination and other questioning on behalf of a Party at a hearing; an Advisor may, but is not required to, be an attorney.
  5. Alternate Methods of Notice: Methods of providing Notice to a Party other than in person or by email to the Party's University email account; these include email to another email account specified by the Party, or a Party's designation of an address to which Notice may be mailed via U.S. Mail; a Party seeking to designate an Alternate Method of Notice must provide such designation in writing to the Title IX Coordinator.
  6. Complainant. "Complainant" means an individual who is alleged to be the victim of conduct that could constitute sexual harassment.
  7. Emergency Removal Appeal Individual/Committee: An individual or committee of three (3) individuals appointed by the Chancellor (or Designee) to hear appeals of an Emergency Removal decision by the Title IX Coordinator.
  8. Equity Resolution Appellate Officer. For Staff, Student(s) or Student Organization Respondents, a trained, senior-level administrator appointed by the Chancellor (or Designee) to hear all appeals stemming from the Title IX Resolution Process. For Faculty Respondents, the Chancellor (or Designee).
  9. Equity Resolution Hearing Panel ("Hearing Panel"). A group of two (2) trained Equity Resolution Hearing Panelist Pool members who, together with the Hearing Officer, serve as the Hearing Panel for a specific Formal Complaint. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. The Hearing Officer shall serve as the Chair of the Hearing Panel.
  10. Equity Resolution Hearing Panelists Pool ("Hearing Panelist Pool"). A group of at least five (5) faculty and five (5) administrators and/or staff selected by the Chancellor (or Designee) to serve as hearing panel members in the Hearing Panel Resolution process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University.
  11. Formal Complaint. Formal Complaint means a written document filed by a Complainant or signed by the Title IX Coordinator alleging sexual harassment against a Respondent and requesting that the University investigate the allegation of sexual harassment. The phrase "document filed by a Complainant" means a document or electronic submission (such as by electronic mail or an online portal provided for this

- purpose by the University) that contains the Complainant's physical or digital signature, or otherwise indicates that the Complainant is the person filing the Formal Complaint.
12. Hearing Officer. A trained individual appointed by the Chancellor (or Designee) to preside over a hearing and act as a member of the Hearing Panel, and to rule on objections and the relevancy of questions and evidence during the hearing.
  13. Hearing Panel Decision. Resolution of a Formal Complaint by an Equity Resolution Hearing Panel recommending or making a finding on each of the alleged policy violations and sanctions, if applicable.
  14. Hearing Panelist Pool Chair ("Pool Chair"). The Hearing Panelist Pool Chair is selected by the Chancellor (or Designee). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint.
  15. Informal Resolution. A voluntary resolution process using alternative dispute resolution mechanisms such as mediation, facilitated dialogue, administrative resolution, or restorative justice.
  16. Investigators. Investigators are trained individuals appointed by the Title IX Coordinator (or designee) to conduct investigations of the alleged violations of the University's Title IX Policies.
  17. Parties. The Complainant and the Respondent are collectively referred to as the Parties.
  18. Record of the Case. The Record of the Case in the Section 600.030 Process includes, when applicable: All Notices to the Parties; investigative report; recordings of Party and witness interviews; exhibits used at a hearing or at the Academic Medical Center (AMC) Meeting; recordings of meetings between the AMC decision-maker and Parties and witnesses, if any; the hearing record (an audio or audiovisual record of the hearing); any determination of dismissal of all or part of a Formal Complaint; the determination on each of the alleged policy violations and sanctions by either the Hearing Panel or decision-maker; and the decision on the appeal, if any, including the request for appeal, any additional evidence submitted for the appeal, and written arguments of the Parties.
  19. Report. Any verbal or written communication or notice of an alleged violation of the University's Title IX Policies.
  20. Respondent. Respondent means an individual who has been reported to be the perpetrator of conduct that could constitute sexual harassment.
  21. Rules of Decorum. Hearing process rules to which Parties and their Advisors must adhere during any Hearing under this policy.
  22. Student. A person having once been admitted to the University who has not completed a course of study and who intends to or does continue a course of study in or through one of the Universities of the University System. For the purpose of these rules, student status continues whether or not the University's academic programs are in session.

23. Student Organization. A recognized student organization which has received Official Approval in accordance with Section 250.010 of the Collected Rules and Regulations. Three members of the organization may represent the student organization as the Party.
  24. Support Person. An individual selected by a Party to accompany the Party to all meetings and interviews to provide support for the Party throughout the Title IX Process. A Support Person may not attend a hearing under the Title IX process unless also serving as a Party's Advisor.
  25. Title IX Coordinator. The Title IX Coordinator is a trained administrator designated by the Chancellor (or Designee) to respond to reports of sexual harassment; and to receive and assist with the Title IX process for Formal Complaints alleging violation of the University's Sexual Harassment in Employment/Education Policy. All references to "Title IX Coordinator" throughout this policy refer to the Title IX Coordinator or the Title IX Coordinator's designee.
  26. University's Title IX Policies. The University's Title IX Policies include this Policy and the Sexual Harassment in Employment/Education Policy located at Section 600.020 of the Collected Rules and Regulations (CRR).
- D. Making a Report. Any person (whether or not the person reporting is the Complainant) may report sexual harassment to the Title IX Coordinator. Such Reports may be made in person, or at any time (including during non-business hours) by mail, by telephone, or by electronic mail, using the contact information listed for the Title IX Coordinator, by an online portal set up by the University for this purpose, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. Individuals may also contact University police if the alleged offense may also constitute a crime. In order to foster reporting and participation, the University may provide amnesty to Parties and witnesses accused of minor student conduct violations ancillary to the incident.
  - E. Preliminary Contact. Upon receiving a Report, the Title IX Coordinator shall promptly contact the Complainant to discuss the availability of Supportive Measures as defined herein, consider the Complainant's wishes with respect to Supportive Measures, inform the Complainant of the availability of Supportive Measures with or without the filing of a Formal Complaint, and explain to the Complainant the process for filing a Formal Complaint. If the identity of the Complainant is unknown, the Title IX Coordinator may conduct a limited investigation sufficient to identify the Complainant to the extent possible.
  - F. Filing of a Formal Complaint. A Complainant may file a Formal Complaint with the Title IX Coordinator in person, by mail, or by electronic mail, by using the contact information set forth in CRR 600.020, or through an online portal provided for this purpose by the University. At the time of filing a Formal Complaint, the Complainant must be participating in or attempting to participate in an education program or activity of the University. The Title IX Coordinator may sign a Formal Complaint when they believe that with or without the Complainant's desire to participate in this process, a non-deliberately indifferent response to the allegations requires an investigation. Where the Title IX Coordinator signs a Formal Complaint, the Title IX Coordinator is not a Complainant or otherwise a Party under this policy.



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

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

G. Notice of Allegations:

1. Upon receipt of a Formal Complaint, the Title IX Coordinator will provide a written notice to the known Parties that includes the following:
  - a. A description of the University's Title IX Process, including Informal Resolution;
  - b. Notice of the allegations of sexual harassment, including sufficient details known at the time. Sufficient details include the identities of the Parties involved in the incident, if known; the conduct allegedly constituting the sexual harassment; and the date and location of the alleged incident.
  - c. A statement that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the Title IX process.
  - d. A statement reminding the Respondent that they have the right to file a report or Formal Complaint with the Title IX Coordinator; however, both Parties are advised that retaliation against any Party is prohibited.
  - e. A statement notifying the Parties of the availability of Supportive Measures.
  - f. A statement notifying the Parties of their right to have an Advisor of their choice, who may be, but is not required to be, an attorney. The Parties will be advised that if they do not have an Advisor to conduct cross-examination at a hearing on their behalf, the University will appoint such an Advisor; this Advisor may be, but is not required to be, an attorney. (This provision does not apply to matters

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

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

1. Supportive Measures. Supportive measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a Formal Complaint or where no Formal Complaint has been filed. These measures are designed to restore or preserve equal access to the University's education program or activity without unreasonably burdening the other Party, including measures designed to protect the safety of all Parties or the University's education environment, or deter sexual harassment. The University will maintain as confidential any Supportive Measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the Supportive Measures. The Title IX Coordinator is responsible for the effective implementation of Supportive Measures. Supportive Measures may include:
  - a. Referral and facilitating contact for the Complainant or Respondent for counseling or other support services.
  - b. Mutual restrictions on contact between the Parties.
  - c. Providing campus escort services to the Parties.
  - d. Increased security and monitoring of certain areas of the campus.
  - e. Adjusting the extracurricular activities, work schedules, work assignments, supervisory responsibilities, or work arrangements of the Complainant and/or the Respondent, as appropriate.
  - f. If either Party is a student:
    - (1) Referral of that Party to academic support services and any other services that may be beneficial to the Party.
    - (2) Adjusting the courses, assignments, and/or exam schedules of the Party.
    - (3) Altering the on-campus housing assignments, dining arrangements, or other campus services for the Party.
  - g. Providing limited transportation accommodations for the Parties.
  - h. Informing the Parties of the right to notify law enforcement authorities of the alleged incident and offering to help facilitate such a report.
2. Emergency Removal. The Title IX Coordinator may implement a removal of a Respondent from the University's education program or activity on an emergency basis, if the Title IX Coordinator, after conducting an individualized safety and risk analysis, determines that an immediate threat to the physical

health or safety of any student or other individual arising from the allegations of sexual harassment, justifies removal.

- a. In all cases in which an Emergency Removal is imposed, the Respondent will immediately be given notice and an opportunity to challenge the decision of the Title IX Coordinator either prior to such Removal being imposed, or as soon thereafter as reasonably possible but no later than five (5) business days following the Removal. Any challenge by Respondent shall be made in writing and directed to the Title IX Coordinator and must show cause why the Removal should not be implemented. The Title IX Coordinator will forward the challenge to the Emergency Removal Appeal Individual/Committee, which will make a final decision on Removal within three (3) business days.
  - b. Violation of an Emergency Removal under this policy may be grounds for discipline under applicable University conduct policy.
3. Interim Suspension of Student Organization. The Title IX Coordinator may suspend, on an interim basis, a Respondent Student Organization's operations, University recognition, access to and use of the University campus/facilities/events and/or all other University activities or privileges for which the Respondent Student Organization might otherwise be eligible, pending the completion of the Title IX Process when the Title IX Coordinator finds and believes from available information that the presence of the student organization on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student organization will be initiated within seven (7) business days.
4. Administrative Leave. The Title IX Coordinator may implement an administrative leave for an employee in accordance with University Human Resources Policies. Administrative leave for an employee is not an Emergency Removal under this policy.
- I. Employees and Students Participating in the Title IX Process. All University employees and students must be truthful when making any statement or providing any information or evidence to the University throughout the process, including but not limited to the Investigator, Title IX Coordinator, the Hearing Panel and/or the Equity Resolution Appellate Officer, and all documentary evidence must be genuine and accurate. False statements or fraudulent evidence provided in this process, including but not limited to the Investigator, Title IX Coordinator, Hearing Panel and/or the Equity Resolution Appellate Officer, by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or if by a student may be the basis for disciplinary action pursuant to the provisions of CRR 200.010. However, this obligation does not supersede nor expand any rights the individual may have under applicable

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state or federal statutory law or the U.S. Constitution. Nothing in this provision is intended to require a Party or witness to participate in the process. The fact that a determination has been made that a Respondent has or has not violated any policy is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness.

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

J. Rights of the Parties in the Title IX Process

1. To be treated with respect by University officials.
2. To be free from retaliation.
3. To have access to University support resources (such as counseling and mental health services and University health services).
4. To request a no contact directive between the Parties.
5. To have a Support Person of the Party's choice accompany the party to all interviews and meetings (excluding hearings) throughout the Title IX Process.
6. To refuse to have an allegation resolved through the Informal Resolution Processes.
7. To receive prior to a hearing or other time of determination regarding responsibility, an investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and written response.
8. To have an opportunity to present a list of potential witnesses and provide evidence to the Investigator.
9. To have Formal Complaints heard in substantial accordance with these procedures.
10. To receive written notice of any delay of this process or limited extension of time frames for good cause which may include considerations such as the absence of a Party, a Party's Advisor or a witness; concurrent law enforcement activity; or the need for language assistance or accommodation of disabilities.
11. To be informed of the finding, rationale, sanctions and remedial actions.
12. To report the matter to law enforcement (if applicable) and to have assistance in making that report.
13. To have an opportunity to appeal the dismissal of all or a portion of a Formal Complaint, and appeal the determination of a Hearing Panel or other decision-maker.
14. Additional Rights for Students as a Party:
  - a. To request reasonable housing, living and other accommodations and remedies consistent with Section 600.030.H.
  - b. To receive amnesty for minor student misconduct that is ancillary to the incident, at the discretion of the Title IX Coordinator.

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15. Additional Rights for Hearing Panel Resolution:

- a. To receive notice of a hearing.
- b. To have the names of witnesses who may participate in the hearing and copies of all documentary evidence gathered in the course of the investigation and any investigative report prior to the hearing.
- c. To be present at the hearing, which right may be waived by either written notification to the Hearing Officer or by failure to appear.
- d. To have present an Advisor during the hearing and to consult with such Advisor during the hearing, and have the Advisor conduct cross-examination and other questioning on behalf of the Party at the hearing.
- e. To have an Advisor of the University's selection appointed for a Party where the Party does not have an Advisor of their own choice at a hearing.
- f. To testify at the hearing or refuse to testify at the hearing; however, if a Party or witness fails to submit to cross-examination at the hearing, the Hearing Panel shall not rely on any statement of that Party or witness in reaching a determination regarding responsibility. The Hearing Panel shall not draw any inference about the determination regarding responsibility based solely on a Party's or witness's failure to submit to cross-examination.
- g. To have an equal opportunity to present and question witnesses, including fact and expert witnesses, and present relevant evidence.
- h. To request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other.

16. Additional Rights for Academic Medical Center Process:

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

K. Role of Support Persons and Advisors.

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

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

2. Advisors. Each Party may have an Advisor of their choice present at the hearing to conduct cross-examination and other questioning for that Party. A Party may not directly question any other Party or any witness; all cross-examination and other questioning on behalf of a Party must be conducted by their Advisor. The Advisor may be, but is not required to be, an attorney. If a Party does not have an Advisor of their choice present at the hearing, the University will provide, without fee or charge to that Party, an Advisor of the University's choice to conduct cross-examination and other questioning on behalf of that Party. The Parties may not require that the assigned Advisor have specific qualifications such as being an attorney. At the hearing, a Party's Advisor may ask the other Party and any witnesses all relevant questions and follow-up questions, including those challenging credibility. An Advisor may conduct cross-examination and other questioning for a Party, and object to questions on limited grounds as specified in the Rules of Decorum. The Advisor may not make a presentation or otherwise represent the Complainant or the Respondent during the hearing. The Advisor may consult with the Party quietly or in writing, or outside the hearing during breaks, but may not speak on behalf of the Party, other than to conduct cross-examination or other questioning for the Party. Advisors who do not follow the Rules of Decorum will be warned or dismissed from the hearing at the discretion of the Hearing Officer.

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

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

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

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

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

The Parties may be accompanied to any related meeting or interview by a Support Person of their choice, who may be, but is not required to be, an

attorney; however, the Support Person may only participate in the proceedings as set forth in this policy.

The Parties shall be permitted to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint, including the evidence upon which the University does not intend to rely in reaching any determination regarding responsibility, and inculpatory or exculpatory evidence whether obtained from a Party or other source and copies of recordings of all interviews conducted during the investigation, in sufficient time for the Parties to meaningfully respond to the evidence prior to the conclusion of the investigation.

Prior to completion of the investigative report, the University will make available to each Party and the Party's Advisor, if any, the evidence subject to inspection and review in an electronic format or a hard copy, and the Parties will have ten (10) business days to submit a written response to the Investigator, which the Investigator will consider prior to completion of the investigative report.

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

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

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

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

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

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

- N. Dismissal of a Formal Complaint. During or upon the completion of the investigation, the Title IX Coordinator will review the Formal Complaint and



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

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

Upon a dismissal required or permitted under this provision, the University will promptly send written notice of the dismissal and reason(s) therefor simultaneously to the Parties. Either Party may appeal a dismissal as set forth in Section U herein.

If the Title IX Coordinator determines there is a sufficient basis to proceed with the Formal Complaint, then the Title IX Coordinator will direct the process to continue. The Formal Complaint will then be resolved through Informal Resolution or Hearing Panel Resolution, or the Academic Medical Center (AMC) Process, if applicable.

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

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

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

In the event the Parties are unable to reach a mutually agreeable resolution, the matter will be referred back for further investigation and/or hearing as may be applicable. The content of the Parties' discussions during the Informal Resolution Process will be kept confidential in the event the matter proceeds to the hearing process. The Parties' agreement to participate, refusal to

participate in, or termination of participation in Informal Resolution shall not be factors in any subsequent decisions regarding whether a policy violation occurred.

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

- P. Procedural Details for Administrative Resolution. The Parties may mutually choose to participate in a type of Informal Resolution called Administrative Resolution. The Administrative Resolution process is not available where a student has alleged that an employee sexually harassed the student. The Administrative Resolution process is not available to Academic Medical Centers (AMC).

The Administrative Resolution process is a process whereby the decision-maker will meet separately with the Parties and their Support Person, if any, and consider the evidence provided by the investigator, including the investigative report, and evidence provided by the Parties, and will make a determination of responsibility that is binding on both Parties. The decision of the Parties to participate in Administrative Resolution must be voluntary, informed and in writing provided to the investigator, and must include a knowing written waiver of their right to a hearing under the Title IX process. However, either Party may choose to leave the process and opt for a hearing at any time before a final determination has been rendered. In addition, the following will apply to the Administrative Resolution process:

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

- a. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
- b. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the decision-maker.

- c. Incidents or behaviors of the Respondent not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by the Respondent that shows a pattern may be considered only if deemed relevant by the decision-maker.
  - d. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
  - e. The decision-maker shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
3. In the Administrative Resolution Process, the Respondent and the Complainant may provide a list of questions for the decision-maker to ask the other Party. If those questions are deemed appropriate and relevant, they may be asked on behalf of the requesting Party; answers to such questions will be shared with the requesting Party.
  4. At any time prior to a final determination being rendered, the Complainant and/or the Respondent may request that the Formal Complaint shift from the Administrative Resolution Process to the Hearing Panel Resolution Process. Upon receipt of such timely request from either Party, the Formal Complaint will shift to the Hearing Panel Resolution Process.
  5. The Administrative Resolution process will normally be completed within sixty (60) business days of the decision-maker's receipt of the Formal Complaint. Deviations from this timeframe will be promptly communicated to both Parties.
  6. For good cause, the decision-maker in the Administrative Resolution Process may, in their discretion, grant reasonable extensions to the time frames and limits provided.
  7. The Administration Resolution process consists of:
    - a. A prompt, thorough and impartial investigation;
    - b. A separate meeting with each Party and their Support Person, if any, and the decision-maker;
    - c. A written finding by the decision-maker on each of the alleged policy violations;
    - d. A written finding by the decision-maker on sanctions and remedial actions for findings of responsibility; and
    - e. The decision-maker shall be as follows:

(1) For Student or Student Organization Respondents and Staff Respondents, the decision-maker will be the Title IX Coordinator;  
(2) For Faculty Respondents, the decision-maker will be as follows:

(a) The Title IX Coordinator will act as decision-maker and make recommendation(s) on findings of responsibility and sanctions and remedial actions, if applicable, to the Provost who will be the final decision-maker.

(b) The Title IX Coordinator has the option to request that a designee from the Provost's office act as decision-maker in Administrative Resolution and make recommendation(s) regarding findings of responsibility and sanctions and remedial actions, if applicable, to the Provost who will be the final decision-maker.

8. At least fifteen (15) business days prior to meeting with the decision-maker or if no meeting is requested, at least fifteen (15) business days prior to the decision-maker rendering a finding(s), the Title IX Coordinator or Provost's designee, if applicable, will send a letter (Notice of Administrative Resolution) to the Parties with the following information:
  - a. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
  - b. The name of the decision-maker.
  - c. Reference to or attachment of the applicable procedures.
  - d. A copy of the final investigative report.
  - e. The option and deadline of ten (10) business days from the date of the notice to request a meeting with the decision-maker.
  - f. An indication that the Parties may have the assistance of a Support Person of their choosing at the meeting, though the Support Person's attendance at the meeting is the responsibility of the respective Parties.
9. The sanctions of expulsion and termination are not available sanctions under the Administrative Resolution process in this Policy. Further, any suspension of a student under this Administrative Resolution process shall not exceed two (2) years. Any suspension of an employee under this Administrative Resolution process may be without pay, but may not exceed ten (10) business days.
10. The decision-maker can, but is not required to, meet with and question the Investigator and any identified witnesses. The decision-maker may request that the Investigator conduct additional interviews and/or gather additional information. The

decision-maker will meet separately with the Complainant and the Respondent, and their Support Person, if any, to review the alleged policy violations and the investigative report. The Respondent may choose to admit responsibility for all or part of the alleged policy violations at any point in the process. If the Respondent admits responsibility, in whole or in part, the decision-maker will render a finding that the individual is in violation of University policy for the admitted conduct. For any disputed violations, the decision-maker will render a finding using the preponderance of the evidence standard. The decision-maker will also determine appropriate sanctions or remedial actions.

11. The decision-maker will inform the Respondent and the Complainant simultaneously of the finding on each of the alleged policy violations and the finding of sanctions, if applicable, in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
12. Either Party may appeal a decision under Administrative Resolution in accordance with Section U of this policy.

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

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

The Chancellor (or Designee) will select a Hearing Panelist Pool Chair ("Pool Chair"). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint.

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

2. Title IX Hearing Panel ("Hearing Panel"). When a Formal Complaint is not resolved through an Informal Resolution process, the Hearing Panelist Pool Chair will randomly select two

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(2) members from the Hearing Panelist Pool to serve on the specific Hearing Panel together with the Hearing Officer. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. Up to two (2) alternates may be designated to sit in throughout the process as needed. The University reserves the right to have its attorney present during the hearing and during deliberations to advise the Hearing Panel.

3. Notice of Hearing.

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

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

(2) A description of the applicable procedures.

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

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

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

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

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

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

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

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

4. Pre-Hearing Witness List and Documentary Evidence.

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

5. Objection to or Recusal of Hearing Panel Member.

- a. Hearing Panel members, including the Hearing Officer, shall not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent. If a Hearing Panel member or Hearing Officer feels that they have a conflict of interest or bias, or cannot make an objective determination, they must recuse themselves from the proceedings in advance of the hearing.
- b. The Parties will have been given the names of the Hearing Panel members, including the Hearing Officer, in the Notice of Hearing. Should any Complainant or Respondent object to any panelist, they must raise all objections, in writing, to the Title IX Coordinator at least fifteen (15) business days prior to the hearing.
- c. Hearing Panel members will only be unseated and replaced if the Title IX Coordinator concludes that

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good cause exists for the removal of a panel member. Good cause may include, but is not limited to, bias that would preclude an impartial hearing or circumstances in which the Hearing Panel member's involvement could impact the Party's work or learning environment due to current or potential interactions with the Hearing Panel member (e.g., a panel member being in the same department as either Party). If the Title IX Coordinator determines that a Hearing Panel member, other than the Hearing Officer, should be unseated and replaced, then Title IX Coordinator will ask the Hearing Panel Pool Chair to randomly select another member from the pool to serve on the Hearing Panel. The Title IX Coordinator will select an alternate Hearing Officer if they determine that the Hearing Officer should be replaced. The Title IX Coordinator will provide a written response to all Parties addressing any objections to the Hearing Panel members, including the Hearing Officer.

6. Alternative Attendance or Questioning Mechanisms. All hearings will be live. However, at the request of either Party or by the University's designation, the live hearing may occur with the Parties located in separate rooms with technology enabling the Hearing Panel, including the Hearing Officer, and their legal advisor, if any, the Parties and their Advisors, and the Investigator, to simultaneously see and hear the Party or the witness answering questions. Should any hearing take place in this manner, the Title IX Coordinator (or Designee) shall be in charge of the technology during the hearing. The University will make reasonable accommodations for the Parties in keeping with the principles of equity and fairness.
7. Requests to Reschedule the Hearing Date. For good cause, the Title IX Coordinator may grant requests to reschedule the hearing date.
8. Pre-Hearing Matters.
  - a. At least ten (10) business days prior to the hearing date, a Party shall inform the Title IX Coordinator whether the Party intends to bring an Advisor of their choice to the hearing.
  - b. At least ten (10) business days prior to the hearing date, a Party shall inform the Title IX Coordinator whether the Party is requesting accommodations for the hearing.
  - c. At least five (5) business days prior to the hearing date, the final investigative report and all exhibits will be provided to the Hearing Panel members.
9. Pre-Hearing Meeting. Unless otherwise agreed by the Parties and the Hearing Officer, a pre-hearing meeting may be scheduled one hour prior to the start of the hearing between the



Hearing Officer and Parties' Advisors. Parties may, but are not required to, be in attendance at this meeting.

10. Conduct of Hearing. The Hearing Officer shall participate on the Hearing Panel and preside at the hearing, call the hearing to order, call the roll of the Hearing Panel and alternates in attendance, ascertain the presence or absence of the Investigator, the Complainant and the Respondent, confirm receipt of the Notice of Allegations and Notice of Hearing by the Parties, report any extensions requested or granted and establish the presence of any Advisors.

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

(1) The Complainant will proceed first and may give a verbal statement of their allegations of sexual harassment against the Respondent. The Hearing Panel may next ask questions of the Complainant. The Complainant will then be subject to cross-examination by the Advisor of the Respondent. The Complainant may also call witnesses who will be subject to questioning by the Advisor of the Complainant, questioning by the Hearing Panel, and cross-examination by the Advisor of the Respondent. The Complainant may also submit documentary evidence.

(2) The Respondent will proceed next and may give a verbal statement in response to the allegations of sexual harassment made by the Complainant. The Hearing Panel may next ask questions of the Respondent. The Respondent will be subject to cross-examination by the Advisor of the Complainant. The Respondent may also call witnesses who will be subject to questioning by the Advisor of the Respondent, questioning by the Hearing Panel, and cross-examination by the Advisor of the Complainant. The Respondent may also submit documentary evidence.

(3) The Investigator will then be available to answer questions of the Hearing Panel. The Investigator will next be subject to cross-examination by the Advisors of the Complainant and the Respondent. The Investigator may also call witnesses who will be subject to questioning by the Hearing Panel, and cross-examination by the Advisors of the Complainant and Respondent. The Investigator may also submit documentary evidence.

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

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

#### 11. Hearing Process Rules.

- a. The formal rules of evidence shall not apply to any live hearing.
- b. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
- c. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the Hearing Officer.
- d. Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the Hearing Officer.
- e. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
- f. The Hearing Officer shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
- g. The relevancy and admissibility of any evidence offered at the hearing shall be determined by the Hearing Officer, whose ruling shall be final.
- h. A Party's Advisor will be permitted to ask the other Party and any witnesses relevant questions and follow-up questions, including those challenging credibility. Before a Complainant, Respondent or witness answers a cross-examination or other

question, the Hearing Officer must first determine whether the question is relevant and explain any decision to exclude a question as not relevant. Where the Hearing Officer permits a question to be answered, a presumption shall be made that the Hearing Officer determined that the question was relevant.

- i. If a Party or witness does not submit to cross-examination at a hearing, the Hearing Panel must not rely on any statement of that Party or witness in reaching a determination regarding responsibility, but no inference can be drawn from the fact that a Party or witness failed to submit to cross-examination.
- j. The Party's Advisors may object to questions on limited grounds as specified in the Rules of Decorum. The Hearing Officer will rule on such objections and that ruling shall be final.
- k. The Hearing Officer may dismiss any person from the hearing who interferes with or obstructs the hearing, fails to adhere to the Rules of Decorum, or fails to abide by the rulings of the Hearing Officer.
- l. Procedural questions which arise during the hearing and which are not covered by these general rules shall be determined by the Hearing Officer, whose ruling shall be final.

## 12. Findings of the Hearing Panel.

- a. The Hearing Panel will deliberate with no others present, except any legal advisor to the Hearing Panel, to find whether the Respondent is responsible or not responsible for the policy violation(s) in question. The Hearing Panel will base its finding on a preponderance of the evidence (i.e., whether it is more likely than not that the Respondent committed each alleged violation). If a Respondent is found responsible by a majority of the Hearing Panel, the Hearing Panel will determine appropriate sanctions and remedial actions by a majority vote.
- b. The Hearing Officer will prepare a written determination reflecting the decision of the Hearing Panel regarding responsibility, sanctions and remedial actions, if any ("Hearing Panel Decision"), and deliver it to the Title IX Coordinator detailing the following:

(1) Identification of the allegations potentially constituting sexual harassment as defined in CRR 600.020;

(2) A description of the procedural steps taken from the receipt of the Formal Complaint through

the determination, including any notifications to the Parties, interviews with Parties and witnesses, site visits, methods used to gather other evidence and hearings held;

(3) Findings of fact supporting the determination;

(4) Conclusions regarding the application of the University's Title IX Policies to the facts;

(5) A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions to be imposed on the Respondent, and whether remedies designed to restore or preserve equal access to the University's education programs or activities will be provided by the University to the Complainant; and

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

- c. The Hearing Panel Decision should be submitted to the Title IX Coordinator within five (5) business days of the end of deliberations. Deviations from the five-day period will be communicated by the Hearing Officer to the Parties and the Title IX Coordinator, along with an expected time for completion. The Hearing Panel Decision will be provided to the Title IX Coordinator who will provide it to the Parties simultaneously within five (5) business days of receipt of the decision.
- d. The Hearing Panel Decision will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
- e. The Hearing Panel Decision will become final either on the date that the Parties are provided with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.
- f. The Title IX Coordinator is responsible for effective implementation of any remedies.

#### R. Process for Academic Medical Centers (AMC)

- 1. Academic Medical Centers at the University of Missouri are not required to provide for a live hearing, but rather must adhere to the following process for resolving Formal Complaints alleging Title IX violations.
- 2. The decision-maker(s) for the Title IX Process for Academic Medical Centers shall be a neutral, impartial, and unbiased

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decision-maker designated by the Executive Vice Chancellor for Health Affairs.

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

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

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16. Within ten (10) business days of the last meeting with any Party or witness, the decision-maker must issue a written determination regarding responsibility, applying the preponderance of the evidence standard of evidence. The written determination must include:
  - a. Identification of the allegations potentially constituting sexual harassment as defined in CRR 600.020.
  - b. A description of the procedural steps taken from the receipt of the Formal Complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence and meetings held;
  - c. Findings of fact supporting the determination;
  - d. Conclusions regarding the application of the Title IX policies to the facts;
  - e. A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions to be imposed on the Respondent, and whether any remedies designed to restore or preserve equal access to the University's education program or activity will be provided by the University to the Complainant; and
  - f. The University's procedures and permissible bases for the Complainant and Respondent to appeal as set forth in Section U.
17. The written determination will be provided to the Title IX Coordinator, who will provide it to the Parties simultaneously within five (5) business days of receipt of the determination. Notification will be made in writing and sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
18. The determination becomes final either on the date that the University provides the Parties with the written determination of the result of the appeal, if any appeal is filed, or if any appeal is not filed, the date on which an appeal would no longer be considered timely.
19. The Title IX Coordinator is responsible for effective implementation of any remedies.

S. Sanctions and Remedial Actions.

1. If the Respondent is found responsible for a violation of the University's Title IX Policies, the Hearing Panel, or the decision-maker in the Administrative Resolution Process or Academic Medical Center Process, will determine sanctions and remedial actions. The Title IX Coordinator will apply and enforce the

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sanctions and remedial actions and may also add other remedial actions as deemed appropriate.

- a. Factors Considered When Finding Sanctions/Remedial Actions include but are not limited to:
  - (1) The nature, severity of, and circumstances surrounding the violation;
  - (2) The disciplinary history of the Respondent;
  - (3) The need for sanctions/remedial actions to bring an end to the conduct;
  - (4) The need for sanctions/remedial actions to prevent the future recurrence of the conduct; and
  - (5) The need to remedy the effects of the conduct on the Complainant and the University community.

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

- a. For Respondents who are Student(s) or Student Organization(s):
  - (1) Warning. A notice in writing to the Respondent that there is or has been a violation of institutional regulations, and cautioning that if there are further violations, the existence of the Warning may result in more severe sanctions in the future.
  - (2) Probation. A written reprimand for violation of specified regulations. Probation is for a designated period of time and includes the probability of more severe sanctions if the Respondent is found to be violating any institutional regulation(s) during the probationary period.
  - (3) Loss of Privileges. Denial of specified privileges for a designated period of time.
  - (4) Restitution. Compensating the University for loss, damage, or injury to University property. This may take the form of appropriate service and/or monetary or material replacement.
  - (5) Discretionary Sanctions. Work assignments, service to the University, or other related discretionary assignments, or completion of educational programming.
  - (6) Residence Hall Suspension. Separation of the Respondent from the residence halls for a definite period of time, after which the Respondent is eligible to return. Conditions for readmission may be specified.

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

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

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

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

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

b. For Respondents who are Employee(s):

(1) Warning – verbal or written;

(2) Performance improvement plan;

(3) Required counseling;

(4) Required training or education;

(5) Loss of annual pay increase;

(6) Loss of supervisory responsibility;

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

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

(9) For Regular, Untenured Faculty, immediate termination of term contract and employment.

Notice of not reappointing would not be required;

(10) Suspension without pay;

(11) )Non-renewal of appointment;

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

(13) For Staff, Demotion;

(14) For Staff, Termination.

c. Remedial Actions. The following remedial actions may also be imposed to address the effects of the violation(s) of the University's Title IX Policies on

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the Complainant. Such remedial actions will vary depending on the circumstances of the policy violation(s), but may include:

(1) Where the Complainant is a student:

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

(2) Where the Complainant is an employee:

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

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

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

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

U. Appeal.

1. Grounds for Appeal. Both Complainant and Respondent are allowed to appeal the dismissal of a Formal Complaint or any of the allegations therein, or the findings of the Administrative Resolution Process, the Hearing Panel Resolution Process, or the Academic Medical Center process. Appeals are limited to the following:

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

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

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

5. Review of the Appeal. If all three (3) requirements for appeal listed in paragraph 4 above are met, the Equity Resolution Appellate Officer will accept the request for appeal and proceed with rendering a decision on the appeal applying the following additional principles:
  - a. Appeals are not intended to be full re-hearings of the Formal Complaint and are therefore deferential to the original findings. In most cases, appeals are confined to a review of the written documentation and Record of the Case, and relevant documentation regarding the grounds for appeal. Appeals granted based on new evidence should normally be remanded to the original decision-maker for reconsideration.
  - b. The Equity Resolution Appellate Officer will render a written decision on the appeal to all Parties within ten (10) business days from accepting the request for appeal. In the event the Equity Resolution Appellate Officer is unable to render a written decision within ten (10) business days from accepting the request for appeal, the Equity Resolution Appellate Officer will promptly notify the Parties in writing of the delay.
  - c. Once an appeal is decided, the outcome is final. Further appeals are not permitted.
6. Extensions of Time. For good cause, the Equity Resolution Appellate Officer may grant reasonable extensions of time (e.g.: 7-10 business days) to the deadlines in the appeal process. The Equity Resolution Appellate Officer will notify the Parties in writing if such extensions are granted.
- V. Failure to Complete Sanctions/Comply with Interim and Long-term Remedial Actions. All Respondents are expected to comply with all sanctions and remedial actions within the timeframe specified. Failure to follow through on these sanctions and remedial actions by the date specified, whether by refusal, neglect or any other reason, may result in additional sanctions and remedial actions and/or suspension, expulsion, termination, referral to Dismissal for Cause process, or withdrawal of recognition from the University. Suspension will only be lifted when compliance is achieved to the satisfaction of the Title IX Coordinator.
- W. Dismissal for Cause Referral. If the recommended sanction for a Regular, Tenured Faculty member is referral to the Chancellor to initiate Dismissal for Cause, the Record of the Case will be forwarded to the appropriate Faculty Committee on Tenure. Because the Dismissal for Cause proceeding is not a re-hearing of the Complaint, the Record of the Case will be included as evidence and the findings will be adopted for proceeding as detailed in Section 310.060:

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Procedures in Case of Dismissal for Cause in the Collected Rules and Regulations.

- X. Records. In implementing this policy, records of all Formal Complaints, the Hearing Process or Academic Medical Center Process, and resolutions (including Informal resolution and result therefrom), will be kept by the Title IX Coordinator. For the purpose of review or appeal, the Record of the Case will be accessible at reasonable times and places to the Respondent and the Complainant. The Record of the Case will be kept for seven (7) years following final resolution.

In addition, a record of the response to all complaints of sexual harassment, must be maintained for a period of seven (7) years, including records of any actions, including Supportive Measures, taken in response to a report or Formal Complaint of sexual harassment. In each instance, the University must document the basis for its conclusion that its response was not deliberately indifferent, and document that it has taken measures designed to restore or preserve equal access to the University's education programs or activities. If the University did not provide a Complainant with Supportive Measures, the University must document the reasons why such a response was not clearly unreasonable in light of the known circumstances.

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

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

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

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

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

Executive Order 41, 9-22-14; Amended 2-09-17 with effective date of 3-1-17; Revised 7-28-20 with effective date of 8-14-20; Amended 2-4-21; ~~Amended 6/27/2024-~~

- A. General. The University will promptly and appropriately respond to any report of violation of the University's Title IX policies.
- B. Jurisdiction. Jurisdiction of the University of Missouri under the Title IX policies shall be limited to sexual harassment which occurs in an education program or activity of the University of Missouri against a person in the United States. For purposes of this policy, "education program or activity" includes locations, events, or circumstances over which the University exercised substantial control over both the Respondent and the context in which the conduct occurs, and includes any building owned or controlled by a student organization that is officially recognized by the University. This policy does not apply to sexual harassment which occurs outside of the United States, even when the conduct occurs in an education program or activity of the University. If a Complainant alleges or the investigation suggests that another University policy violation occurred in concert with an alleged violation of the University's Title IX policies, the University shall have the authority to investigate and take appropriate action regarding the alleged violations of other University policies pursuant to this process. In conducting such investigations, the Title IX Coordinator(s), and/or their Investigator may consult with and/or seek guidance from the Equity Officer, Student Conduct Coordinator, or other University officials as appropriate. If the allegations in a Formal Complaint that fall under this policy are dismissed, the University may discontinue the process under this policy and proceed under the applicable University procedure for all remaining allegations in the Formal Complaint.
- C. Definitions:
  - 1. Academic Medical Center. University of Missouri Hospitals and Clinics, and other Academic Medical Centers as may be designated by the University in the future.
  - 2. Academic Medical Center Resolution Process. Resolution of a Formal Complaint by a decision-maker making a finding on each of the alleged policy violations and a finding on sanctions.
  - 3. Administrative Resolution. A voluntary informal resolution process where a decision-maker makes a finding on each of the

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- alleged policy violations in a Formal Complaint and a finding on sanctions without a hearing.
4. Advisors. The individuals selected by the Complainant and the Respondent, or if a Party does not have their own Advisor, selected by the University, to conduct all cross-examination and other questioning on behalf of a Party at a hearing; an Advisor may, but is not required to, be an attorney.
  5. Alternate Methods of Notice: Methods of providing Notice to a Party other than in person or by email to the Party's University email account; these include email to another email account specified by the Party, or a Party's designation of an address to which Notice may be mailed via U.S. Mail; a Party seeking to designate an Alternate Method of Notice must provide such designation in writing to the Title IX Coordinator.
  6. Complainant. "Complainant" means an individual who is alleged to be the victim of conduct that could constitute sexual harassment.
  7. Emergency Removal Appeal Individual/Committee: An individual or committee of three (3) individuals appointed by the Chancellor (or Designee) to hear appeals of an Emergency Removal decision by the Title IX Coordinator.
  8. Equity Resolution Appellate Officer. For Staff, Student(s) or Student Organization Respondents, a trained, senior-level administrator appointed by the Chancellor (or Designee) to hear all appeals stemming from the Title IX Resolution Process. For Faculty Respondents, the Chancellor (or Designee).
  9. Equity Resolution Hearing Panel ("Hearing Panel"). A group of two (2) trained Equity Resolution Hearing Panelist Pool members who, together with the Hearing Officer, serve as the Hearing Panel for a specific Formal Complaint. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. The Hearing Officer shall serve as the Chair of the Hearing Panel.
  10. Equity Resolution Hearing Panelists Pool ("Hearing Panelist Pool"). A group of at least five (5) faculty and five (5) administrators and/or staff selected by the Chancellor (or Designee) to serve as hearing panel members in the Hearing Panel Resolution process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University.
  11. Formal Complaint. Formal Complaint means a written document filed by a Complainant or signed by the Title IX Coordinator alleging sexual harassment against a Respondent and requesting that the University investigate the allegation of sexual harassment. The phrase "document filed by a Complainant" means a document or electronic submission (such as by electronic mail or an online portal provided for this



- purpose by the University) that contains the Complainant's physical or digital signature, or otherwise indicates that the Complainant is the person filing the Formal Complaint.
12. Hearing Officer. A trained individual appointed by the Chancellor (or Designee) to preside over a hearing and act as a member of the Hearing Panel, and to rule on objections and the relevancy of questions and evidence during the hearing.
  13. Hearing Panel Decision. Resolution of a Formal Complaint by an Equity Resolution Hearing Panel recommending or making a finding on each of the alleged policy violations and sanctions, if applicable.
  14. Hearing Panelist Pool Chair ("Pool Chair"). The Hearing Panelist Pool Chair is selected by the Chancellor (or Designee). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint.
  15. Informal Resolution. A voluntary resolution process using alternative dispute resolution mechanisms such as mediation, facilitated dialogue, administrative resolution, or restorative justice.
  16. Investigators. Investigators are trained individuals appointed by the Title IX Coordinator (or designee) to conduct investigations of the alleged violations of the University's Title IX Policies.
  17. Parties. The Complainant and the Respondent are collectively referred to as the Parties.
  18. Record of the Case. The Record of the Case in the Section 600.030 Process includes, when applicable: All Notices to the Parties; investigative report; recordings of Party and witness interviews; exhibits used at a hearing or at the Academic Medical Center (AMC) Meeting; recordings of meetings between the AMC decision-maker and Parties and witnesses, if any; the hearing record (an audio or audiovisual record of the hearing); any determination of dismissal of all or part of a Formal Complaint; the determination on each of the alleged policy violations and sanctions by either the Hearing Panel or decision-maker; and the decision on the appeal, if any, including the request for appeal, any additional evidence submitted for the appeal, and written arguments of the Parties.
  19. Report. Any verbal or written communication or notice of an alleged violation of the University's Title IX Policies.
  20. Respondent. Respondent means an individual who has been reported to be the perpetrator of conduct that could constitute sexual harassment.
  21. Rules of Decorum. Hearing process rules to which Parties and their Advisors must adhere during any Hearing under this policy.
  22. Student. A person having once been admitted to the University who has not completed a course of study and who intends to or does continue a course of study in or through one of the Universities of the University System. For the purpose of these rules, student status continues whether or not the University's academic programs are in session.

23. Student Organization. A recognized student organization which has received Official Approval in accordance with Section 250.010 of the Collected Rules and Regulations. Three members of the organization may represent the student organization as the Party.
  24. Support Person. An individual selected by a Party to accompany the Party to all meetings and interviews to provide support for the Party throughout the Title IX Process. A Support Person may not attend a hearing under the Title IX process unless also serving as a Party's Advisor.
  25. Title IX Coordinator. The Title IX Coordinator is a trained administrator designated by the Chancellor (or Designee) to respond to reports of sexual harassment; and to receive and assist with the Title IX process for Formal Complaints alleging violation of the University's Sexual Harassment in Employment/Education Policy. All references to "Title IX Coordinator" throughout this policy refer to the Title IX Coordinator or the Title IX Coordinator's designee.
  26. University's Title IX Policies. The University's Title IX Policies include this Policy and the Sexual Harassment in Employment/Education Policy located at Section 600.020 of the Collected Rules and Regulations (CRR).
- D. Making a Report. Any person (whether or not the person reporting is the Complainant) may report sexual harassment to the Title IX Coordinator. Such Reports may be made in person, or at any time (including during non-business hours) by mail, by telephone, or by electronic mail, using the contact information listed for the Title IX Coordinator, by an online portal set up by the University for this purpose, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. Individuals may also contact University police if the alleged offense may also constitute a crime. In order to foster reporting and participation, the University may provide amnesty to Parties and witnesses accused of minor student conduct violations ancillary to the incident.
  - E. Preliminary Contact. Upon receiving a Report, the Title IX Coordinator shall promptly contact the Complainant to discuss the availability of Supportive Measures as defined herein, consider the Complainant's wishes with respect to Supportive Measures, inform the Complainant of the availability of Supportive Measures with or without the filing of a Formal Complaint, and explain to the Complainant the process for filing a Formal Complaint. If the identity of the Complainant is unknown, the Title IX Coordinator may conduct a limited investigation sufficient to identify the Complainant to the extent possible.
  - F. Filing of a Formal Complaint. A Complainant may file a Formal Complaint with the Title IX Coordinator in person, by mail, or by electronic mail, by using the contact information set forth in CRR 600.020, or through an online portal provided for this purpose by the University. At the time of filing a Formal Complaint, the Complainant must be participating in or attempting to participate in an education program or activity of the University. The Title IX Coordinator may sign a Formal Complaint when they believe that with or without the Complainant's desire to participate in this process, a non-deliberately indifferent response to the allegations requires an investigation. Where the Title IX Coordinator signs a Formal Complaint, the Title IX Coordinator is not a Complainant or otherwise a Party under this policy.

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

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

G. Notice of Allegations:

1. Upon receipt of a Formal Complaint, the Title IX Coordinator will provide a written notice to the known Parties that includes the following:
  - a. A description of the University's Title IX Process, including Informal Resolution;
  - b. Notice of the allegations of sexual harassment, including sufficient details known at the time. Sufficient details include the identities of the Parties involved in the incident, if known; the conduct allegedly constituting the sexual harassment; and the date and location of the alleged incident.
  - c. A statement that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the Title IX process.
  - d. A statement reminding the Respondent that they have the right to file a report or Formal Complaint with the Title IX Coordinator; however, both Parties are advised that retaliation against any Party is prohibited.
  - e. A statement notifying the Parties of the availability of Supportive Measures.
  - f. A statement notifying the Parties of their right to have an Advisor of their choice, who may be, but is not required to be, an attorney. The Parties will be advised that if they do not have an Advisor to conduct cross-examination at a hearing on their behalf, the University will appoint such an Advisor; this Advisor may be, but is not required to be, an attorney. (This provision does not apply to matters

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

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

1. Supportive Measures. Supportive measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a Formal Complaint or where no Formal Complaint has been filed. These measures are designed to restore or preserve equal access to the University's education program or activity without unreasonably burdening the other Party, including measures designed to protect the safety of all Parties or the University's education environment, or deter sexual harassment. The University will maintain as confidential any Supportive Measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the Supportive Measures. The Title IX Coordinator is responsible for the effective implementation of Supportive Measures. Supportive Measures may include:
  - a. Referral and facilitating contact for the Complainant or Respondent for counseling or other support services.
  - b. Mutual restrictions on contact between the Parties.
  - c. Providing campus escort services to the Parties.
  - d. Increased security and monitoring of certain areas of the campus.
  - e. Adjusting the extracurricular activities, work schedules, work assignments, supervisory responsibilities, or work arrangements of the Complainant and/or the Respondent, as appropriate.
  - f. If either Party is a student:
    - (1) Referral of that Party to academic support services and any other services that may be beneficial to the Party.
    - (2) Adjusting the courses, assignments, and/or exam schedules of the Party.
    - (3) Altering the on-campus housing assignments, dining arrangements, or other campus services for the Party.
  - g. Providing limited transportation accommodations for the Parties.
  - h. Informing the Parties of the right to notify law enforcement authorities of the alleged incident and offering to help facilitate such a report.
2. Emergency Removal. The Title IX Coordinator may implement a removal of a Respondent from the University's education program or activity on an emergency basis, if the Title IX Coordinator, after conducting an individualized safety and risk analysis, determines that an immediate threat to the physical

health or safety of any student or other individual arising from the allegations of sexual harassment, justifies removal.

- a. In all cases in which an Emergency Removal is imposed, the Respondent will immediately be given notice and an opportunity to challenge the decision of the Title IX Coordinator either prior to such Removal being imposed, or as soon thereafter as reasonably possible but no later than five (5) business days following the Removal. Any challenge by Respondent shall be made in writing and directed to the Title IX Coordinator and must show cause why the Removal should not be implemented. The Title IX Coordinator will forward the challenge to the Emergency Removal Appeal Individual/Committee, which will make a final decision on Removal within three (3) business days.
  - b. Violation of an Emergency Removal under this policy may be grounds for discipline under applicable University conduct policy.
3. Interim Suspension of Student Organization. The Title IX Coordinator may suspend, on an interim basis, a Respondent Student Organization's operations, University recognition, access to and use of the University campus/facilities/events and/or all other University activities or privileges for which the Respondent Student Organization might otherwise be eligible, pending the completion of the Title IX Process when the Title IX Coordinator finds and believes from available information that the presence of the student organization on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student organization will be initiated within seven (7) business days.
4. Administrative Leave. The Title IX Coordinator may implement an administrative leave for an employee in accordance with University Human Resources Policies. Administrative leave for an employee is not an Emergency Removal under this policy.
- I. Employees and Students Participating in the Title IX Process. All University employees and students must be truthful when making any statement or providing any information or evidence to the University throughout the process, including but not limited to the Investigator, Title IX Coordinator, the Hearing Panel and/or the Equity Resolution Appellate Officer, and all documentary evidence must be genuine and accurate. False statements or fraudulent evidence provided in this process, including but not limited to the Investigator, Title IX Coordinator, Hearing Panel and/or the Equity Resolution Appellate Officer, by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or if by a student may be the basis for disciplinary action pursuant to the provisions of CRR 200.010. However, this obligation does not supersede nor expand any rights the individual may have under applicable

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state or federal statutory law or the U.S. Constitution. Nothing in this provision is intended to require a Party or witness to participate in the process. The fact that a determination has been made that a Respondent has or has not violated any policy is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness.

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

J. Rights of the Parties in the Title IX Process

1. To be treated with respect by University officials.
2. To be free from retaliation.
3. To have access to University support resources (such as counseling and mental health services and University health services).
4. To request a no contact directive between the Parties.
5. To have a Support Person of the Party's choice accompany the party to all interviews and meetings (excluding hearings) throughout the Title IX Process.
6. To refuse to have an allegation resolved through the Informal Resolution Processes.
7. To receive prior to a hearing or other time of determination regarding responsibility, an investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and written response.
8. To have an opportunity to present a list of potential witnesses and provide evidence to the Investigator.
9. To have Formal Complaints heard in substantial accordance with these procedures.
10. To receive written notice of any delay of this process or limited extension of time frames for good cause which may include considerations such as the absence of a Party, a Party's Advisor or a witness; concurrent law enforcement activity; or the need for language assistance or accommodation of disabilities.
11. To be informed of the finding, rationale, sanctions and remedial actions.
12. To report the matter to law enforcement (if applicable) and to have assistance in making that report.
13. To have an opportunity to appeal the dismissal of all or a portion of a Formal Complaint, and appeal the determination of a Hearing Panel or other decision-maker.
14. Additional Rights for Students as a Party:
  - a. To request reasonable housing, living and other accommodations and remedies consistent with Section 600.030.H.
  - b. To receive amnesty for minor student misconduct that is ancillary to the incident, at the discretion of the Title IX Coordinator.

15. Additional Rights for Hearing Panel Resolution:

- a. To receive notice of a hearing.
- b. To have the names of witnesses who may participate in the hearing and copies of all documentary evidence gathered in the course of the investigation and any investigative report prior to the hearing.
- c. To be present at the hearing, which right may be waived by either written notification to the Hearing Officer or by failure to appear.
- d. To have present an Advisor during the hearing and to consult with such Advisor during the hearing, and have the Advisor conduct cross-examination and other questioning on behalf of the Party at the hearing.
- e. To have an Advisor of the University's selection appointed for a Party where the Party does not have an Advisor of their own choice at a hearing.
- f. To testify at the hearing or refuse to testify at the hearing; however, if a Party or witness fails to submit to cross-examination at the hearing, the Hearing Panel shall not rely on any statement of that Party or witness in reaching a determination regarding responsibility. The Hearing Panel shall not draw any inference about the determination regarding responsibility based solely on a Party's or witness's failure to submit to cross-examination.
- g. To have an equal opportunity to present and question witnesses, including fact and expert witnesses, and present relevant evidence.
- h. To request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other.

16. Additional Rights for Academic Medical Center Process:

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

K. Role of Support Persons and Advisors.

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



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

2. Advisors. Each Party may have an Advisor of their choice present at the hearing to conduct cross-examination and other questioning for that Party. A Party may not directly question any other Party or any witness; all cross-examination and other questioning on behalf of a Party must be conducted by their Advisor. The Advisor may be, but is not required to be, an attorney. If a Party does not have an Advisor of their choice present at the hearing, the University will provide, without fee or charge to that Party, an Advisor of the University's choice to conduct cross-examination and other questioning on behalf of that Party. The Parties may not require that the assigned Advisor have specific qualifications such as being an attorney. At the hearing, a Party's Advisor may ask the other Party and any witnesses all relevant questions and follow-up questions, including those challenging credibility. An Advisor may conduct cross-examination and other questioning for a Party, and object to questions on limited grounds as specified in the Rules of Decorum. The Advisor may not make a presentation or otherwise represent the Complainant or the Respondent during the hearing. The Advisor may consult with the Party quietly or in writing, or outside the hearing during breaks, but may not speak on behalf of the Party, other than to conduct cross-examination or other questioning for the Party. Advisors who do not follow the Rules of Decorum will be warned or dismissed from the hearing at the discretion of the Hearing Officer.

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

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

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

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

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

The Parties may be accompanied to any related meeting or interview by a Support Person of their choice, who may be, but is not required to be, an

attorney; however, the Support Person may only participate in the proceedings as set forth in this policy.

The Parties shall be permitted to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint, including the evidence upon which the University does not intend to rely in reaching any determination regarding responsibility, and inculpatory or exculpatory evidence whether obtained from a Party or other source and copies of recordings of all interviews conducted during the investigation, in sufficient time for the Parties to meaningfully respond to the evidence prior to the conclusion of the investigation.

Prior to completion of the investigative report, the University will make available to each Party and the Party's Advisor, if any, the evidence subject to inspection and review in an electronic format or a hard copy, and the Parties will have ten (10) business days to submit a written response to the Investigator, which the Investigator will consider prior to completion of the investigative report.

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

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

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

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

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

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

- N. Dismissal of a Formal Complaint. During or upon the completion of the investigation, the Title IX Coordinator will review the Formal Complaint and

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

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

Upon a dismissal required or permitted under this provision, the University will promptly send written notice of the dismissal and reason(s) therefor simultaneously to the Parties. Either Party may appeal a dismissal as set forth in Section U herein.

If the Title IX Coordinator determines there is a sufficient basis to proceed with the Formal Complaint, then the Title IX Coordinator will direct the process to continue. The Formal Complaint will then be resolved through Informal Resolution or Hearing Panel Resolution, or the Academic Medical Center (AMC) Process, if applicable.

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

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

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

In the event the Parties are unable to reach a mutually agreeable resolution, the matter will be referred back for further investigation and/or hearing as may be applicable. The content of the Parties' discussions during the Informal Resolution Process will be kept confidential in the event the matter proceeds to the hearing process. The Parties' agreement to participate, refusal to

participate in, or termination of participation in Informal Resolution shall not be factors in any subsequent decisions regarding whether a policy violation occurred.

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

- P. Procedural Details for Administrative Resolution. The Parties may mutually choose to participate in a type of Informal Resolution called Administrative Resolution. The Administrative Resolution process is not available where a student has alleged that an employee sexually harassed the student. The Administrative Resolution process is not available to Academic Medical Centers (AMC).

The Administrative Resolution process is a process whereby the decision-maker will meet separately with the Parties and their Support Person, if any, and consider the evidence provided by the investigator, including the investigative report, and evidence provided by the Parties, and will make a determination of responsibility that is binding on both Parties. The decision of the Parties to participate in Administrative Resolution must be voluntary, informed and in writing provided to the investigator, and must include a knowing written waiver of their right to a hearing under the Title IX process. However, either Party may choose to leave the process and opt for a hearing at any time before a final determination has been rendered. In addition, the following will apply to the Administrative Resolution process:

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

- a. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
- b. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the decision-maker.

- c. Incidents or behaviors of the Respondent not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by the Respondent that shows a pattern may be considered only if deemed relevant by the decision-maker.
  - d. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
  - e. The decision-maker shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
3. In the Administrative Resolution Process, the Respondent and the Complainant may provide a list of questions for the decision-maker to ask the other Party. If those questions are deemed appropriate and relevant, they may be asked on behalf of the requesting Party; answers to such questions will be shared with the requesting Party.
  4. At any time prior to a final determination being rendered, the Complainant and/or the Respondent may request that the Formal Complaint shift from the Administrative Resolution Process to the Hearing Panel Resolution Process. Upon receipt of such timely request from either Party, the Formal Complaint will shift to the Hearing Panel Resolution Process.
  5. The Administrative Resolution process will normally be completed within sixty (60) business days of the decision-maker's receipt of the Formal Complaint. Deviations from this timeframe will be promptly communicated to both Parties.
  6. For good cause, the decision-maker in the Administrative Resolution Process may, in their discretion, grant reasonable extensions to the time frames and limits provided.
  7. The Administration Resolution process consists of:
    - a. A prompt, thorough and impartial investigation;
    - b. A separate meeting with each Party and their Support Person, if any, and the decision-maker;
    - c. A written finding by the decision-maker on each of the alleged policy violations;
    - d. A written finding by the decision-maker on sanctions and remedial actions for findings of responsibility; and
    - e. The decision-maker shall be as follows:

(1) For Student or Student Organization Respondents and Staff Respondents, the decision-maker will be the Title IX Coordinator;  
(2) For Faculty Respondents, the decision-maker will be as follows:

(a) The Title IX Coordinator will act as decision-maker and make recommendation(s) on findings of responsibility and sanctions and remedial actions, if applicable, to the Provost who will be the final decision-maker.

(b) The Title IX Coordinator has the option to request that a designee from the Provost's office act as decision-maker in Administrative Resolution and make recommendation(s) regarding findings of responsibility and sanctions and remedial actions, if applicable, to the Provost who will be the final decision-maker.

8. At least fifteen (15) business days prior to meeting with the decision-maker or if no meeting is requested, at least fifteen (15) business days prior to the decision-maker rendering a finding(s), the Title IX Coordinator or Provost's designee, if applicable, will send a letter (Notice of Administrative Resolution) to the Parties with the following information:
  - a. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
  - b. The name of the decision-maker.
  - c. Reference to or attachment of the applicable procedures.
  - d. A copy of the final investigative report.
  - e. The option and deadline of ten (10) business days from the date of the notice to request a meeting with the decision-maker.
  - f. An indication that the Parties may have the assistance of a Support Person of their choosing at the meeting, though the Support Person's attendance at the meeting is the responsibility of the respective Parties.
9. The sanctions of expulsion and termination are not available sanctions under the Administrative Resolution process in this Policy. Further, any suspension of a student under this Administrative Resolution process shall not exceed two (2) years. Any suspension of an employee under this Administrative Resolution process may be without pay, but may not exceed ten (10) business days.
10. The decision-maker can, but is not required to, meet with and question the Investigator and any identified witnesses. The decision-maker may request that the Investigator conduct additional interviews and/or gather additional information. The

decision-maker will meet separately with the Complainant and the Respondent, and their Support Person, if any, to review the alleged policy violations and the investigative report. The Respondent may choose to admit responsibility for all or part of the alleged policy violations at any point in the process. If the Respondent admits responsibility, in whole or in part, the decision-maker will render a finding that the individual is in violation of University policy for the admitted conduct. For any disputed violations, the decision-maker will render a finding using the preponderance of the evidence standard. The decision-maker will also determine appropriate sanctions or remedial actions.

11. The decision-maker will inform the Respondent and the Complainant simultaneously of the finding on each of the alleged policy violations and the finding of sanctions, if applicable, in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
12. Either Party may appeal a decision under Administrative Resolution in accordance with Section U of this policy.

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

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

The Chancellor (or Designee) will select a Hearing Panelist Pool Chair ("Pool Chair"). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint.

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

2. Title IX Hearing Panel ("Hearing Panel"). When a Formal Complaint is not resolved through an Informal Resolution process, the Hearing Panelist Pool Chair will randomly select two

(2) members from the Hearing Panelist Pool to serve on the specific Hearing Panel together with the Hearing Officer. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. Up to two (2) alternates may be designated to sit in throughout the process as needed. The University reserves the right to have its attorney present during the hearing and during deliberations to advise the Hearing Panel.

3. Notice of Hearing.

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

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

(2) A description of the applicable procedures.

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

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

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

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

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

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



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

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

4. Pre-Hearing Witness List and Documentary Evidence.

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

5. Objection to or Recusal of Hearing Panel Member.

- a. Hearing Panel members, including the Hearing Officer, shall not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent. If a Hearing Panel member or Hearing Officer feels that they have a conflict of interest or bias, or cannot make an objective determination, they must recuse themselves from the proceedings in advance of the hearing.
- b. The Parties will have been given the names of the Hearing Panel members, including the Hearing Officer, in the Notice of Hearing. Should any Complainant or Respondent object to any panelist, they must raise all objections, in writing, to the Title IX Coordinator at least fifteen (15) business days prior to the hearing.
- c. Hearing Panel members will only be unseated and replaced if the Title IX Coordinator concludes that

good cause exists for the removal of a panel member. Good cause may include, but is not limited to, bias that would preclude an impartial hearing or circumstances in which the Hearing Panel member's involvement could impact the Party's work or learning environment due to current or potential interactions with the Hearing Panel member (e.g., a panel member being in the same department as either Party). If the Title IX Coordinator determines that a Hearing Panel member, other than the Hearing Officer, should be unseated and replaced, then Title IX Coordinator will ask the Hearing Panel Pool Chair to randomly select another member from the pool to serve on the Hearing Panel. The Title IX Coordinator will select an alternate Hearing Officer if they determine that the Hearing Officer should be replaced. The Title IX Coordinator will provide a written response to all Parties addressing any objections to the Hearing Panel members, including the Hearing Officer.

6. Alternative Attendance or Questioning Mechanisms. All hearings will be live. However, at the request of either Party or by the University's designation, the live hearing may occur with the Parties located in separate rooms with technology enabling the Hearing Panel, including the Hearing Officer, and their legal advisor, if any, the Parties and their Advisors, and the Investigator, to simultaneously see and hear the Party or the witness answering questions. Should any hearing take place in this manner, the Title IX Coordinator (or Designee) shall be in charge of the technology during the hearing. The University will make reasonable accommodations for the Parties in keeping with the principles of equity and fairness.
7. Requests to Reschedule the Hearing Date. For good cause, the Title IX Coordinator may grant requests to reschedule the hearing date.
8. Pre-Hearing Matters.
  - a. At least ten (10) business days prior to the hearing date, a Party shall inform the Title IX Coordinator whether the Party intends to bring an Advisor of their choice to the hearing.
  - b. At least ten (10) business days prior to the hearing date, a Party shall inform the Title IX Coordinator whether the Party is requesting accommodations for the hearing.
  - c. At least five (5) business days prior to the hearing date, the final investigative report and all exhibits will be provided to the Hearing Panel members.
9. Pre-Hearing Meeting. Unless otherwise agreed by the Parties and the Hearing Officer, a pre-hearing meeting may be scheduled one hour prior to the start of the hearing between the

Hearing Officer and Parties' Advisors. Parties may, but are not required to, be in attendance at this meeting.

10. Conduct of Hearing. The Hearing Officer shall participate on the Hearing Panel and preside at the hearing, call the hearing to order, call the roll of the Hearing Panel and alternates in attendance, ascertain the presence or absence of the Investigator, the Complainant and the Respondent, confirm receipt of the Notice of Allegations and Notice of Hearing by the Parties, report any extensions requested or granted and establish the presence of any Advisors.

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

(1) The Complainant will proceed first and may give a verbal statement of their allegations of sexual harassment against the Respondent. The Hearing Panel may next ask questions of the Complainant. The Complainant will then be subject to cross-examination by the Advisor of the Respondent. The Complainant may also call witnesses who will be subject to questioning by the Advisor of the Complainant, questioning by the Hearing Panel, and cross-examination by the Advisor of the Respondent. The Complainant may also submit documentary evidence.

(2) The Respondent will proceed next and may give a verbal statement in response to the allegations of sexual harassment made by the Complainant. The Hearing Panel may next ask questions of the Respondent. The Respondent will be subject to cross-examination by the Advisor of the Complainant. The Respondent may also call witnesses who will be subject to questioning by the Advisor of the Respondent, questioning by the Hearing Panel, and cross-examination by the Advisor of the Complainant. The Respondent may also submit documentary evidence.

(3) The Investigator will then be available to answer questions of the Hearing Panel. The Investigator will next be subject to cross-examination by the Advisors of the Complainant and the Respondent. The Investigator may also call witnesses who will be subject to questioning by the Hearing Panel, and cross-examination by the Advisors of the Complainant and Respondent. The Investigator may also submit documentary evidence.

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

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

11. Hearing Process Rules.

- a. The formal rules of evidence shall not apply to any live hearing.
- b. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
- c. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the Hearing Officer.
- d. Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the Hearing Officer.
- e. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made or maintained in connection with the provision of treatment to the Party, may not be used without that Party's express consent.
- f. The Hearing Officer shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
- g. The relevancy and admissibility of any evidence offered at the hearing shall be determined by the Hearing Officer, whose ruling shall be final.
- h. A Party's Advisor will be permitted to ask the other Party and any witnesses relevant questions and follow-up questions, including those challenging credibility. Before a Complainant, Respondent or witness answers a cross-examination or other

question, the Hearing Officer must first determine whether the question is relevant and explain any decision to exclude a question as not relevant. Where the Hearing Officer permits a question to be answered, a presumption shall be made that the Hearing Officer determined that the question was relevant.

- i. If a Party or witness does not submit to cross-examination at a hearing, the Hearing Panel must not rely on any statement of that Party or witness in reaching a determination regarding responsibility, but no inference can be drawn from the fact that a Party or witness failed to submit to cross-examination.
- j. The Party's Advisors may object to questions on limited grounds as specified in the Rules of Decorum. The Hearing Officer will rule on such objections and that ruling shall be final.
- k. The Hearing Officer may dismiss any person from the hearing who interferes with or obstructs the hearing, fails to adhere to the Rules of Decorum, or fails to abide by the rulings of the Hearing Officer.
- l. Procedural questions which arise during the hearing and which are not covered by these general rules shall be determined by the Hearing Officer, whose ruling shall be final.

## 12. Findings of the Hearing Panel.

- a. The Hearing Panel will deliberate with no others present, except any legal advisor to the Hearing Panel, to find whether the Respondent is responsible or not responsible for the policy violation(s) in question. The Hearing Panel will base its finding on a preponderance of the evidence (i.e., whether it is more likely than not that the Respondent committed each alleged violation). If a Respondent is found responsible by a majority of the Hearing Panel, the Hearing Panel will determine appropriate sanctions and remedial actions by a majority vote.
- b. The Hearing Officer will prepare a written determination reflecting the decision of the Hearing Panel regarding responsibility, sanctions and remedial actions, if any ("Hearing Panel Decision"), and deliver it to the Title IX Coordinator detailing the following:

(1) Identification of the allegations potentially constituting sexual harassment as defined in CRR 600.020;

(2) A description of the procedural steps taken from the receipt of the Formal Complaint through

the determination, including any notifications to the Parties, interviews with Parties and witnesses, site visits, methods used to gather other evidence and hearings held;

(3) Findings of fact supporting the determination;

(4) Conclusions regarding the application of the University's Title IX Policies to the facts;

(5) A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions to be imposed on the Respondent, and whether remedies designed to restore or preserve equal access to the University's education programs or activities will be provided by the University to the Complainant; and

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

- c. The Hearing Panel Decision should be submitted to the Title IX Coordinator within five (5) business days of the end of deliberations. Deviations from the five-day period will be communicated by the Hearing Officer to the Parties and the Title IX Coordinator, along with an expected time for completion. The Hearing Panel Decision will be provided to the Title IX Coordinator who will provide it to the Parties simultaneously within five (5) business days of receipt of the decision.
- d. The Hearing Panel Decision will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
- e. The Hearing Panel Decision will become final either on the date that the Parties are provided with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.
- f. The Title IX Coordinator is responsible for effective implementation of any remedies.

R. Process for Academic Medical Centers (AMC)

- 1. Academic Medical Centers at the University of Missouri are not required to provide for a live hearing, but rather must adhere to the following process for resolving Formal Complaints alleging Title IX violations.
- 2. The decision-maker(s) for the Title IX Process for Academic Medical Centers shall be a neutral, impartial, and unbiased

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decision-maker designated by the Executive Vice Chancellor for Health Affairs.

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

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

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16. Within ten (10) business days of the last meeting with any Party or witness, the decision-maker must issue a written determination regarding responsibility, applying the preponderance of the evidence standard of evidence. The written determination must include:
  - a. Identification of the allegations potentially constituting sexual harassment as defined in CRR 600.020.
  - b. A description of the procedural steps taken from the receipt of the Formal Complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence and meetings held;
  - c. Findings of fact supporting the determination;
  - d. Conclusions regarding the application of the Title IX policies to the facts;
  - e. A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions to be imposed on the Respondent, and whether any remedies designed to restore or preserve equal access to the University's education program or activity will be provided by the University to the Complainant; and
  - f. The University's procedures and permissible bases for the Complainant and Respondent to appeal as set forth in Section U.
17. The written determination will be provided to the Title IX Coordinator, who will provide it to the Parties simultaneously within five (5) business days of receipt of the determination. Notification will be made in writing and sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
18. The determination becomes final either on the date that the University provides the Parties with the written determination of the result of the appeal, if any appeal is filed, or if any appeal is not filed, the date on which an appeal would no longer be considered timely.
19. The Title IX Coordinator is responsible for effective implementation of any remedies.

S. Sanctions and Remedial Actions.

1. If the Respondent is found responsible for a violation of the University's Title IX Policies, the Hearing Panel, or the decision-maker in the Administrative Resolution Process or Academic Medical Center Process, will determine sanctions and remedial actions. The Title IX Coordinator will apply and enforce the

sanctions and remedial actions and may also add other remedial actions as deemed appropriate.

- a. Factors Considered When Finding Sanctions/Remedial Actions include but are not limited to:

- (1) The nature, severity of, and circumstances surrounding the violation;
- (2) The disciplinary history of the Respondent;
- (3) The need for sanctions/remedial actions to bring an end to the conduct;
- (4) The need for sanctions/remedial actions to prevent the future recurrence of the conduct; and
- (5) The need to remedy the effects of the conduct on the Complainant and the University community.

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

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

- (1) Warning. A notice in writing to the Respondent that there is or has been a violation of institutional regulations, and cautioning that if there are further violations, the existence of the Warning may result in more severe sanctions in the future.
- (2) Probation. A written reprimand for violation of specified regulations. Probation is for a designated period of time and includes the probability of more severe sanctions if the Respondent is found to be violating any institutional regulation(s) during the probationary period.
- (3) Loss of Privileges. Denial of specified privileges for a designated period of time.
- (4) Restitution. Compensating the University for loss, damage, or injury to University property. This may take the form of appropriate service and/or monetary or material replacement.
- (5) Discretionary Sanctions. Work assignments, service to the University, or other related discretionary assignments, or completion of educational programming.
- (6) Residence Hall Suspension. Separation of the Respondent from the residence halls for a definite period of time, after which the Respondent is eligible to return. Conditions for readmission may be specified.

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

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

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

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

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

b. For Respondents who are Employee(s):

(1) Warning – verbal or written;

(2) Performance improvement plan;

(3) Required counseling;

(4) Required training or education;

(5) Loss of annual pay increase;

(6) Loss of supervisory responsibility;

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

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

(9) For Regular, Untenured Faculty, immediate termination of term contract and employment.

Notice of not reappointing would not be required;

(10) Suspension without pay;

(11) )Non-renewal of appointment;

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

(13) For Staff, Demotion;

(14) For Staff, Termination.

c. Remedial Actions. The following remedial actions may also be imposed to address the effects of the violation(s) of the University's Title IX Policies on

the Complainant. Such remedial actions will vary depending on the circumstances of the policy violation(s), but may include:

(1) Where the Complainant is a student:

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

(2) Where the Complainant is an employee:

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

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

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

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

U. Appeal.

1. Grounds for Appeal. Both Complainant and Respondent are allowed to appeal the dismissal of a Formal Complaint or any of the allegations therein, or the findings of the Administrative Resolution Process, the Hearing Panel Resolution Process, or the Academic Medical Center process. Appeals are limited to the following:

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

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

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

5. Review of the Appeal. If all three (3) requirements for appeal listed in paragraph 4 above are met, the Equity Resolution Appellate Officer will accept the request for appeal and proceed with rendering a decision on the appeal applying the following additional principles:
  - a. Appeals are not intended to be full re-hearings of the Formal Complaint and are therefore deferential to the original findings. In most cases, appeals are confined to a review of the written documentation and Record of the Case, and relevant documentation regarding the grounds for appeal. Appeals granted based on new evidence should normally be remanded to the original decision-maker for reconsideration.
  - b. The Equity Resolution Appellate Officer will render a written decision on the appeal to all Parties within ten (10) business days from accepting the request for appeal. In the event the Equity Resolution Appellate Officer is unable to render a written decision within ten (10) business days from accepting the request for appeal, the Equity Resolution Appellate Officer will promptly notify the Parties in writing of the delay.
  - c. Once an appeal is decided, the outcome is final. Further appeals are not permitted.
6. Extensions of Time. For good cause, the Equity Resolution Appellate Officer may grant reasonable extensions of time (e.g.: 7-10 business days) to the deadlines in the appeal process. The Equity Resolution Appellate Officer will notify the Parties in writing if such extensions are granted.
- V. Failure to Complete Sanctions/Comply with Interim and Long-term Remedial Actions. All Respondents are expected to comply with all sanctions and remedial actions within the timeframe specified. Failure to follow through on these sanctions and remedial actions by the date specified, whether by refusal, neglect or any other reason, may result in additional sanctions and remedial actions and/or suspension, expulsion, termination, referral to Dismissal for Cause process, or withdrawal of recognition from the University. Suspension will only be lifted when compliance is achieved to the satisfaction of the Title IX Coordinator.
- W. Dismissal for Cause Referral. If the recommended sanction for a Regular, Tenured Faculty member is referral to the Chancellor to initiate Dismissal for Cause, the Record of the Case will be forwarded to the appropriate Faculty Committee on Tenure. Because the Dismissal for Cause proceeding is not a re-hearing of the Complaint, the Record of the Case will be included as evidence and the findings will be adopted for proceeding as detailed in Section 310.060:

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Procedures in Case of Dismissal for Cause in the Collected Rules and Regulations.

- X. Records. In implementing this policy, records of all Formal Complaints, the Hearing Process or Academic Medical Center Process, and resolutions (including Informal resolution and result therefrom), will be kept by the Title IX Coordinator. For the purpose of review or appeal, the Record of the Case will be accessible at reasonable times and places to the Respondent and the Complainant. The Record of the Case will be kept for seven (7) years following final resolution.

In addition, a record of the response to all complaints of sexual harassment, must be maintained for a period of seven (7) years, including records of any actions, including Supportive Measures, taken in response to a report or Formal Complaint of sexual harassment. In each instance, the University must document the basis for its conclusion that its response was not deliberately indifferent, and document that it has taken measures designed to restore or preserve equal access to the University's education programs or activities. If the University did not provide a Complainant with Supportive Measures, the University must document the reasons why such a response was not clearly unreasonable in light of the known circumstances.

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

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

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

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



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

Bd. Min. 2-5-15; Amended 2-09-17 with an effective date of 3-1-17; Revised 7-28-20 with effective date of 8-14-20; Amended 2-4-21; Amended 6/27/24.

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

If a Complainant simultaneously alleges or the investigation suggests violations of the University's Anti-Discrimination Policies and (1) violation, misinterpretation, or arbitrary application of another written University rule, policy, regulation, or procedure which applies personally to the Faculty member; and/or (2) that there has been an infringement on the academic freedom of the Faculty member, the University shall have the authority to

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investigate and take appropriate action regarding each of the Complainant's allegations pursuant to this Equity Resolution Process. In conducting such investigations, the Provost, Equity Officer, and/or the Investigator may consult with and/or seek guidance from the Human Resources staff or other appropriate administrators as necessary.

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

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

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

C. Definitions:

1. Administrative Resolution. A voluntary resolution process where a decision-maker makes a finding on each of the alleged policy violations in a Complaint and a finding on sanctions and remedies without a hearing.
2. Complainant. "Complainant" refers to the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies chooses not to act as the Complainant in the resolution process or requests that the complaint not be pursued. If the University decides to pursue a report of discrimination by a visitor, third party or applicant through the applicable equity resolution process, the University will act as the Complainant. Former University Faculty or Staff members may act as the Complainant in the applicable equity resolution process only when their employment is terminated and they allege that the termination of employment was discriminatory. For any other allegations of discrimination by former University Faculty or Staff members, the University will appropriately respond to reports of a violation of the University's Anti-Discrimination policies and if the University decides to

- pursue a report of discrimination through the applicable equity resolution process, the University will act as the Complainant.
3. Complaint. A document prepared by the Equity Officer when a verbal or written report of alleged discrimination or harassment becomes known to the University, or a document filed and signed by a Complainant alleging discrimination or harassment against a Respondent and requesting that the University investigate the allegation.
  4. Conflict Resolution. A voluntary resolution process using alternative dispute resolution mechanisms such as mediation, facilitated dialogue, or restorative justice.
  5. Equity Resolution Appellate Officer. For Student(s) or Student Organization Respondents, a trained, senior-level administrator appointed by the Chancellor (or Designee) to hear all requests for reconsideration of summary determination and appeals stemming from the Equity Resolution Process. For Faculty Respondents, the Chancellor (or Designee).
  6. Equity Resolution Hearing Panel ("Hearing Panel"). The Hearing Officer and two (2) trained Equity Resolution Hearing Panelist Pool members who serve as the Hearing Panel for a specific Complaint. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member.
  7. Equity Resolution Hearing Panelists Pool ("Hearing Panelist Pool"). A group of at least five (5) faculty and five (5) administrators and/or staff selected by the Chancellor (or Designee) to serve as hearing panel members in the Hearing Panel Resolution process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University.
  8. Equity Officer. The Equity Officer is a trained administrator designated by the Chancellor (or Designee) to receive and assist with the investigation and resolution of Complaints regarding violation of the University's Anti-Discrimination Policies. All references to "Equity Officer" throughout this policy refer to the Equity Officer or the Equity Officer's Designee.
  9. Equity Support Person: An individual selected by a Party to provide support and guidance throughout the Equity Resolution Process. Each Party is allowed one Equity Support Person.
  10. Faculty Member. For purposes of Section 600.040, Faculty Member includes all regular and non-regular academic staff appointments as defined in Sections 310.020 and 310.035 of the Collected Rules and Regulations.
  11. Hearing Officer. A trained individual appointed by the Chancellor (or Designee) to preside over a hearing and act as a member of the Hearing Panel.
  12. Hearing Panelist Pool Chair ("Pool Chair"). The Hearing Panelist Pool Chair is selected by the Chancellor (or Designee).

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The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Complaint. The Pool Chair may serve as a panel member for a specific Complaint.

13. Hearing Panel Resolution. Resolution of a Complaint by an Equity Resolution Hearing Panel making the finding on each of the alleged policy violations. In faculty matters, the Hearing Panel will make recommendations as to any sanctions, if applicable, and the Provost will make the finding on sanctions. In matters involving students or student organizations, the Hearing Panel will make a finding on sanctions and remedial actions.
14. Investigators. Investigators are trained individuals appointed by the Equity Officer to conduct investigations of the alleged violations of the University's Anti-Discrimination Policies.
15. Parties. The Complainant and the Respondent are collectively referred to as the Parties.
16. Record of the Case. The Record of the Case in the Section 600.040 Process includes, when applicable: All Notices to the Parties, investigative report, recordings of Party and witness interviews, exhibits used at a hearing, the hearing record (an audio or audiovisual record of the hearing); any determination of dismissal of all or part of a Formal Complaint; the determination on each of the alleged policy violations and sanctions by either the Hearing Panel or Decision-maker; and the decision on the appeal, if any, including the request for appeal, any additional evidence submitted for the appeal, and written arguments of the parties.
17. Report. Any verbal or written communication or notice of an alleged violation of the University's Anti-Discrimination Policies.
18. Respondent. "Respondent" refers to the Faculty Member(s) or student(s) or student organization alleged to have violated the University's Anti-Discrimination Policies.
19. Student. A person having once been admitted to the University who has not completed a course of study and who intends to or does continue a course of study in or through one of the Universities of the University System. For the purpose of these rules, student status continues whether or not the University's academic programs are in session.
20. Student Organization. A recognized student organization which has received Official Approval in accordance with Section 250.010 of the Collected Rules and Regulations. Three members of the organization may represent the student organization as the Party.
21. Summary Resolution. Resolution of the Complaint upon a determination by the Equity Officer that there is an insufficient basis to proceed with the Complaint that the Respondent violated the University's Anti-Discrimination Policies.
22. University's Anti-Discrimination Policies. The University's Anti-Discrimination Policies include the Equal Employment/Education Opportunity and Nondiscrimination Policy located at Section 600.010 of the Collected Rules and Regulations (CRR).

D. Making a Report. Any person (whether or not the person reporting is the person alleged to be the victim of conduct that could constitute discrimination or harassment) may report discrimination or harassment to the Equity Officer. A report may be made in person, or at any time (including during non-business hours) by mail, by telephone, or by electronic mail, using the contact information listed for the Equity Officer, by an online portal set up by the University for this purpose, or by any other means that results in the Equity Officer receiving the person's verbal or written report. Individuals may also contact University police if the alleged offense may also constitute a crime. In order to foster reporting and participation, the University may provide amnesty to Parties and witnesses accused of minor student conduct violations ancillary to the incident.

E. Preliminary Contact and Inquiry. Upon receiving a report, the Equity Officer shall promptly contact the Complainant to discuss the availability of supportive measures as defined herein, consider the Complainant's wishes with respect to supportive measures, inform the Complainant of availability of supportive measures with or without the filing of a Complaint, and explain to the Complainant the process for filing a Complaint. If the identity of the Complainant is unknown, the Equity Officer may conduct a limited investigation sufficient to identify the Complainant to the extent possible. In addition to making preliminary contact, the Equity Officer shall conduct a preliminary inquiry to gather enough information to make a threshold decision regarding whether the report describes a possible violation of the University's anti-discrimination policies.

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

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

F. Filing a Complaint.

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

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

prepares a Complaint, the Equity Officer is not a Complainant or otherwise a party under this policy.

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

G. Notice of Allegations

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

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evidence by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or for disciplinary action pursuant to CRR 200.010 for students.

- i. A statement that nothing in the Equity Process is intended to supersede nor expand any rights the individual may have under applicable state or federal statutory laws or the U.S. Constitution.
- j. A statement informing a Party that all notices hereafter will be sent via their University-issued email account, unless they provide to the Equity Officer an alternate method of notification. If a Party does not have a University-issued email account, all notices hereafter will be via U.S. Mail unless they provide the Equity Officer with a preferred method of notification.

- 2. The Notice of Allegations will be made in writing to the Parties by email to the Party's University-issued email account, with a read-receipt or reply email requested. If a read-receipt or reply email is not returned within three (3) business days or the Party does not have a University-issued email account, the Notice of Allegations shall be sent via U.S. Mail postage pre-paid to the last known address of the Party. Notice also may be provided in person to either Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual, or 3) when mailed.

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

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

- a. Referral and facilitating contact for the Complainant or Respondent for counseling or other support services.
- b. Mutual restrictions on contact between the Parties.
- c. Providing campus escort services to the Parties.

- d. Increased security and monitoring of certain areas of the campus.
  - e. Adjusting the extracurricular activities, work schedules, work assignments, supervisory responsibilities, or work arrangements of the Complainant and/or Respondent, as appropriate.
  - f. If either Party is a student:
    - (1) Referral of that Party to academic support services and any other services that may be beneficial to the Party.
    - (2) Adjusting the courses, assignments, and/or exam schedules of the Party.
    - (3) Altering the on-campus housing assignments, dining arrangements, or other campus services for the Party.
  - g. Providing limited transportation accommodations for the Parties.
  - h. Informing the Parties of the right to notify law enforcement authorities of the alleged incident and offering to help facilitate such a report.
2. Emergency Removal. The Equity Officer may implement a removal of a Respondent from the University's education program or activity on an emergency basis, if the Equity Officer, after conducting an individualized safety and risk analysis, determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of discrimination or harassment, justifies removal.
- a. In all cases in which an Emergency Removal is imposed, the Respondent will immediately be given notice and an opportunity to challenge the decision of the Equity Officer either prior to such Removal being imposed, or as soon thereafter as reasonably possible but no later than five (5) business days following the Removal. Any challenge by Respondent shall be made in writing and directed to the Equity Officer and must show cause why the Removal should not be implemented. The Equity Officer will forward the challenge to the Emergency Removal Appeal Individual/Committee, which will make a final decision on Removal within three (3) business days.
  - b. Violation of an Emergency Removal under this policy may be grounds for discipline under applicable University conduct policy.
3. Interim Suspension of Student Organization. The Equity Officer may suspend, on an interim basis, a Respondent Student Organization's operations, University recognition, access to and use of the University campus/facilities/events and/or all other University activities or privileges for which the Respondent

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Student Organization might otherwise be eligible, pending the completion of the Equity Process when the Equity Officer finds and believes from available information that the presence of the student organization on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student organization will be initiated within seven (7) business days.

4. Administrative Leave. The Equity Officer may implement an administrative leave for an employee in accordance with University Human Resources Policies. Administrative leave for an employee is not an Emergency Removal under this policy.
- I. Employees and Students Participating in the Equity Resolution Process. All University employees and students must be truthful when making any statement or providing any information or evidence to the University throughout the process, including but not limited to the Investigator, Equity Officer, Provost (or Designee), the Hearing Panel, and/or the Equity Resolution Appellate Officer, and all documentary evidence must be genuine and accurate. False statements or fraudulent evidence or refusal to cooperate with the Investigator, Equity Officer, Provost (or Designee), Hearing Panel, and/or the Equity Resolution Appellate Officer by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or if by a student may be the basis for disciplinary action pursuant to the provisions of CRR 200.010. However, this obligation does not supersede nor expand any rights the individual may have under applicable state or federal statutory law or the U.S. Constitution. For purposes of this policy, "refusal to cooperate" does not include refusal to participate in any proceedings involving sex discrimination. The fact that a determination has been made that a Respondent has or has not violated any policy is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness. No employee or student, directly or through others, should take any action which may interfere with the investigation. Employees and students are prohibited from attempting to or actually intimidating or harassing any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.
  - J. Rights of the Parties in the Equity Resolution Process
    1. To be treated with respect by University officials.
    2. To be free from retaliation.
    3. To have access to University support resources (such as counseling and mental health services and University health services).
    4. To request a no contact directive between the Parties.
    5. To have an Equity Support Person of the Party's choice accompany the Party to all interviews, meetings, and proceedings throughout the Equity Resolution Process.
    6. To refuse to have an allegation resolved through Conflict or Administrative Resolution Processes.
    7. To receive prior to a hearing or other time of determination regarding responsibility, an investigative report that fairly

- summarizes the relevant evidence in an electronic format or hard copy for their review and written response.
8. To have an opportunity to present a list of potential witnesses and provide evidence to the Investigator.
  9. To have Complaints heard in substantial accordance with these procedures.
  10. To receive written notice of any delay of the process or limited extension of time frames.
  11. To be informed of the finding, rationale, sanctions and remedial actions.
  12. To report the matter to law enforcement (if applicable) and to have assistance in making that report.
  13. To have an opportunity to request reconsideration of the summary determination ending the process, and appeal the determination of a hearing panel or decision-maker.
  14. When the Complainant is not the reporting Party, the Complainant has full rights to participate in any Equity Resolution Process.
  15. Additional Rights for Students as a Party:
    - a. To request reasonable housing, living and other accommodations and remedies consistent with Section 600.040.H.
    - b. To receive amnesty for minor student misconduct that is ancillary to the incident, at the discretion of the Equity Officer.
  16. Additional Rights for Hearing Panel Resolution:
    - a. To receive notice of a hearing.
    - b. To have the names of witnesses that may participate in the hearing and copies of all documentary evidence gathered in the course of the investigation and any investigative report prior to the hearing.
    - c. To be present at the hearing, which right may be waived by either written notification to the Hearing Officer or by failure to appear.
    - d. To have present an Equity Support Person during the hearing and to consult with such Equity Support Person during the hearing.
    - e. To request to have an Equity Support Person of the University's selection appointed for a Student Party where the Student Party does not have an Equity Support Person of their own choice at a hearing.
    - f. To testify at the hearing or refuse to testify at the hearing.
    - g. To have an equal opportunity to present witnesses and documents deemed relevant by the Hearing Officer, and to question witnesses present and testifying at the hearing.

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

Investigator's observations regarding the credibility of the Complainant, the Respondent, and any witnesses interviewed.

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

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

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

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

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

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

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

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

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

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

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

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

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

Among the resolutions which may be reached at this stage (or at any point prior to a finding through Administrative or Hearing Panel Resolution), the

Respondent may voluntarily request to permanently separate from the University of Missouri System. If the Equity Officer accepts the Respondent's proposal, the Respondent must sign a Voluntary Permanent Separation and General Release agreement to effectuate their separation and terminate the Equity Resolution process.

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

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

- e. The decision-maker shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
4. The Respondent may not directly question the Complainant and the Complainant may not directly question the Respondent. However, if both Complainant and Respondent request the opportunity, direct questioning between the Parties will be permitted in the Hearing Panel Resolution Process. Otherwise written questions will be directed to Hearing Officer, and those questions deemed appropriate and relevant will be asked on behalf of the requesting Party.
5. In the Administrative Resolution Process, the Respondent and the Complainant may provide a list of questions for the decision-maker to ask the other Party. If those questions are deemed appropriate and relevant, they may be asked on behalf of the requesting Party; answers to such questions will be shared with the requesting Party.
6. At any time prior to the deadline in the Notice of Administrative Resolution, the Complainant and/or the Respondent may request that the Complaint shift from the Administrative Resolution process to the Hearing Panel Resolution process. Upon receipt of such timely request from either Party, the Complaint will shift to the Hearing Panel Resolution Process.
7. The Resolution Processes may proceed regardless of whether the Respondent chooses to participate in the investigation, the finding or the hearing.
8. The Administrative Resolution or Hearing Panel Resolution Process will normally be completed within a reasonably prompt time period, not to exceed one hundred twenty (120) days, following the Equity Officer's receipt of a Complaint. Unusual delays will be promptly communicated to both Parties.
9. For good cause, the decision-maker may, in their discretion, grant reasonable extensions to the time frames and limits provided.

Q. Administrative Resolution:

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

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- (1) For Faculty Respondents by the Provost (or Designee)
    - (2) For Student/Student Organization Respondents by the Equity Officer
  - d. A written finding on sanctions for findings of responsibility:
    - (1) For Faculty Respondents by the Provost
    - (2) For Student/Student Organization Respondents by the Equity Officer
- 3. At least fifteen (15) business days prior to meeting with the decision-maker, or if no meeting is requested, at least fifteen (15) business days prior to the decision-maker rendering a finding(s), the decision-maker will send a letter (Notice of Administrative Resolution) to the Parties containing the following information:
  - a. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
  - b. The name of the decision-maker.
  - c. Reference to or attachment of the applicable procedures.
  - d. A copy of the final investigative report.
  - e. The option and deadline of ten (10) business days from the date of the notice to request a meeting with the decision-maker.
  - f. An indication that the Parties may have the assistance of an Equity Support Person of their choosing at the meeting with the decision-maker, though the Equity Support Person's attendance at the meeting is the responsibility of the respective Parties.
  - g. The option and the deadline of ten (10) business days from the date of the Notice to request in writing that the matter be referred to the Hearing Panel Resolution process. If neither Party requests the Hearing Panel Resolution Process within the required time period, the matter will be decided through the Administrative Resolution Process and the right to the Hearing Panel Resolution Process is waived.
- 4. The Notice of Administrative Resolution will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person 2) emailed to the individual to their University-issued email account or 3) when sent via the alternate method of notification specified by the Party.
- 5. Within ten (10) business days from the date of the Notice of Administrative Resolution, the Parties have the right to have the

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matter referred to the Hearing Panel Resolution Process. If neither Party requests the Hearing Panel Resolution Process within the required time period, the matter will be decided through the Administrative Resolution Process and the right to the Hearing Panel Resolution Process is waived.

6. The decision-maker can, but is not required to, meet with and question the Investigator and any identified witnesses. The decision-maker may request that the Investigator conduct additional interviews and/or gather additional information. The decision-maker will attempt to meet separately with the Complainant and the Respondent, and their Equity Support Person, if any, to review the alleged policy violations and the investigative report. The Respondent may choose to admit responsibility for all or part of the alleged policy violations at any point in the process. If the Respondent admits responsibility, in whole or in part, the decision-maker will render a finding that the individual is in violation of University policy for the admitted conduct. For any disputed violations, the decision-maker will render a finding utilizing the preponderance of the evidence standard. For Faculty Respondents, the Provost's Designee may recommend appropriate sanctions and remedial actions but only the Provost will find sanctions or remedial actions. The findings and sanctions are subject to appeal.
7. The decision-maker will inform the Respondent and the Complainant simultaneously of the finding on each of the alleged policy violations and the finding of sanctions, if applicable, in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person 2) emailed to the individual to their University-issued email account or 3) when sent via the alternate method of notification specified by the Party.
8. Either Party may appeal a decision under Administrative Resolution in accordance with Section T of this policy.

#### R. Hearing Panel Resolution

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

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

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

2. Equity Resolution Hearing Panel (“Hearing Panel”). When a Complaint is not resolved through the Administrative Resolution Process, the Hearing Panelist Pool Chair will randomly select two (2) members from the Hearing Panelist Pool to serve on the specific Hearing Panel together with the Hearing Officer. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member. Up to two (2) alternates may be designated to sit in throughout the process as needed. The University reserves the right to have its attorney present during the hearing and during deliberations to advise the Hearing Panel.
3. Notice of Hearing.
  - a. At least twenty (20) business days prior to the hearing, the Equity Officer will send a letter (Notice of Hearing) to the Parties with the following information:
    - (1) A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
    - (2) A description of or attachment of the applicable procedures.
    - (3) A statement that the Parties may have the assistance of an Equity Support Person of their choosing, at the hearing; at the hearing, though the Equity Support Person’s attendance at the hearing is the responsibility of the respective Parties.
    - (4) The time, date and location of the hearing.
    - (5) A list of the names of each of the Hearing Panel members, including the Hearing Officer, and alternates, and information on how to raise an objection to any member of the Hearing Panel and the timeline in which to raise any objections.
    - (6) A copy of the final investigative report and exhibits.
    - (7) Notification to the Parties that all of the evidence gathered in the course of the investigation that is directly related to the allegations is available to the Parties and instructions regarding how to request access to that information.
    - (8) Notice that the Parties may request a virtual hearing and/or any necessary accommodations.

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- b. The Notice of Hearing letter will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual to their University-issued email account, or 3) when sent via the alternate method of notification specified by the Party.
4. Pre-Hearing Witness List and Documentary Evidence.
- a. At least fifteen (15) business days prior to the hearing, the Complainant and Respondent will provide to the Investigator a list of the names of the proposed witnesses and copies of all proposed documentary evidence that a Party intends to call or use at the hearing.
  - b. At least ten (10) business days prior to the hearing, the Investigator will provide to each Party the names of proposed witnesses and proposed documentary evidence that the other Party intends to call or use at the hearing.
  - c. No employee or student, directly or through others, should take any action which may interfere with the investigation or hearing procedures. Employees and students are prohibited from attempted or actual intimidation or harassment of any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.
  - d. At least five (5) business days prior to the hearing date, the final investigative report and all exhibits will be provided to the Hearing Panel members.
5. Objection to or Recusal of Hearing Panel Member.
- a. Hearing Panel members, including the Hearing Officer, shall not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent. If a Hearing Panel member feels that they have a conflict of interest or bias, or cannot make an objective determination, they must recuse themselves from the proceedings in advance of the hearing.
  - b. The Parties will have been given the names of the Hearing Panel members in the Notice of Hearing. Should any Complainant or Respondent object to any panelist, they must raise all objections, in writing, to the Equity Officer at least fifteen (15) business days prior to the hearing.
  - c. Hearing panel members will only be unseated and replaced if the Equity Officer concludes that good cause exists for the removal of a panel

member. Good cause may include, but is not limited to, bias that would preclude an impartial hearing or circumstances in which the Hearing Panel member's involvement could impact the Party's work or learning environment due to current or potential interactions with the Hearing Panel member (e.g., a panel member being in the same department as either Party). If the Equity Officer determines that a Hearing Panel member other than the Hearing Officer should be unseated and replaced, then the Equity Officer will ask the Hearing Panel Pool Chair to randomly select another member from the pool to serve on the Hearing Panel. If the Equity Officer determines that the Hearing Officer should be unseated and replaced, the Equity Officer shall select an alternate Hearing Officer to serve on the Hearing Panel. The Equity Officer will provide a written response to all Parties addressing any objections to the Hearing Panel members.

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

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

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

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

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

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

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

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

9. Process Rules and Rights of the Hearing Panel.

- a. The relevancy and admissibility of any evidence offered at the hearing shall be determined by the Hearing Officer, whose ruling shall be final, unless the Hearing Officer shall present the question to the Hearing Panel at the request of a member of the Hearing Panel, in which event, the ruling of the Hearing Panel by majority vote shall be final.
- b. To question witnesses or evidence introduced by the Investigator, the Complainant or the Respondent at any time during the hearing process.

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

10. Findings of the Hearing Panel.

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

(1) Identification of the allegations potentially constituting discrimination or harassment, as defined in CRR 600.010, and the determination of the Hearing Panel.

(2) A description of the procedural steps taken from the receipt of the Complaint through the determination, including any notifications to the Parties, interviews with Parties and witnesses, site visits, methods used to gather other evidence and hearings held;

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

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

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

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

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

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

- d. The Hearing Panel Decision will be provided to the Equity Officer (for Student Respondents) within five (5) business days of the end of deliberations. The Hearing Panel Decision will be provided to the Provost (or Designee) (for Faculty Respondents) within five (5) business days of the end of deliberations.
- e. The Provost (or Designee) (for Faculty Respondents) or the Equity Officer (for Student Respondents) will inform the Respondent and the Complainant simultaneously of the Hearing Panel Decision and the Provost's finding of sanctions, if applicable, within five (5) business days of receipt of the Hearing Panel Decision; such notification will be sent in writing by email to the Party's University-issued email account, or by the method of notification previously designated in writing by the Party. Notice is presumptively deemed

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

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

#### S. Sanctions and Remedial Actions.

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

- a. The nature, severity of, and circumstances surrounding the violation;
- b. The disciplinary history of the Respondent;
- c. The need for sanctions/remedial actions to bring an end to the conduct;
- d. The need for sanctions/remedial actions to prevent the future recurrence of conduct;
- e. The need to remedy the effects of the conduct on the Complainant and the University community; and
- f. Any other information deemed relevant by the decision-maker(s).

2. Types of Sanctions.

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

- (1) Warning - verbal or written;
- (2) Performance Improvement Plan;
- (3) Required counseling;
- (4) Required training or education;
- (5) Loss of annual pay increase;
- (6) Loss of supervisory responsibility;
- (7) Recommendation of discipline in a training program, including recommendation of termination, suspension or other corrective or remedial actions;
- (8) For Non-Regular Faculty, immediate termination of term contract and employment;
- (9) For Regular, Untenured Faculty, immediate termination of term contract and employment.



Notice of not reappointing would not be required;  
(10) Suspension without pay;  
(11) Non-renewal of appointment; and  
(12) For Regular, Tenured Faculty, suspension without pay, removal from campus and referral to the Chancellor to initiate dismissal for cause as detailed in Section 310.060 of the Collected Rules and Regulations.

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

(1) Warning. A notice in writing to the Respondent Student or Respondent Student Organization that there is or has been a violation of institutional regulations.

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

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

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

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

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

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

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

(9) University System Suspension. Separation

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

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

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

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

(1) Where the Complainant is a student:

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

(2) Where the Complainant is an employee:

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

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

- d. When Implemented.

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

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

(3) Sanctions against Faculty Respondents shall be implemented immediately; however, for Regular, Tenured Faculty Respondents, the sanction of suspension without pay will be a suspension with

pay while the appeal is pending, but not for the duration of any dismissal for cause proceedings.  
(4) When the sanction is termination, actual termination will be stayed until the end of any appeal period or once an appeal, if any, is final; however, the Respondent will be suspended without pay during any appeal period or once an appeal, if any, is final.

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

Appellate Officer to hear the pending appeal. All requests for appeal must be submitted in writing to the Equity Resolution Appellate Officer within five (5) business days of the delivery of the Notice of Administrative Resolution or Hearing Panel Decision. When any Party requests an appeal, the other Party will be notified and receive a copy of the request for appeal from the Equity Resolution Appellate Officer.

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

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

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

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accepting the request for appeal. In the event the Equity Resolution Appellate Officer is unable to render a written decision within ten (10) business days from accepting the request for appeal, the Equity Resolution Appellate Officer will promptly notify the Parties in writing of the delay.

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

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

- U. Failure to Complete Sanctions/Comply with Interim and Long-term Remedial Actions. All Respondents are expected to comply with all sanctions and remedial actions within the time frame specified. Failure to follow through on these sanctions and remedial actions by the date specified, whether by refusal, neglect or any other reason, may result in additional sanctions and remedial actions through the applicable process.
- V. Records. In implementing this policy, records of all Complaints, resolutions (including Conflict resolution and result therefrom, and Administrative Resolution and result therefrom), and hearings will be kept by the Equity Officer. For the purpose of review or appeal, the Record of the Case will be accessible at reasonable times and places to the Respondent and the Complainant. The Record of the Case will be kept for seven (7) years following final resolution.

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

- W. Dismissal for Cause Referral. If the recommended sanction for a Regular, Tenured Faculty member is referral to the Chancellor to initiate Dismissal for Cause, the Record of the Case will be forwarded to the appropriate Faculty Committee on Tenure. Because the Dismissal for Cause proceeding is not a re-hearing of the Complaint, the Record of the Case will be included as evidence and the findings will be adopted for proceeding as detailed in Section 310.060: Procedures in Case of Dismissal for Cause in the Collected Rules and Regulations.
- X. Retaliation. The University strictly prohibits retaliation against any person for making any good faith report of discrimination or harassment, or for filing, testifying, assisting, or participating in any investigation or proceeding involving allegations of discrimination or harassment. For matters involving discrimination or harassment other than sex discrimination under this policy, employees have an obligation to cooperate with University officials including

the Investigator, Equity Officer, Provost (or Designee), Hearing Panel, and/or the Equity Resolution Appellate Officer.

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

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

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

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

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

Bd. Min. 2-5-15; Amended 2-09-17 with an effective date of 3-1-17; Revised 7-28-20 with effective date of 8-14-20; Amended 2-4-21; Amended 6/27/24.-

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

If a Complainant simultaneously alleges or the investigation suggests violations of the University's Anti-Discrimination Policies and (1) violation, misinterpretation, or arbitrary application of another written University rule, policy, regulation, or procedure which applies personally to the Faculty member; and/or (2) that there has been an infringement on the academic freedom of the Faculty member, the University shall have the authority to

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investigate and take appropriate action regarding each of the Complainant's allegations pursuant to this Equity Resolution Process. In conducting such investigations, the Provost, Equity Officer, and/or the Investigator may consult with and/or seek guidance from the Human Resources staff or other appropriate administrators as necessary.

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

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

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

C. Definitions:

1. Administrative Resolution. A voluntary resolution process where a decision-maker makes a finding on each of the alleged policy violations in a Complaint and a finding on sanctions and remedies without a hearing.
- ~~2. Chair of the Hearing Panel ("Panel Chair"). A Chair of the Hearing Panel for a specific Complaint is designated by the Hearing Panelist Pool Chair. The Pool Chair may serve as the Chair of the Hearing Panel for a specific Complaint.~~
- ~~3.~~2. Complainant. "Complainant" refers to the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination Policies chooses not to act as the Complainant in the resolution process or requests that the complaint not be pursued. If the University decides to pursue a report of discrimination by a visitor, third party or applicant through the applicable equity resolution process, the University will act as the Complainant. Former University Faculty or Staff members may act as the Complainant in the applicable equity resolution process only when their employment is terminated and they allege that the termination of employment was



discriminatory. For any other allegations of discrimination by former University Faculty or Staff members, the University will appropriately respond to reports of a violation of the University's Anti-Discrimination policies and if the University decides to pursue a report of discrimination through the applicable equity resolution process, the University will act as the Complainant.

- 4.3. Complaint. A document prepared by the Equity Officer when a verbal or written report of alleged discrimination or harassment becomes known to the University, or a document filed and signed by a Complainant alleging discrimination or harassment against a Respondent and requesting that the University investigate the allegation.
- 5.4. Conflict Resolution. A voluntary resolution process using alternative dispute resolution mechanisms such as mediation, facilitated dialogue, or restorative justice.
- 6.5. Equity Resolution Appellate Officer. For Student(s) or Student Organization Respondents, a trained, senior-level administrator appointed by the Chancellor (or Designee) to hear all requests for reconsideration of summary determination and appeals stemming from the Equity Resolution Process. For Faculty Respondents, the Chancellor (or Designee).
- 7.6. Equity Resolution Hearing Panel ("Hearing Panel"). ~~A group of three (3)~~ The Hearing Officer and two (2) trained Equity Resolution Hearing Panelist Pool members who serve as the Hearing Panel for a specific Complaint. A good faith attempt will be made for the Hearing Panel to include at least one faculty member and one administrator or staff member.
- 8.7. Equity Resolution Hearing Panelists Pool ("Hearing Panelist Pool"). A group of at least five (5) faculty and five (5) administrators and/or staff selected by the Chancellor (or Designee) to serve as hearing panel members in the Hearing Panel Resolution process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members from one University may be asked to serve on a hearing panel involving another University.
- 9.8. Equity Officer. The Equity Officer is a trained administrator designated by the Chancellor (or Designee) to receive and assist with the investigation and resolution of Complaints regarding violation of the University's Anti-Discrimination Policies. All references to "Equity Officer" throughout this policy refer to the Equity Officer or the Equity Officer's Designee.
- 10.9. Equity Support Person: An individual selected by a Party to provide support and guidance throughout the Equity Resolution Process. Each Party is allowed one Equity Support Person.
10. Faculty Member. For purposes of Section 600.040, Faculty Member includes all regular and non-regular academic staff appointments as defined in Sections 310.020 and 310.035 of the Collected Rules and Regulations.

11. Hearing Officer. A trained individual appointed by the Chancellor (or Designee) to preside over a hearing and act as a member of the Hearing Panel.
12. Hearing Panelist Pool Chair ("Pool Chair"). The Hearing Panelist Pool Chair is selected by the Chancellor (or Designee). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Complaint. The Pool Chair may serve as a panel member for a specific Complaint.
13. Hearing Panel Resolution. Resolution of a Complaint by an Equity Resolution Hearing Panel making the finding on each of the alleged policy violations. In faculty matters, the Hearing Panel will make recommendations as to any sanctions, if applicable, and the Provost will make the finding on sanctions. In matters involving students or student organizations, the Hearing Panel will make a finding on sanctions and remedial actions.
14. Investigators. Investigators are trained individuals appointed by the Equity Officer to conduct investigations of the alleged violations of the University's Anti-Discrimination Policies.
15. Parties. The Complainant and the Respondent are collectively referred to as the Parties.
16. Record of the Case. The Record of the Case in the Section 600.040 Process includes, when applicable: All Notices to the Parties, investigative report, recordings of Party and witness interviews, exhibits used at a hearing, the hearing record (an audio or audiovisual record of the hearing); any determination of dismissal of all or part of a Formal Complaint; the determination on each of the alleged policy violations and sanctions by either the Hearing Panel or Decision-maker; and the decision on the appeal, if any, including the request for appeal, any additional evidence submitted for the appeal, and written arguments of the parties.
17. Report. Any verbal or written communication or notice of an alleged violation of the University's Anti-Discrimination Policies.
18. Respondent. "Respondent" refers to the Faculty Member(s) or student(s) or student organization alleged to have violated the University's Anti-Discrimination Policies.
19. Student. A person having once been admitted to the University who has not completed a course of study and who intends to or does continue a course of study in or through one of the Universities of the University System. For the purpose of these rules, student status continues whether or not the University's academic programs are in session.
20. Student Organization. A recognized student organization which has received Official Approval in accordance with Section 250.010 of the Collected Rules and Regulations. Three members of the organization may represent the student organization as the Party.
21. Summary Resolution. Resolution of the Complaint upon a determination by the Equity Officer that there is an insufficient basis to proceed with the Complaint that the Respondent violated the University's Anti-Discrimination Policies.

22. University's Anti-Discrimination Policies. The University's Anti-Discrimination Policies include the Equal Employment/Education Opportunity and Nondiscrimination Policy located at Section 600.010 of the Collected Rules and Regulations (CRR).

D. Making a Report. Any person (whether or not the person reporting is the person alleged to be the victim of conduct that could constitute discrimination or harassment) may report discrimination or harassment to the Equity Officer. A report may be made in person, or at any time (including during non-business hours) by mail, by telephone, or by electronic mail, using the contact information listed for the Equity Officer, by an online portal set up by the University for this purpose, or by any other means that results in the Equity Officer receiving the person's verbal or written report. Individuals may also contact University police if the alleged offense may also constitute a crime. In order to foster reporting and participation, the University may provide amnesty to Parties and witnesses accused of minor student conduct violations ancillary to the incident.

E. Preliminary Contact and Inquiry. Upon receiving a report, the Equity Officer shall promptly contact the Complainant to discuss the availability of supportive measures as defined herein, consider the Complainant's wishes with respect to supportive measures, inform the Complainant of availability of supportive measures with or without the filing of a Complaint, and explain to the Complainant the process for filing a Complaint. If the identity of the Complainant is unknown, the Equity Officer may conduct a limited investigation sufficient to identify the Complainant to the extent possible. In addition to making preliminary contact, the Equity Officer shall conduct a preliminary inquiry to gather enough information to make a threshold decision regarding whether the report describes a possible violation of the University's anti-discrimination policies.

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

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

F. Filing a Complaint.

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

All Complaints alleging discrimination or harassment under this policy will be investigated. The University may serve as the Complainant when the person alleged to have been subjected to discrimination or harassment in violation of the University's Anti-Discrimination policies chooses not to act as the

Complainant in the resolution process or requests that the Complaint not be pursued. If the University decides to pursue a report of discrimination by a visitor, third party or applicant through the applicable equity resolution process, the University will act as the Complainant. Where the Equity Officer prepares a Complaint, the Equity Officer is not a Complainant or otherwise a party under this policy.

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

#### G. Notice of Allegations

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

providing any information or evidence to the University throughout the grievance process, and all documentary evidence must be genuine and accurate. False statements and fraudulent evidence by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or for disciplinary action pursuant to CRR 200.010 for students.

- i. A statement that nothing in the Equity Process is intended to supersede nor expand any rights the individual may have under applicable state or federal statutory laws or the U.S. Constitution.
    - j. A statement informing a Party that all notices hereafter will be sent via their University-issued email account, unless they provide to the Equity Officer an alternate method of notification. If a Party does not have a University-issued email account, all notices hereafter will be via U.S. Mail unless they provide the Equity Officer with a preferred method of notification.
  2. The Notice of Allegations will be made in writing to the Parties by email to the Party's University-issued email account, with a read-receipt or reply email requested. If a read-receipt or reply email is not returned within three (3) business days or the Party does not have a University-issued email account, the Notice of Allegations shall be sent via U.S. Mail postage pre-paid to the last known address of the Party. Notice also may be provided in person to either Party. Notice is presumptively deemed delivered, when: 1) provided in person, 2) emailed to the individual, or 3) when mailed.
- H. Supportive Measures, Emergency Removal, Interim Suspension of Student Organization, and Administrative Leave
  1. Supportive Measures. Supportive measures are non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a Complaint. These measures are designed to restore or preserve equal access to the University's education programs, activities or employment without unreasonably burdening the other Party, including measures designed to protect the safety of all Parties or the University's education environment, or deter discrimination and harassment. The University will maintain as confidential any supportive measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the supportive measures. The Equity Officer is responsible for the effective implementation of supportive measures. Supportive measures may include:

- a. Referral and facilitating contact for the Complainant or Respondent for counseling or other support services.
  - b. Mutual restrictions on contact between the Parties.
  - c. Providing campus escort services to the Parties.
  - d. Increased security and monitoring of certain areas of the campus.
  - e. Adjusting the extracurricular activities, work schedules, work assignments, supervisory responsibilities, or work arrangements of the Complainant and/or Respondent, as appropriate.
  - f. If either Party is a student:
    - (1) Referral of that Party to academic support services and any other services that may be beneficial to the Party.
    - (2) Adjusting the courses, assignments, and/or exam schedules of the Party.
    - (3) Altering the on-campus housing assignments, dining arrangements, or other campus services for the Party.
  - g. Providing limited transportation accommodations for the Parties.
  - h. Informing the Parties of the right to notify law enforcement authorities of the alleged incident and offering to help facilitate such a report.
2. Emergency Removal. The Equity Officer may implement a removal of a Respondent from the University's education program or activity on an emergency basis, if the Equity Officer, after conducting an individualized safety and risk analysis, determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of discrimination or harassment, justifies removal.
- a. In all cases in which an Emergency Removal is imposed, the Respondent will immediately be given notice and an opportunity to challenge the decision of the Equity Officer either prior to such Removal being imposed, or as soon thereafter as reasonably possible but no later than five (5) business days following the Removal. Any challenge by Respondent shall be made in writing and directed to the Equity Officer and must show cause why the Removal should not be implemented. The Equity Officer will forward the challenge to the Emergency Removal Appeal Individual/Committee, which will make a final decision on Removal within three (3) business days.
  - b. Violation of an Emergency Removal under this policy may be grounds for discipline under applicable University conduct policy.

3. Interim Suspension of Student Organization. The Equity Officer may suspend, on an interim basis, a Respondent Student Organization's operations, University recognition, access to and use of the University campus/facilities/events and/or all other University activities or privileges for which the Respondent Student Organization might otherwise be eligible, pending the completion of the Equity Process when the Equity Officer finds and believes from available information that the presence of the student organization on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student organization will be initiated within seven (7) business days.
  4. Administrative Leave. The Equity Officer may implement an administrative leave for an employee in accordance with University Human Resources Policies. Administrative leave for an employee is not an Emergency Removal under this policy.
- I. Employees and Students Participating in the Equity Resolution Process. All University employees and students must be truthful when making any statement or providing any information or evidence to the University throughout the process, including but not limited to the Investigator, Equity Officer, Provost (or Designee), the Hearing Panel, and/or the Equity Resolution Appellate Officer, and all documentary evidence must be genuine and accurate. False statements or fraudulent evidence or refusal to cooperate with the Investigator, Equity Officer, Provost (or Designee), Hearing Panel, and/or the Equity Resolution Appellate Officer by an employee may be the basis for personnel action pursuant to CRR 370.010 or HR 601, or other applicable University policies, or if by a student may be the basis for disciplinary action pursuant to the provisions of CRR 200.010. However, this obligation does not supersede nor expand any rights the individual may have under applicable state or federal statutory law or the U.S. Constitution. For purposes of this policy, "refusal to cooperate" does not include refusal to participate in any proceedings involving sex discrimination. The fact that a determination has been made that a Respondent has or has not violated any policy is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness. No employee or student, directly or through others, should take any action which may interfere with the investigation. Employees and students are prohibited from attempting to or actually intimidating or harassing any potential witness. Failure to adhere to these requirements may lead to disciplinary action, up to and including expulsion or termination.
- J. Rights of the Parties in the Equity Resolution Process
1. To be treated with respect by University officials.
  2. To be free from retaliation.
  3. To have access to University support resources (such as counseling and mental health services and University health services).
  4. To request a no contact directive between the Parties.
  5. To have an Equity Support Person of the Party's choice accompany the Party to all interviews, meetings, and proceedings throughout the Equity Resolution Process.

6. To refuse to have an allegation resolved through Conflict or Administrative Resolution Processes.
7. To receive prior to a hearing or other time of determination regarding responsibility, an investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and written response.
8. To have an opportunity to present a list of potential witnesses and provide evidence to the Investigator.
9. To have Complaints heard in substantial accordance with these procedures.
10. To receive written notice of any delay of the process or limited extension of time frames.
11. To be informed of the finding, rationale, sanctions and remedial actions.
12. To report the matter to law enforcement (if applicable) and to have assistance in making that report.
13. To have an opportunity to request reconsideration of the summary determination ending the process, and appeal the determination of a hearing panel or decision-maker.
14. When the Complainant is not the reporting Party, the Complainant has full rights to participate in any Equity Resolution Process.
15. Additional Rights for Students as a Party:
  - a. To request reasonable housing, living and other accommodations and remedies consistent with Section 600.040.H.
  - b. To receive amnesty for minor student misconduct that is ancillary to the incident, at the discretion of the Equity Officer.
16. Additional Rights for Hearing Panel Resolution:
  - a. To receive notice of a hearing.
  - b. To have the names of witnesses that may participate in the hearing and copies of all documentary evidence gathered in the course of the investigation and any investigative report prior to the hearing.
  - c. To be present at the hearing, which right may be waived by either written notification to the Hearing ~~Panel Chair~~[Officer](#) or by failure to appear.
  - d. To have present an Equity Support Person during the hearing and to consult with such Equity Support Person during the hearing.
  - e. To request to have an Equity Support Person of the University's selection appointed for a Student Party where the Student Party does not have an Equity Support Person of their own choice at a hearing.
  - f. To testify at the hearing or refuse to testify at the hearing.
  - g. To have an equal opportunity to present witnesses and documents deemed relevant by the Hearing



~~Panel Chair~~Officer, and to question witnesses present and testifying at the hearing.

- h. To request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other.

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

If requested by a Student Party, the Equity Officer may assign an Equity Support Person to explain the Equity Resolution process and attend interviews, meetings and proceedings with a Student Party. University Equity Support Person(s) are administrators, faculty, or staff at the University trained on the Equity Resolution Process. The Parties may not require that the assigned Equity Support Person have specific qualifications such as being an attorney. An Equity Support Person cannot be called upon as a witness by a Party in a hearing to testify about matters learned while that individual was acting in their capacity as an Equity Support Person.

The Equity Support Person may not make a presentation or represent the Complainant or Respondent during the hearing. At the hearing, the Parties are expected to ask and respond to questions on their own behalf, without representation by the Equity Support Person. The Equity Support Person may consult with the Party quietly or in writing, or outside the hearing during breaks, but may not speak on behalf of the Party to the hearing panelists. If the Equity Support Person fails to follow these guidelines, they will be warned or dismissed from the hearing at the discretion of the Hearing ~~Panel~~ ChairOfficer.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

If the Equity Officer determines that there is an insufficient basis to proceed with the Complaint, then the process will end and the Complainant and

Respondent will simultaneously be sent written notification of the determination and advised of their right to request reconsideration. The Equity Officer may counsel and suggest monitoring or training opportunities to correct for inappropriate behavior that does not rise to the level of a violation. The Parties may request that the Equity Resolution Appellate Officer reconsider summary determination ending the process by filing a written request with the Equity Resolution Appellate Officer within five (5) business days of notice of the summary determination. If the Equity Resolution Appellate Officer decides there is a sufficient basis to proceed with the Complaint, the Equity Resolution Appellate Officer will reverse the determination ending the process and direct the process to continue pursuant to this policy. The Equity Resolution Appellate Officer will simultaneously send the Parties notice of their decision. This decision to continue the process lies in the sole discretion of the Equity Resolution Appellate Officer and such decision is final. Further reconsideration of such decision is not permitted. If the Equity Resolution Appellate Officer agrees with the summary determination ending the process by the Equity Officer that there is not a sufficient basis to proceed with the Complaint, then the process will end and the Complainant and the Respondent will simultaneously be sent written notification of the decision. This decision to end the process lies in the sole discretion of the Equity Resolution Appellate Officer and such decision is final. Further reconsideration of such decision is not permitted.

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

In Conflict Resolution, which includes mediation or facilitated dialogue, a neutral facilitator will foster dialogue with the Parties to an effective resolution, if possible. The Complainant's and the Respondent's Equity Support Person may attend the Conflict Resolution meeting. The Parties will abide by the terms of the agreed upon resolution. Failure to abide by the terms of the agreed upon resolution may be referred to the Equity Officer for review and referral to the appropriate University Process for discipline or sanctions. The Equity Officer will keep records of any Conflict Resolution that is reached. In the event the Parties are unable to reach a mutually agreeable resolution, the matter will be referred back to the Administrative or Hearing Panel Resolution process. The content of the Parties' discussion during the Conflict Resolution Process will be kept confidential in the event the matter proceeds to the Administrative or Hearing Panel Resolution processes. The Parties' agreement to participate in, refusal to participate in, or termination of

participation in Conflict Resolution shall not be factors in any subsequent decisions regarding whether a policy violation occurred.

Among the resolutions which may be reached at this stage (or at any point prior to a finding through Administrative or Hearing Panel Resolution), the Respondent may voluntarily request to permanently separate from the University of Missouri System. If the Equity Officer accepts the Respondent's proposal, the Respondent must sign a Voluntary Permanent Separation and General Release agreement to effectuate their separation and terminate the Equity Resolution process.

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

1. The standard of proof will be "preponderance of the evidence," defined as determining whether evidence shows it is more likely than not that a policy violation occurred.
2. The Respondent is presumed not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the Equity Resolution process.
3. The decision-maker has the discretion to determine the relevance of any witness or documentary evidence and may exclude information that is irrelevant, immaterial, cumulative, or more prejudicial than informative. In addition, the following rules shall apply to the introduction of evidence:

- a. Questions and evidence about the Complainant's pre-disposition or prior sexual behavior are not relevant, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
- b. Character evidence is information that does not directly relate to the facts at issue, but instead reflects upon the reputation, personality, or qualities of an individual, including honesty. Such evidence regarding either Party's character is of limited utility and shall not be admitted unless deemed relevant by the decision-maker.
- c. Incidents or behaviors of a Party not directly related to the possible violation(s) will not be considered unless they show a pattern of related misconduct. History of related misconduct by a Party that shows a pattern may be considered only if deemed relevant by the decision-maker.
- d. A Party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made

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

- e. The decision-maker shall not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.
4. The Respondent may not directly question the Complainant and the Complainant may not directly question the Respondent. However, if both Complainant and Respondent request the opportunity, direct questioning between the Parties will be permitted in the Hearing Panel Resolution Process. Otherwise written questions will be directed to [the Chair in the Hearing Panel Resolution ProcessHearing Officer](#), and those questions deemed appropriate and relevant will be asked on behalf of the requesting Party.
5. In the Administrative Resolution Process, the Respondent and the Complainant may provide a list of questions for the decision-maker to ask the other Party. If those questions are deemed appropriate and relevant, they may be asked on behalf of the requesting Party; answers to such questions will be shared with the requesting Party.
6. At any time prior to the deadline in the Notice of Administrative Resolution, the Complainant and/or the Respondent may request that the Complaint shift from the Administrative Resolution process to the Hearing Panel Resolution process. Upon receipt of such timely request from either Party, the Complaint will shift to the Hearing Panel Resolution Process.
7. The Resolution Processes may proceed regardless of whether the Respondent chooses to participate in the investigation, the finding or the hearing.
8. The Administrative Resolution or Hearing Panel Resolution Process will normally be completed within a reasonably prompt time period, not to exceed one hundred twenty (120) days, following the Equity Officer's receipt of a Complaint. Unusual delays will be promptly communicated to both Parties.
9. For good cause, the decision-maker may, in their discretion, grant reasonable extensions to the time frames and limits provided.

Q. Administrative Resolution:

1. Administrative Resolution can be pursued for any behavior that falls within the University's Anti-Discrimination Policies. Administrative Resolution may be used when both Parties elect to resolve the Complaint using the Administrative Resolution Process.
2. The Administrative Resolution process consists of:
  - a. A prompt, thorough and impartial investigation;

- b. A separate meeting with each Party and their Equity Support Person, if any, and the decision-maker, if requested;
  - c. A written finding by the decision-maker on each of the alleged policy violations:
    - (1) For Faculty Respondents by the Provost (or Designee)
    - (2) For Student/Student Organization Respondents by the Equity Officer
  - d. A written finding on sanctions for findings of responsibility:
    - (1) For Faculty Respondents by the Provost
    - (2) For Student/Student Organization Respondents by the Equity Officer
3. At least fifteen (15) business days prior to meeting with the decision-maker, or if no meeting is requested, at least fifteen (15) business days prior to the decision-maker rendering a finding(s), the decision-maker will send a letter (Notice of Administrative Resolution) to the Parties containing the following information:
- a. A description of the alleged violation(s) and applicable policy or policies that are alleged to have been violated.
  - b. The name of the decision-maker.
  - c. Reference to or attachment of the applicable procedures.
  - d. A copy of the final investigative report.
  - e. The option and deadline of ten (10) business days from the date of the notice to request a meeting with the decision-maker.
  - f. An indication that the Parties may have the assistance of an Equity Support Person of their choosing at the meeting with the decision-maker, though the Equity Support Person's attendance at the meeting is the responsibility of the respective Parties.
  - g. The option and the deadline of ten (10) business days from the date of the Notice to request in writing that the matter be referred to the Hearing Panel Resolution process. If neither Party requests the Hearing Panel Resolution Process within the required time period, the matter will be decided through the Administrative Resolution Process and the right to the Hearing Panel Resolution Process is waived.
4. The Notice of Administrative Resolution will be sent to each Party by email to their University-issued email account, or by the method of notification previously designated in writing by

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

#### R. Hearing Panel Resolution

1. Equity Resolution Hearing Panelist Pool. Each University will create and annually train a pool of not less than five (5) faculty and five (5) administrators and/or staff to serve as hearing panel members in the Hearing Panel Resolution Process. The faculty hearing panel members selected by the Chancellor (or Designee) shall be selected from a list of no less than ten (10) faculty members proposed by the faculty council/senate. Panelists are selected by the Chancellor (or Designee) and serve a renewable [onetwo](#)-year term. Selection of hearing panel pool members shall be made with an attempt to recognize the diversity of the University community. Hearing Panel members

from one University may be asked to serve on a hearing panel involving another University.

The Chancellor (or Designee) will select a Hearing Panelist Pool Chair ("Pool Chair"). The Pool Chair randomly selects and coordinates the hearing panel members to serve on the Hearing Panel for a specific Formal Complaint. The Pool Chair may serve as a panel member for a specific Formal Complaint.

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

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

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

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

- (2) A description of or attachment of the applicable procedures.

- (3) A statement that the Parties may have the assistance of an Equity Support Person of their choosing, at the hearing; at the hearing, though the Equity Support Person's attendance at the hearing is the responsibility of the respective Parties.

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

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

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

- (7) Notification to the Parties that all of the evidence gathered in the course of the investigation that is directly related to the



allegations is available to the Parties and instructions regarding how to request access to that information.

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

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

4. Pre-Hearing Witness List and Documentary Evidence.

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

5. Objection to or Recusal of Hearing Panel Member.

- a. Hearing Panel members, [including the Hearing Officer](#), shall not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent. If a Hearing Panel member feels that they have a conflict of interest or bias, or cannot make an objective determination, they must recuse themselves from the proceedings in advance of the hearing.
- b. The Parties will have been given the names of the Hearing Panel members in the Notice of Hearing. Should any Complainant or Respondent

object to any panelist, they must raise all objections, in writing, to the Equity Officer at least fifteen (15) business days prior to the hearing.

- c. Hearing panel members will only be unseated and replaced if the Equity Officer concludes that good cause exists for the removal of a panel member. Good cause may include, but is not limited to, bias that would preclude an impartial hearing or circumstances in which the Hearing Panel member's involvement could impact the Party's work or learning environment due to current or potential interactions with the Hearing Panel member (e.g., a panel member being in the same department as either Party). If the Equity Officer determines that a Hearing Panel member other than the Hearing Officer should be unseated and replaced, then the Equity Officer will ask the Hearing Panel Pool Chair to randomly select another member from the pool to serve on the Hearing Panel. If the Equity Officer determines that the Hearing Officer should be unseated and replaced, the Equity Officer shall select an alternate Hearing Officer to serve on the Hearing Panel. The Equity Officer will provide a written response to all Parties addressing any objections to the Hearing Panel members.
6. Request for Alternative Attendance or Questioning Mechanisms. The ~~Chair of the Hearing Panel~~Hearing Officer, in consultation with the Parties and investigators, may decide in advance of the hearing that certain witnesses do not need to be physically present if their testimony can be adequately summarized by the Investigator(s) in the investigative report or during the hearing. All Parties will have ample opportunity to present facts and arguments in full and question all present witnesses during the hearing, though formal cross-examination is not used between the Parties.  
All hearings will be live. However, at the request of either Party, or by the University's designation, the live hearing may occur with the Parties located in separate rooms with technology enabling the Hearing Panel and their legal advisor, if any, the Parties and their Equity Support Person, and the Investigator, to simultaneously see and hear the Party or the witness answering questions. Should any hearing take place in this manner, the Equity Officer (or Designee) shall be in charge of the technology during the hearing. The University will make reasonable accommodations for the Parties in keeping with the principles of equity and fairness.
7. Requests to Reschedule the Hearing Date. For good cause, the ~~Chair of the Hearing Panel~~Hearing Officer may grant requests to reschedule the hearing date.
8. Conduct of Hearing. The ~~Chair of the Hearing Panel~~Hearing Officer ("Chair" in this subsection) shall preside at the hearing, call the hearing to order, call the roll of the Hearing Panel and

alternates in attendance, ascertain the presence or absence of the Investigator, the Complainant and the Respondent, confirm receipt of the Notice of Allegations and Notice of Hearing by the Parties, report any extensions requested or granted, and establish the presence of any Equity Support Persons. Formal rules of evidence shall not apply.

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

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

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

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

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

9. Process Rules and Rights of the Hearing Panel.

- a. The relevancy and admissibility of any evidence offered at the hearing shall be determined by the ~~Chair~~Hearing Officer, whose ruling shall be final,

June 27, 2024

unless the ~~Chair~~Hearing Officer shall present the question to the Hearing Panel at the request of a member of the Hearing Panel, in which event, the ruling of the Hearing Panel by majority vote shall be final.

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

#### 10. Findings of the Hearing Panel.

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

responsible by a majority of the Hearing Panel, the Hearing Panel will recommend appropriate sanctions to the Provost, who will determine and impose the appropriate sanctions.

- c. The Hearing ~~Panel Chair~~Officer will prepare a written determination regarding responsibility ("Hearing Panel Decision") and deliver it to the Provost (or Designee) (for Faculty Respondents) or the Equity Officer (for Student Respondents) detailing the following:

- (1) Identification of the allegations potentially constituting discrimination or harassment, as defined in CRR 600.010, and the determination of the Hearing Panel.

- (2) A description of the procedural steps taken from the receipt of the Complaint through the determination, including any notifications to the Parties, interviews with Parties and witnesses, site visits, methods used to gather other evidence and hearings held;

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

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

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

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

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

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

- d. The Hearing Panel Decision will be provided to the Equity Officer (for Student Respondents) within five (5) business days of the end of deliberations. The Hearing Panel Decision will be provided to the Provost (or Designee) (for Faculty Respondents) within five (5) business days of the end of deliberations.

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

S. Sanctions and Remedial Actions.

1. Factors Considered When Finding Sanctions/Remedial Actions. When recommending or imposing sanctions and/or remedial actions, factors to consider include but are not limited to the following:
  - a. The nature, severity of, and circumstances surrounding the violation;
  - b. The disciplinary history of the Respondent;
  - c. The need for sanctions/remedial actions to bring an end to the conduct;
  - d. The need for sanctions/remedial actions to prevent the future recurrence of conduct;
  - e. The need to remedy the effects of the conduct on the Complainant and the University community; and
  - f. Any other information deemed relevant by the decision-maker(s).
2. Types of Sanctions.
  - a. The following sanctions may be imposed upon any Faculty Member found to have violated the University's Anti-Discrimination Policies. Multiple sanctions may be imposed for any single violation. Sanctions include but are not limited to:
    - (1) Warning - verbal or written;
    - (2) Performance Improvement Plan;
    - (3) Required counseling;

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

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

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

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

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

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

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

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

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

(1) Where the Complainant is a student:

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

(2) Where the Complainant is an employee:

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

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

- d. When Implemented.



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

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

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

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

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

T. Appeal. Both Complainant and Respondent are allowed to appeal a determination regarding responsibility in the Administrative Resolution Process or the finding(s) in the Hearing Panel Resolution Process.

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

- a. A procedural irregularity that affected the outcome of the matter (e.g., material deviation from established procedures, etc.);
- b. To consider new evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made that could affect the outcome of the matter;
- c. The Equity Officer, Investigator(s), or decision-maker(s) had a conflict of interest or bias for or against Complainants or Respondents generally or the individual Complainant or Respondent that affected the outcome of the matter; or
- d. The sanctions fall outside the range typically imposed for this offense, or for the cumulative conduct record of the Respondent.

2. Requests for Appeal. Both the Complainant and the Respondent may appeal to the Equity Resolution Appellate Officer. The Equity Resolution Appellate Officer must not have a conflict of interest or bias for or against Complainants or Respondents generally or an individual Complainant or Respondent; if the Equity Resolution Appellate Officer does not believe that they can make an objective decision about an appeal, they should recuse themselves. For Student and Student Organization Respondents, the Chancellor (or Designee) shall appoint an alternate Equity Resolution Appellate Officer to hear the pending appeal; For Faculty Respondents, the President (or Designee) shall appoint an alternate Equity Resolution Appellate Officer to hear the pending appeal. All requests for appeal must be submitted in writing to the Equity Resolution Appellate Officer within five (5) business days of the delivery of the Notice of Administrative Resolution or Hearing Panel Decision. When any Party requests an appeal, the other Party will be notified and receive a copy of the request for appeal from the Equity Resolution Appellate Officer.
3. Response to Request for Appeal. Within five (5) business days of the delivery of the notice and copy of the request for appeal, the non-appealing Party may file a response to the request for appeal. The response can address that sufficient grounds for appeal have not been met and/or the merits of the appeal.
4. Review of the Request to Appeal. The Equity Resolution Appellate Officer will make an initial review of the appeal request(s). The Equity Resolution Appellate Officer will review the request for appeal to determine whether:
  - a. The request is timely;
  - b. The appeal is on the basis of any of the articulated grounds listed above; and
  - c. When viewed in the light most favorable to the appealing Party, the appeal states grounds that could result in an adjusted finding or sanction.

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

5. Review of the Appeal. If all three requirements for appeal listed in Paragraph 4 above are met, the Equity Resolution Appellate Officer will accept the request for appeal and proceed with rendering a decision on the appeal applying the following additional principles:

- a. Appeals are not intended to be full re-hearings of the Complaint and are therefore deferential to the original findings. In most cases, appeals are confined to a review of the written documentation and Record of the Case, Administrative Resolution determination, or Hearing Panel Resolution, and relevant documentation regarding the grounds for appeal. Appeals granted based on new evidence should normally be remanded to the original decision-maker for reconsideration.
    - b. The Equity Resolution Appellate Officer will normally render a written decision on the appeal to all Parties within ten (10) business days from accepting the request for appeal. In the event the Equity Resolution Appellate Officer is unable to render a written decision within ten (10) business days from accepting the request for appeal, the Equity Resolution Appellate Officer will promptly notify the Parties in writing of the delay.
    - c. Once an appeal is decided, the outcome is final. Further appeals and grievances are not permitted.
  - 6. Extensions of Time. For good cause, the Equity Resolution Appellate Officer may grant reasonable extensions of time (e.g.: 7-10 business days) to the deadlines in the appeal process. The Equity Resolution Appellate Officer will notify the Parties in writing if such extensions are granted.
- U. Failure to Complete Sanctions/Comply with Interim and Long-term Remedial Actions. All Respondents are expected to comply with all sanctions and remedial actions within the time frame specified. Failure to follow through on these sanctions and remedial actions by the date specified, whether by refusal, neglect or any other reason, may result in additional sanctions and remedial actions through the applicable process.
- V. Records. In implementing this policy, records of all Complaints, resolutions (including Conflict resolution and result therefrom, and Administrative Resolution and result therefrom), and hearings will be kept by the Equity Officer. For the purpose of review or appeal, the Record of the Case will be accessible at reasonable times and places to the Respondent and the Complainant. The Record of the Case will be kept for seven (7) years following final resolution.
 

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

- W. Dismissal for Cause Referral. If the recommended sanction for a Regular, Tenured Faculty member is referral to the Chancellor to initiate Dismissal for Cause, the Record of the Case will be forwarded to the appropriate Faculty Committee on Tenure. Because the Dismissal for Cause proceeding is not a re-hearing of the Complaint, the Record of the Case will be included as evidence and the findings will be adopted for proceeding as detailed in Section 310.060: Procedures in Case of Dismissal for Cause in the Collected Rules and Regulations.
- X. Retaliation. The University strictly prohibits retaliation against any person for making any good faith report of discrimination or harassment, or for filing, testifying, assisting, or participating in any investigation or proceeding involving allegations of discrimination or harassment. For matters involving discrimination or harassment other than sex discrimination under this policy, employees have an obligation to cooperate with University officials including the Investigator, Equity Officer, Provost (or Designee), Hearing Panel, and/or the Equity Resolution Appellate Officer.
- For matters involving sex discrimination under this policy, no person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by law, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing. Intimidation, threats, coercion, or discrimination, including charges against an individual for policy violations that do not involve sex discrimination or sexual harassment, but arise out of the same facts or circumstances as a report or complaint of sex discrimination, or a report or Complaint of sexual harassment, for the purpose of interfering with any right or privilege secured by law, constitutes retaliation.
- The University must keep confidential the identity of any individual who has made a report or complaint of sex discrimination, including any individual who has made a report or filed a Complaint of sexual harassment, any Complainant, any individual who has been reported to be the perpetrator of sex discrimination, any Respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of applicable law, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder. Complaints alleging retaliation may be filed with the Equity Officer in accordance with CRRs 600.010, 600.040, and 600.050. Any person who engages in such retaliation shall be subject to disciplinary action, up to and including expulsion or termination, in accordance with applicable procedures. Any person who believes they have been subjected to retaliation is encouraged to notify the Equity Officer. The University will promptly investigate all complaints of retaliation in accordance with this policy.
- The exercise of rights protected under the First Amendment does not constitute retaliation prohibited under this section.
- Charging an individual with a policy violation for making a materially false statement in bad faith in the course of any proceedings under this policy does not constitute retaliation provided, however that a determination regarding responsibility, alone, is not sufficient to conclude that any Party made a materially false statement in bad faith.

# ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE

Jeanne C. Sinquefield, Chair

Robert D. Blitz

Todd P. Graves

Michael A. Williams

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

## **I. Scope**

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

## **II. Executive Liaison**

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

## **III. Ex Officio Member**

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

## **IV. Responsibilities**

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

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

## **EXECUTIVE SUMMARY**

### **New Degree Program, Bachelor of Fine Arts in Graphic Design University of Missouri-Columbia**

The BFA degree in Graphic Design combines technical competencies with creative abilities. Throughout the program students gain a strong understanding of design principles, theories of communication, and strategies for creative problem solving. The four-year BFA in Graphic Design teaches students to build an informed design process that enables them to pursue real-world design opportunities for well-paid careers and the ability to move into design management and art direction positions. In our visual culture, all businesses and non-profit organizations need graphic designers for their communications needs. The primary goal is to educate students to be effective and evocative visual communicators. Students develop technical skills and computer program knowledge (currently Adobe Creative Cloud programs) along with competencies of collaboration, research, writing, project management, and visual literacy.

While the School of Visual Studies proposes a new BFA in Graphic Design, MU has offered the ability for students to graduate as graphic designers by offering graphic design as one of the concentrations within the BA and BFA in Art degree programs. Other Art concentrations include Painting and Drawing, Ceramics, Fibers, Printmaking, Photography, and Sculpture. As has been the case at many universities across the US, there have been a strong increase in the numbers of art students interested in careers in Graphic Design. We propose the stand alone BFA in Graphic Design for three reasons: 1) High school students, parents, as well as admissions officers, have had a difficult time finding Graphic Design at MU because it not listed as a degree, just as course offerings within the Art BA and BFA degree programs; 2) the general Art degree program requires more art studio courses that doesn't leave room to require the additional graphic design courses needed for successful careers in design; and 3) the current graphic design students within the Art BFA program requested a named degree on their transcripts to help them build successful design careers. This new degree will move us decidedly into the 21st century.

No. 1

Recommended Action – Bachelor of Fine Arts in Graphic Design  
University of Missouri-Columbia

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

that the University of Missouri–Columbia be authorized to submit the attached proposal for a Bachelor of Fine Arts in Graphic Design to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee: YES NO

Curator Blitz

Curator Graves

Curator Sinquefield

Curator Williams

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

Roll call vote of Board: YES NO

Curator Blitz

Curator Fry

Curator Graves

Curator Holloway

Curator Krewson

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

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

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## **Executive Summary**

The BFA degree in Graphic Design combines technical competencies with creative abilities. Throughout the program students gain a strong understanding of design principles, theories of communication, and strategies for creative problem solving. The four-year BFA in Graphic Design teaches students to build an informed design process that enables them to pursue real-world design opportunities for well-paid careers and the ability to move into design management and art direction positions. In our visual culture, all businesses and non-profit organizations need graphic designers for their communications needs. The primary goal is to educate students to be effective and evocative visual communicators. Students develop technical skills and computer program knowledge (currently Adobe Creative Cloud programs) along with competencies of collaboration, research, writing, project management, and visual literacy.

While the School of Visual Studies proposes a new BFA in Graphic Design, MU has offered the ability for students to graduate as graphic designers by offering graphic design as one of the concentrations within the BA and BFA in Art degree programs. Other Art concentrations include Painting and Drawing, Ceramics, Fibers, Printmaking, Photography, and Sculpture. As has been the case at many universities across the US, there have been a strong increase in the numbers of art students interested in careers in Graphic Design. We propose the stand alone BFA in Graphic Design for three reasons: 1) High school students, parents, as well as admissions officers, have had a difficult time finding Graphic Design at MU because it not listed as a degree, just as course offerings within the Art BA and BFA degree programs; 2) the general Art degree program requires more art studio courses that doesn't leave room to require the additional graphic design courses needed for successful careers in design; and 3) the current graphic design students within the Art BFA program requested a named degree on their transcripts to help them build successful design careers. This new degree will move us decidedly into the 21st century.

## **1. Introduction**

The BFA in Graphic Design program will be a 120-credit degree for those seeking careers in design and visual communications. After completing the Art Foundation courses, students take Introduction to Typography in fall semester of the sophomore year. The students submit their work in a portfolio review process to be admitted into the BFA in Graphic Design program. The faculty will select two cohorts of 25 students each (total of 50 students per year) who will continue with the series of related studio and seminar courses in sequential order that moves them through the curriculum to the capstone year preparations for careers.

Graphic design is the creation of visual compositions to solve problems and communicate ideas through typography, imagery, color and form. In the BFA in Graphic Design program

students learn the basic foundational skills of drawing, design, and a course introducing students to the software programs used by designers (Adobe Creative Cloud). Next, students study typography, layout and composition along with the study of design methods followed by interactive media (UX and motion graphics), corporate identity and branding, packaging, design systems, and professional portfolio development and their capstone projects. Students also take several courses in Art, depending on their interests, such as photography, printmaking, illustration. The students study art history and the history of graphic design. Within their design and art courses (and their general education courses) they learn to conduct research, to write, to solve problems using the Design Thinking methodology, and to work in collaborative groups.

## **2. University Mission & Program Analysis**

### **2.A. Alignment with Mission & Goals**

The BFA in Graphic Design will provide highly trained designers to meet the design needs of businesses and nonprofit organizations across the state of Missouri and beyond, enhancing economic development in the state. Design is crucial for the success of all businesses and organizations. Graphic Design students are trained to conduct research, to communicate, and to collaborate with others in the design team and with clients.

#### **Alignment with Campus Strategic Plan**

The BFA in Graphic Design degree addresses three pillars of the MU Strategic Plan that also meet the goals of the College of Arts and Science and the School of Visual Studies:

##### Pillar 1: Excellence in Student Success

This BFA in Graphic Design degree program is designed to provide students with a structured degree program that leads directly to careers. As outlined in the Graphic Design Learning Objectives: Students will be able to skillfully employ the tools and technology that will prepare them for design practice and management in collaborative, client-based environments. The students will graduate with a professional portfolio of work as they transition to the job market. High Impact practices like real world class projects working with clients both on and off campus, working with MU graphic design alums in design careers each semester, and internships will provide students exceptional learning opportunities.

##### Pillar 2: Research and Creative Works

The experiences offered by this degree provide students with opportunities for research and real-world experiences. Two of the Learning Objective for this degree: 1. Students will demonstrate an understanding of the design process, critical thinking skills, research methodologies and creative ideation as a means of problem-solving and enhancing visual communication. 2. Students will be able to skillfully employ the tools and technology that will prepare them for design practice and management in collaborative environments.

Entrepreneurial and start-up businesses need graphic designers. The entrepreneurial interface of engineering, healthcare, and business requires graphic designers.

### Pillar 3: Engagement and Outreach

A fourth Learning Objective of the BFA in Graphic Design: Students will interpret the social, moral, and ethical consequences of their design decisions and work to become socially and culturally responsible decision makers within the larger global community. Graphic Design touches all people everywhere in education, in homes, and in jobs. Our students will come to their careers prepared to consider the social, moral, and ethical consequences of the designs they create and solve design problems.

### **Program Priority**

Graphic Design is currently a popular major as a concentration in the BFA in Art at Mizzou and will draw more new students to Mizzou once it becomes a stand-alone degree we can promote. Because graphic design is an important aspect of all businesses, there is a need for highly trained designers with cutting edge skills and research and communication experiences. Even here at Mizzou, the School of Visual Studies office frequently receives calls and emails from researchers, faculty, and offices requesting design student for jobs and projects here on campus. MU can be known for sending the best trained designers out into the workforce after graduation.

## **2.B. Duplication within Campus, Across UM System**

The University of Missouri-St. Louis (UMSL) and the University of Missouri-Kansas City both offer related degrees. UMSL offers graphic design as an emphasis within the BFA in Art degree. UMKC offers graphic design and related courses within their BA in Media, Art and Design degree that began in 2020. However, the BFA in Graphic Design will be the only program in the UM System with a singular focus on graphic design.

Both UMSL's Chair of Art and UMKC's Associate Dean and Associate Professor in Media, Art & Design, wrote letters of support for the new BFA in Graphic Design at MU.

The School of Visual Studies faculty and students have collaborated with both institutions and plan to increase collaborations. As the UMKC letter states: "This excellent BFA in Graphic Design will be a complementary program to our offerings here at UMKC. The proposed program and UMKC's program in Media, Art and Design both serve a growing area in the workforce but target different geographic markets. We hope that we can identify areas of inter-campus collaboration with this exciting new degree program by exploring course shares for electives in graphic design."

## 2.C. Duplication & Collaboration within the State

The following institutions have a similar program name as the one proposed.

Maryville University of Saint Louis	Missouri Western State University
Northwest Missouri State University	Columbia College
Park University	Webster University
Kansas City Art Institute	Drury University
Culver Stockton College	

### Rationale

In comparison, the University of Missouri-Columbia undergraduate enrollment was 31,412 in 2021, and approximately 20 graduates with a BFA or BA in Art and a focus in Graphic Design. We anticipate 50 BFA in Graphic Design graduates per year by 2027.

There are jobs in the field of graphic design for all of the graduates of the graphic design programs offered in Missouri. According to the Bureau of Labor Statistics BLS, there are about 3,710 graphic designers in the state, and there are expected to be 480 openings each year. That does not include related fields such as art directors, media and communication workers, commercial designers, special effects designers, game and app designers, and other designers.

The BFA in Graphic Design at MU will be a degree from the state's Land Grant Institution and will be enhanced by Mizzou's reputation. We want to distinguish ourselves by providing the top graphic designers steeped in undergraduate research and creative design scholarship. Our goal is to be one of the top graphic design programs in the country.

### Feasibility

While future collaboration efforts are being explored, it is important to highlight a culture of collaboration between MU, UMKC, and UMSL in the area of graphic design. For example, MU and UMKC are involved with Digistory KC and in the Kansas City Institute for Media, Animation & Graphic Innovation Education (KC-IMAGINE) program, which are dedicated to making investments and promoting collaboration in this area in the Midwest. Additionally, MU and UMSL collaborated on a project with UMSL's Art Department exhibiting their graduating seniors' art works as part of our Art in Storefronts initiative in 2022.

MU and UMSL have also explored a joint Art History minor, which could include the History of Graphic Design course. The School of Visual Studies' Art on the Move initiative (mission to bring MU student, alumni, and faculty art to every county in Missouri) has an ongoing relationship with MU Extension's Community Arts and includes graphic design students as well as all students in SVS.

Collaboration with other programs in the other state is not planned at this time.

## 3. Business-Related Criteria & Justification

### 3.A. Market Analysis

The program will meet Market Demand, Societal Need, and Student Demand.

#### *3.A.1. Rationale & Workforce Demand*

There is significant market demand for a new undergraduate degree in Graphic Design, based on a market assessment conducted using *Lightcast*. Students will be competitive for a significant number of positions in a field that is expected to grow substantially in the years ahead:

- In Missouri, there are 4,010 Graphic Design jobs with 423 annual openings. The median pay is \$49,600 annually, and the number of jobs is expected to grow by 12.6% over the next decade.
- In Missouri and its 8 surrounding states, there are 32,258 Graphic Design jobs with 3,564 annual openings. The median pay is \$52,900 annually, and the number of jobs is expected to grow by 16.5% over the next decade.
- Across the country, there are 284,052 Graphic Design jobs with 32,795 annual openings. The median pay is \$63,500 annually, and the number of jobs is expected to grow by 20.3% over the next decade.

In each case, the number of degree conferrals is far below that of the number of annual job openings, indicating that there is additional room to grow and produce more graduates in this field. This will become increasingly important as businesses rely more on websites, social media, and digital content, and as the pace of change in these areas increases.

Our program, in its current iteration and its proposed form, will be uniquely situated to meet workforce needs. The School of Visual Studies now has an Internship Coordinator to build connections with local, regional, and national partners. Student internships enhance learning, provide students with real-world experiences, and pave the way for post-graduation employment. As just one example, the School is working with the Kansas City Institute for Media, Animation, and Graphic Innovation in Education (KC IMAGINE) to promote partnerships between MU and business and civic organizations in the area. Lee Ann Garrison, Director of the School of Visual Studies, was invited to serve on the KC IMAGINE Advisory Board and is on the subcommittee focused on internships and career opportunities.

#### **Meeting Missouri's Needs**

In Missouri, according to the data from Lightcast Occupation Overview, between 2021 and 2032, jobs for Graphic Designers are expected to increase by 10.45%, Web and Digital Interface Designers by 45.25%, Art Directors by 27.25%, and Special Effects Artists and Animators by 14.47%.

The Bureau of Labor Statistics predicts 480 annual job openings for graphic designers in the State of Missouri.

Graphic designers are trained to communicate ideas through various media, both traditional print media and digital media. Over the past few years, SVS Graphic Design Faculty have had discussions with their alumni network to discern where our program is successful and where it needs to be further refined. The consensus is that we need to add to our offerings within the program to give the students a competitive edge. Many of our alumni interview recent graduates so they can compare our students' portfolios to those of students from other schools in the region.

We are working with a new organization in Kansas City, KC IMAGINE (Kansas City Institute for Media, Animation, and Graphic Innovation in Education) established as a program to promote collaboration between stakeholders in our region's digital media industry. KC-IMAGINE brings together area leaders from educational, business and civic organizations to explore ways to improve how we prepare talent to serve the region's digital media industry. Their goal is "To establish the Kansas City area with a world-class digital media industry that succeeds through its robust talent pipeline and the innovation of its entrepreneurs." Lee Ann Garrison, Director of the School of Visual Studies, was invited to be member of the KC IMAGINE Advisory Board, and she is on the subcommittee working to create internships and career opportunities for MU students.

In 2022, Missouri Representative Emanuel Cleaver announced a \$2M award to restore the studio at the Digital Storytelling Center of Kansas City for the benefit and enrichment of the public. The funding will be used to restore this historic studio for members of the public and provide enrichment for the surrounding neighborhood. This facility will become a center for digital media training, job creation, and entrepreneurship serving low-income people in the immediate community and the KC metro." MU is in on the ground floor of this project. The asked our involvement because they want our students in their pipeline from schools to industry. We predict this initiative will create many internship opportunities for SVS students which can lead to jobs after graduation. Graphic Design students are already in demand in the growing creative economy in both Kansas City and St. Louis.

### **Wage Analysis**

Graphic designers create designs either by hand or using computer software packages. Graphic designers create visual concepts, using computer software or by hand, to communicate ideas that inspire, inform, and captivate consumers. They develop the overall layout and production design for applications such as advertisements, brochures, magazines, and reports.

The median annual wage for graphic designers was \$59,970 10 in May 2021. The median wage is the wage at which half the workers in an occupation earned more than that amount, and half earned less. The lowest 10 percent earned less than \$31,310, and the highest 10 percent earned more than \$98,260.

In May 2022, the median annual wages for graphic designers in the top industries in which they worked were as follows:

1. Industries with the highest concentration of employment in Graphic Designers:
  - o \$67,410 Specialized design services

- \$67,850 Advertising, public relations, and related services
  - \$53,460 Newspaper, periodical, book, and directory publishers
  - \$45,070 Printing and related support activities
  - \$48,960 Other Miscellaneous Manufacturing
2. Top paying industries for Graphic Designers:
- \$101,470 Motion Picture and Video Industries
  - \$ 97,450 Media Streaming Distribution Services, Social Networks, and Other Media Networks and Content Providers
  - \$ 96,760 Monetary Authorities-Central Bank
  - \$ 93,760 Computer and Peripheral Equipment Manufacturing
3. In publishing industries (except Internet) the high pay is \$123,870.

Graphic designers are needed for web design and digital interface design. The projected growth is 23% from 2021-2031, a much faster than average growth for all occupations. The median annual wage was \$79,890 in 2021.

A degree in Graphic Design also prepares students to move up in their fields to such jobs as Art Directors with median pay for those with a bachelor's degree: \$100,890. For Art Directors in Motion picture and video industries the media is \$137,380. (2021 data)

For graphic designers interested in motion graphics and animation, they can specialize in special effects and animation. The median annual wage for special effects artists and animators was \$78,790 in May 2021. Employment of special effects artists and animators is projected to grow 5 percent from 2021 to 2031, about as fast as the average for all occupations.

Note: All Occupations includes all occupations in the U.S. Economy.

Source: U.S. Bureau of Labor Statistics, Occupational Employment Statistics  
<https://www.bls.gov/oes/current/oes271024.htm>

### **Summary of Support**

Missy Martinette Pinkel, an alumna who focused on graphic design for her BFA in Art degree, started her own small graphic design business after graduating from Mizzou and is now the owner and publisher of L O PROFILE Magazine, Studio M Publishing, LLC, in Lake Ozark, Missouri. She is also a member of the School of Visual Studies Advisory Board and wrote in support of the new BFA in Graphic Design: "A BFA in Graphic Design degree is highly sought after when searching for candidates for employment not only for an artistic director/designer for a publishing company but now these qualifications are crucial in all fields of Strategic Communications, Media Marketing, Digital, Social and Online Creative Development. The University of Missouri can raise its potential in qualified graduates by improving its learning environment not only in facilities but in equipment. With remote professional positions and freelance opportunities greater than ever, building on an entrepreneurship program is key as well."

The School of Visual Studies also received letters of support for the new BFA in Graphic Design degree from alumni of the Graphic Design focus in the Art BA or BFA from Mary

Fama, Beth Snyder, Josh Davis, Dale Ley, and Sabrina Tinsley, all attached. Ron Green, Hallmark retiree, School of Visual Studies Advisory Board member, and lead in KC IMAGINE and DigiStory KC, a non-profit organization devoted to creating a pipeline from schools to internship to jobs to build the creative economy in Kansas City, Mo, also wrote a letter of support, attached. Arts faculty from both the University of Missouri-St. Louis and the University of Missouri-Kansas City wrote letters of support, attached.

*3.A.2. Student Demand*

In the arts schools across the US, over the last 20 years, the student demand for graphic design has increased dramatically. Even with the graphic design area buried within the current BFA in Art degree, those who take the graphic design plan within the art degree have close to a 100% graduation rate. Currently the vast majority of Admissions visits for the Art degree program are from high school students and their parents wanting to learn about the graphic design area. As a land grant, R-1 institution, MU should have a much higher first year enrollment than it does for Art and Graphic Design, but without a degree in Graphic Design, high school students looking for the program do not know it exists at MU. Currently too many students discover the graphic design area within art after coming to MU for other majors. It often means they must stay longer than four years to complete the course work needed for careers in design. 100% of the current students who are taking the Graphic Design courses for the BFA in Art support the new BFA in Graphic Design. The new BFA in Graphic Design degree will graduate 50 students in four years (if they select graphic design as freshmen) without the need for additional studio space.

**Table 1a. Student Enrollment Projections – total enrollment**

<b>Year</b>	1	2	3	4	5
<b>Full-time</b>	50	100	150	200	200
<b>Part-time</b>	0	0	0	0	0
<b>Total</b>	50	100	150	200	200

**Justification for Projections**

The SVS believes the program will be successful because Graphic Design has been a concentration within the BFA in Art for three decades. The emphasis already attracts 30-40 students per year toward our goal of 50 students per year. It is currently a successful program, but it is not a visible program at MU. High school and transfer students are looking for degrees in Graphic Design now.

In the current program with the emphasis area, we admit two cohorts of 15-20 students each year. The total enrollment in the emphasis area is approximately 80, with 18-20 graduates per year. With the new BFA in Graphic program, we plan to maintain two cohorts and increase the number of students to 25 in each of the two cohorts, so 50 students each year. We expect the total enrollment in the program will increase to approximately 200, with 50 graduates per year once the program is fully up and running.



**Table 1b. New Student Enrollment Projections – total enrollment**

Year	1	2	3	4	5
Full-time	20	25	40	50	50
Part-time	0	0	0	0	1
Total	20	25	40	50	50

**Explanation**

Graduations in the first year will be those who are currently in the Graphic Design concentration area of the Art BFA degree. The number of seniors, including new students, plus internal and external transfer students, will increase with the visibility of the new BFA in Graphic Design degree in the second and third years. By the 4th year, the program should reach its capacity of 50 students in each cohort.

**Table 1c. Projected Number of Degrees/Certificates Awarded**

Year	1	2	3	4	5	6	7	8	9	10
Completions	20	30	40	50	50	50	50	50	50	50

**3.B. Financial Projections****Resources**

The School of Visual Studies is prepared to offer the BFA in Graphic Design with the current Faculty, Staff and Facilities available. At this time, we can admit 25 students into the program as a cohort. In order to double the program as planned, accepting two cohorts of 25 students in year two, we will need to hire one additional faculty member (TT or NTT) in order to offer additional sections of each class. Graphic Design students work in a cohort and take a strategically planned series of courses to graduate in four years. Doubling the cohorts would lead to 50 students graduating each year with a BFA in Graphic Design.

**Expenses**

To be able to teach a second cohort of 25 students (total 50) each year, we will need one new faculty member starting in year two. If the salary is \$70,000, benefits \$28,000, and startup \$2,500 per year for year 1, plus the one-time cost of a new laptop at \$4,000, the second year is projected to be \$104,500. Potentially, we may need an increase of 25% of an academic advisor after year two, but this is not a given since our current academic advisor can handle 25 additional students. If that were to happen, that would increase year two by \$12,500 salary and \$1,208 in benefits. That will increase year two to \$117,208.

**New Revenue**

The School of Visual Studies in the new Tier 2 tuition at \$7,961.24/semester for full time Missouri Residents, and \$617 per credit. Total Revenue for the first year with 50 students enrolled in the new BFA in Graphic Design (including tuition and scholarship allowances) will be \$266,544 and increasing to \$302,414 by the third year.

### *3.B.1. Additional Resources Needed*

The School of Visual Studies will need to hire an additional full time faculty member and potentially increase academic advising by .25 FTE. Both can be covered by tuition revenue. The School previously had an Arts Fee attached to each credit, but with the new Tiered Tuition model, the School of Visual Studies was placed in Tier 2 with slightly higher tuition and the Arts Fee was discontinued along with all additional fees for students at the University. The Tier 2 tuition is adequate to cover the needs of the program (with its smaller class sizes and studio spaces).

### **Zero Cost**

The School of Visual Studies Graphic Design program requires no NonCapital Maintenance & Repairs because there is no predicted costs. The program uses no specialized equipment. All students in the School of Visual Studies have a laptop requirement for their own laptops. The faculty require no Travel & Training (and can apply for travel funding through a donor fund). There are no miscellaneous expenses. There are no professional and consulting expenses associated with this new degree proposal. The current two School of Visual Studies Graphic Design studio classrooms can handle all classes in the new BFA in Graphic Design with its additional 25 students per year, so there is no new space required.

### *3.B.2. Revenue*

At 25 new students to MU, the additional tuition revenue would be \$133,272 based on current tuition of \$617 per credit, assuming 12 credits per semester, and minus MU's discount rate of 28%. Other than the class size limit of 25 students per class, a BFA in Graphic Design is not an expensive program to run.

The university does not add additional financial support for the degree program. Other than minor donor funds for scholarships and some additional extracurricular expenses (speaker fees, etc.) and limited travel awards for faculty research, the School of Visual Studies has no additional revenue.

### 3.B.3. Net Revenue

Including MU campus overhead allocations, the cumulative margin will be negative in Years 0-2, then begin to move into a positive cumulative margin of \$21,673 in year 3 with the prediction of a cumulative margin of \$420,309 by year 7.

**Table 2. Financial Projections for Proposed Program for Years 1 Through 5**

	Year 1	Year 2	Year 3	Year 4	Year 5
<b>1. Expenses per year</b>					
<b>A. One-time</b>					
<i>New/Renovated Space</i>	0	0	0	0	0
<i>Equipment</i>	0	0	0	0	0
<i>Library</i>	0	0	0	0	0
<i>Consultants</i>	0	0	0	0	0
<i>Other(Faculty Start Up)</i>	2,500	2,500	2,500	2,500	0
<b>Total one-time</b>	\$2,500	\$2,500	\$2,500	\$2,500	0
<b>B. Recurring</b>					
<i>Faculty</i>	\$70,000	\$71,400	\$72,828	\$74,285	\$75,770
<i>Staff (.25 Advisor)</i>	12,000	12,240	12,485	12,734	12,989
<i>Benefits</i>	29,208	29,793	30,388	30,996	31,616
<i>Equipment</i>	7,000	0	0	3,000	4,000
<i>Library</i>	0	0	0	0	0
<i>Other</i>	3,000	3,060	3,121	3,184	3,247
<b>Total recurring</b>	\$121,208	\$116,493	\$118,822	\$124,199	\$127,622
<b>Total expenses (A+B)</b>	\$123,708	\$118,993	\$121,322	\$126,699	\$127,622
<b>2. Revenue per year</b>					
<i>Tuition/Fees</i>	\$266,220	\$548,413	\$823,762	\$1,131,300	\$1,165,239
<i>Institutional Resources</i>					
<i>State Aid -- CBHE</i>					
<i>State Aid -- Other</i>					
<b>Total revenue</b>	\$266,220	\$548,413	\$823,762	\$1,131,300	\$1,165,239
<b>3. Net revenue (loss) per year</b>	\$142,512	\$429,421	\$702,440	\$1,004,601	\$1,037,616
<b>4. Cumulative revenue (loss)</b>	\$142,512	\$571,932	\$1,274,372	\$2,278,974	\$3,316,590

*3.B.4. Financial and Academic Viability*

**Table 3. Enrollment for Financial and Academic Viability**

<b>Enrollment</b>	Minimum for Financial Viability	Minimum for Academic Viability
<b>Full-time</b>	160	160
<b>Part-time</b>	0	0
<b>Total</b>	160	160

**Explanation of Viability Projections**

A minimum of 160 students (40 students per year) is the minimum required for the program to be financially and academically viable. A program of this size will have a strong reputation, will be able to provide high-quality learning experiences, and will bolster students’ employment prospects after graduation.

**3.C. Business Plan: Marketing, Student Success, Transition & Exit Strategies**

*3.C.1. Marketing Strategy*

The School of Visual Studies believes there is a pent-up demand for a graphic design BFA degree at Missouri’s R1 land grant institution. We will develop a focused recruiting campaign to target Missouri high schools and community colleges and continue to work with the College of A&S recruiters and MU Admissions. The School will update its website with easy access to information about the Graphic Design program. The School will take advantage of social media to market the new BFA in Graphic Design.

A targeted marketing initiative is to connect with graphic design teachers at community colleges in St Louis, St Charles, and Kansas City to discuss the best way to create easy transfer and articulation agreements between their associate degree program and our bachelor’s degree program at Mizzou. Our hope is to create a smooth transition and allow transfer students to better compete for design jobs with a bachelor’s degree in graphic design.

Over the past few years, one Graphic Design alumni who teaches graphic design courses at the Columbia Area Career Center brings a group of students to campus to sit in on our writing-intensive capstone course ARTGD\_VS 4976W - Design - Senior Seminar. The students have the opportunity to listen to the guest speaker slated for that day, tour Graphic Design and Art facilities, and talk to current Graphic Design students about our program. We plan to expand this approach and invite students from other selected high schools and community colleges.

### **Initial Marketing Plan**

The School of Visual Studies is in the final process of producing a flyer with pertinent Graphic Design information about the program and careers after graduation to mail to state high school art teachers and counselors and to provide to MU Admissions and College of A&S recruiters. We will also leverage our School of Visual Studies' Art on the Move initiative that sends students and alumni back to their home counties and high schools in Missouri for exhibitions and talks.

We continue to add content to the Graphic Design page on the School of Visual Studies website. The Graphic Design faculty know that the possibilities for adding more marketing materials will boost recruitment efforts. This is part of what they teach in Graphic Design courses. We plan to add video testimonials from graduating seniors in Spring 2024 and more Alumni Success Stories to the School of Visual Studies website. The testimonials will show senior students speaking about experiences at Mizzou in the Graphic Design program and alumni speaking about their exciting careers after graduation.

The Graphic Design faculty will continue to build on their successful career placements after graduation and continue to build connections and their reputation with Missouri employers. We are confident we can build our reputation as the top Graphic Design degree program in Missouri.

### **Individual Responsible for Marketing**

The majority of the marketing effort will be handled by the design faculty. Ric Wilson, Associate Professor and Graphic Design Program Coordinator, and Deborah Huelsbergen, Curator's Distinguished Professor, have a combined 40 years' experience in design and marketing. Lee Ann Garrison, Director of the School of Visual Studies, who has taught graphic design history for 25 years, will be another asset. We will also work with the College of Arts & Science Communications team and the support staff in the School of Visual Studies to help with marketing materials and coordination.

### **Projected program growth**

The current BFA in Art with its concentration area in Graphic Design is already very popular and graduates approximately 20 students each year. We believe we can more than double that cohort to 50 students per year within the first four years. We will begin the new BFA in Graphic Design with students in the program (because the courses will remain the same) and build from there. Growth and reputation will occur with increased visibility at MU by having a degree in Graphic Design, increasing the visibility of the BFA in Graphic Design on the MU School of Visual Studies (SVS) web page and listed as a degree on MU's webpage, developing promotional materials, increasing recruitment through high school and community college connections and visits, working with the SVS Art on the Move program to connect current students and alums to their home counties in Missouri, and continuing to develop a close connection to KC IMAGINE and Missouri's Workforce Development.

The BFA degree program will be capped at two cohorts of 25 each, or 50 students, accepted each year. Students will be selected during the portfolio review at the end of the required ARTGD\_VS 2410 Introduction to Typography course. This assures quality programming and high demand for our graduates.

We currently accept close to this number into the current Graphic Design concentration area embedded within the BA and BFA in Art degree program. This underscores that, while this is a new degree program proposal, the courses and demand have a long history at MU. The proposal for a new BFA in Graphic Design will allow students interested in careers in Graphic Design to be able to find Graphic Design as a major at MU much more easily, both on our School of Visual Studies website and from seeing as a distinct major on MU's website.

### **Marketing Costs**

A good estimate for new marketing costs would be \$1000 per year for at least the first two or three years to get word out about the new degree program.

#### *3.C.2. Student Success Plan*

The School of Visual Studies knows from the 30-year history of offering a concentration in Graphic Design in the BA and BFA in Art that once our students pass the preliminary portfolio review at the conclusion of the introductory Graphic Design course, ARTGD\_VS 2410 Introduction to Graphic Design, they are one of the cohort and considered to be an important part of our program. The faculty invest heavily in these students who understand the high expectations and know that the results of their hard work will lead to excellent job prospects. MU graphic design students have an excellent reputation, and we retain all our students through graduation with few exceptions such as illness or severe family problems. These occurrences are rare. All graphic design students graduate with excellent portfolios and want to take all the classes that we require to graduate.

The Graphic Design capstone course is structured so that it features one to four of our Graphic Design alumni during each semester. These are successful creative directors, art directors, designers and product designers at small and large companies, such as Amazon, Build a Bear, and Warner Music. Some own their own company or have other successful positions. They have won numerous awards including Emmys, Grammys, Addy's, and other awards in the design field. Our students are enthusiastic to hear about our alumni and their successes and many look forward to coming back to the class as a speaker once they graduate and are in a successful career.

### **Achieving Enrollment Outcomes**

The School of Visual Studies knows at a minimum we will continue to enroll students in Graphic Design each year as we have for decades within the BFA in Art concentration. We believe, through increased visibility and added classes for this professional degree, that enrollment will grow. We will also increase recruitment efforts within the school, work with the College of Arts & Science recruiters, and provide promotional materials to MU recruiters and admissions.

### *3.C.3. Transition Plan*

The School of Visual Studies director and the faculty in graphic design have the primary responsibility for the new BFA in Graphic Design. Because graphic design courses have been a media concentration in the Art BFA for over 25 years and during that time chairs or directors have changed and graphic design faculty have retired and new graphic design faculty hired, we have a track record of maintaining the program and foresee no problems that could disrupt the program and its continuing success.

### *3.C.4. Exit Strategy*

The School of Visual Studies does not predict the need for an exit strategy. Should the program not meet its academic and financial viability projections after 6 years, the program will be reevaluated and potentially put on hiatus. We would be able to move Graphic Design back to a media area within the Art BA and BFA programs so students in the program could continue and complete their degrees studying graphic design and future students could attend MU to study graphic design, as they do now.

Our program is over 25 years old and has always been very successful at attracting students, even as a media area within the BFA in Art degree. We believe with a designated BFA degree in Graphic Design, we will strengthen and build on our past, bring new students to MU, and become a destination graphic design program in the state of Missouri and surrounding states.

The worst-case scenario means students would return to taking graphic design courses within the BA or BFA in Art (where graphic design students are now). This new degree is meant to strengthen a successful program within the Art BA or BFA and to make Graphic Design visible to high school students looking for a college with a Graphic Design program.

Nationally, graphic design has consistently been the most popular majors in art departments for the last 30 years. The Graphic Design program provides students with a portfolio and degree that will result in a job, unlike many other art media areas. From experience we know that students who are not accepted into the Graphic Design program stay at the university and identify other majors, most often in the other arts areas within the School of Visual Studies. We will also continue the Graphic Design area within the BA in Art degree and those not accepted into the BFA in Graphic Design can select a BA. They can gain graphic design skills, but with fewer studio courses in design that lead to a professional degree. These BA students often double major in departments such as Communication, Business, English, and Journalism and go on to careers that benefit from a design background.

## **4. Institutional Capacity**

Because we already have students enrolled in all the courses, and we have the space for additional students, the cost to add this BFA in Graphic Design is minimal. We will need one additional faculty member. As shown in the financial documents attached, the startup costs for the new faculty member should show a minimal deficit at the beginning and the program should be running a small surplus by year 3 that increases each year.

## **5. Program Goals and Objectives**

### **5.A. Program Outcomes**

The program's goals and objectives are to create talented, skilled, visually literate problem solvers who will be highly sought after in numerous professional fields, including but not limited to: graphic design, marketing and advertising, packaging, corporate brand identity, web, user experience design (UX) and user interface design (UI), print and publication design, lettering, calligraphy and typographic design, environmental design, multimedia and animation design, trade show design, graphic illustration, sales and account management, apparel design, product design, toy design and data visualization and infographic design.

### **Overall Description of Student Learning Objectives**

Students will demonstrate and understand the design process, typography, communication, conceptual problem solving, historical analysis and critical thinking. Additionally, they will be skilled in using the tools and technology that is used in a professional environment as well as being social, ethical, and culturally responsible citizens of the global community. Students will be prepared to enter a successful career in graphic design upon graduation.



	<b>Student Learning Objectives</b>
1	Students will demonstrate an understanding of the design process, critical thinking skills, research methodologies and creative ideation as a means of problem-solving and enhancing visual communication.
2	Students will develop a thorough understanding of the form and function of typography and methodologies for successfully communicating ideas, narratives, concepts, and/or identities through various media.
3	Students will demonstrate an understanding of the history, theory and criticism of graphic design and the impact that historical analysis plays in contemporary practice.
4	Students will be able to skillfully employ the tools and technology that will prepare them for design practice and management in collaborative environments.
5	Students will interpret the social, moral and ethical consequences of their design decisions and work to become socially and culturally responsible decision makers within the larger global community.
6	Students will create a professional portfolio to be prepared to interview and move into a graphic design career.

## **5.B. Program Design & Content**

The BFA in Art with concentration in Graphic Design curriculum has been used for over 12 years within the BFA in Art degree program to train students interested in careers in Graphic Design. The 5 original graphic design courses will remain the same with the addition of several established elective courses changed to required courses. The electives were created over time to add Graphic Design courses needed for careers.

Many current students already take these electives to enhance their skill sets for careers. With this new BFA proposal, all students will be required to take all the courses in the program to elevate Graphic Design students' portfolios and preparation for careers and vastly improve their creative thinking, problem-solving and understanding of the design process. The new degree requires the current Graphic Design Electives: ARTGD\_VS 1400 Digital Tools and Concepts (creative digital computer programs), ARTGE\_VS 2430 Calligraphy and Handlettering, ARTGE\_VS 3410 Interactive Media, ARTGE\_VS 3440 Packaging Design Systems, ARTGE\_VS 3443 Letterpress, and the new course ARTGE\_VS 4420 Advanced Interactive Media, currently in the approval process.

## 5.C. Program Structure

### Program Curriculum

The School of Visual Studies' Graphic Design BFA program offers opportunities for students to become talented, skilled, visually literate problem solvers who will be highly sought after in numerous professional fields, including but not limited to: graphic design, marketing and advertising, packaging, corporate brand identity, web user experience design (UX) and user interface design (UI), print and publication design, lettering, calligraphy and typographic design, environmental design, multimedia and animation design, trade show design, graphic illustration, sales and account management, apparel design, product design, and data visualization and infographic design. Through a variety

of graphic design courses, students learn critical thinking skills, creative problem solving, and become life-long learners. Course offerings include typography, print design, interactive design, packaging design and identity and branding design. The BFA is considered a professional degree intended to provide a solid foundation for a career in graphic design. Businesses are looking for creative thinkers who are technically proficient and innovative problem solvers, skills acquired in the BFA degree.

### Program Requirements

Graphic Design majors earning a BFA degree complete School of Visual Studies foundations courses, BFA core requirements, and School of Visual Studies Graphic Design courses. Students enrolled in the BFA degree program may not include graphic design, art or art history courses with a grade of D.

All Graphic Design students are assigned a School of Visual Studies academic advisor. Students are encouraged to meet regularly with the advisor to plan a program of study.

The graduation plan consists of 66-72 credit hours in Graphic Design and Studio Art courses and 12 credit hours of Critical Studies courses. A maximum number of 72 hours of course work may be taken in Graphic Design and Studio Art. Students must complete 35 major and art history credit hours at MU.

Studio courses with a grade of "D" or "F" may not be included in the graduation plan. 30 hours of the 120 needed to graduate must be numbered 3000 and above.

In addition, students must complete all College of Arts and Science and University graduation requirements, including University general education.

All students wishing to pursue a BFA degree in Graphic Design will need to pass the Graphic Design BFA Portfolio Review. A student will need to have completed the SVS Foundation Courses ([ART VS 1020](#): Introduction to Visual Studies, [ART VS 1030](#): 2D Methods and Materials, [ART VS 1040](#): 3D Methods and Materials, [ART VS 1050](#): Drawing Materials & Methods, [ARTGD VS 1400](#) Digital Tools and Concepts), and [ARTGD VS 2410](#): Intro to Typography before submitting a portfolio (it is acceptable to be enrolled in the last class(es) the semester the portfolio is submitted) for the BFA.

Foundation Courses (15 Credit Hours)

<a href="#">ART VS 1020</a>	Introduction to Visual Studies	3
<a href="#">ART VS 1030</a>	2-D Materials and Methods	3
<a href="#">ART VS 1040</a>	3-D Materials and Methods	3
<a href="#">ART VS 1050</a>	Drawing: Materials and Methods	3
<a href="#">ARTGD VS 1400</a>	Digital Tools and Concepts	3

Core Requirements (9 Credit Hours)

<a href="#">ART VS 2730</a>	Screen Printing	3
<a href="#">ART VS 2600</a>	Digital Photography	3
<a href="#">ART VS 2310</a>	Papermaking and Artists' Books	3

Graphic Design Course Requirements (33 Credit Hours)

<a href="#">ARTGD VS 2410</a>	Introduction to Typography	3
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Graphic Design Portfolio Review after [ARTGD VS 2410](#)

<a href="#">ARTGD VS 2420</a>	Design Methods and Production	3
<a href="#">ARTGD VS 2430</a>	Calligraphy and Hand Lettering	3
<a href="#">ARTGD VS 3410</a>	Interactive Media	3
<a href="#">ARTGD VS 3440</a>	Packaging Design Systems	3
<a href="#">ARTGD VS 3442</a>	Corporate Identity and Branding	3
<a href="#">ARTGD VS 3443</a>	Letterpress	3
<a href="#">ARTGD VS 4400</a>	Design Systems	3
<a href="#">ARTGD VS 4410</a>	Professional Portfolio Development	3
<a href="#">ARTGD VS 4420</a>	Advanced Interactive Media	3
<a href="#">ARTGD VS 4976</a>	Design - Senior Seminar	3
or <a href="#">ARTGD VS 4976W</a>	Design - Senior Seminar - Writing Intensive	

School of Visual Studies Studio Electives (Select 9-15 Credit Hours)

<a href="#">DST VS 1880</a>	Introduction to Digital Media Production	3
<a href="#">ART VS 2100</a>	Hand-Built Ceramics	3
<a href="#">ART VS 2210</a>	Beginning Color Drawing	3
<a href="#">ART VS 2240</a>	Comics and Cartooning: Writing with Pictures	3
<a href="#">ART VS 2700</a>	Etching and Relief Printmaking	3
<a href="#">ART VS 2800</a>	Beginning Sculpture	3
<a href="#">DST VS 2885</a>	Digital Storytelling Animation Production I	3
<a href="#">ART VS 3030</a>	Undergraduate Internship in Art	1-3
<a href="#">ART VS 3100</a>	Wheel-Thrown Ceramics	3
<a href="#">ART VS 3230</a>	Beginning Illustration	3
<a href="#">ART VS 3300</a>	Fibers and Material Studies	3
<a href="#">ART VS 3600</a>	Black and White Photography	3
<a href="#">ART VS 3700</a>	Intermediate Printmaking	3
<a href="#">ART VS 3800</a>	Intermediate Sculpture	3
<a href="#">ARTGD VS 3430</a>	Advanced Calligraphy and Hand Lettering	3

Critical Studies Requirements (12 Credit Hours)		
<a href="#">ARH_VS 1130</a>	Introduction to the History of Art	3
ARH_VS Course numbered 2000+ in Art History		3
ARH_VS Course numbered 3000+ in Art History		3
<a href="#">ARTGD_VS 3441</a>	The History of Graphic Design	3
or <a href="#">ARTGD_VS 3441H</a>	The History of Graphic Design - Honors	

### Additional Faculty

Level	Number
Tenure Track	1
Non-Tenure Track	0
Post-Doc Fellows	0
Grad Tchng/Research Asst	0
Adjunct	0

### Residency Requirements

Students take the majority of required courses on the MU campus. A very few required courses such as ARTGD\_VS 1400 Digital Tools and Concepts and ARTGD\_VS 3441 The History of Graphic Design are occasionally taught online.

### Internship, thesis or other capstone

Internships are recommended but not required. Internships count in Electives.

The Graphic Design capstone course is ARTGD\_VS 4976 Design Senior Seminar taken after or concurrently with ARTGD\_VS 4410 Professional Portfolio Development. All students participate in a final, mandatory, formal portfolio review that includes design work and written communications.

### Unique features

None

### Admission Requirements

None. All students admitted to MU can enter the BFA in Graphic Design. There is a Graphic Design Portfolio Review after ARTGD\_VS 2410 Introduction to Typography. Students must pass the Portfolio Review to continue.

## **5.D. Program Goals and Assessment**

### **Process for Assessment**

The required Graphic Design Portfolio Review after Foundations courses and ARTGD\_VS 2410 Introduction to Typography allows faculty to assess learning outcomes in the early courses. Annually, the Graphic Design faculty will meet to review student portfolios of design course work after admission to upper level courses through the Portfolio Review, again reviewing outcomes, to revise course materials as needed. The final Portfolio Review occurs in the Capstone course, ART\_GD 4976 Design - Senior Seminar. Graphic Design faculty meet regularly with alumni and receive feedback about courses and potential improvement to courses alumni identify once working in their careers.

### **Retention and Graduation Rate Goals**

Because this BFA in Graphic Design program has been offered within the BFA in Art degree for many years, experience shows that once students enter the Graphic Design concentration, very few students drop out. Graphic Design students are motivated to enter their chosen careers and a degree is required for most positions.

The goal for retention and graduation is to graduate 99% of the students selected into the BFA in Graphic Design in the Graphic Design Portfolio Review in the sophomore year.

### **Licensure, certification or registration**

No

## **5.E. Student Preparation**

The BFA in Graphic Design does not require any specialized admission procedure or student qualifications. Any student with the credentials to be admitted to the University of Missouri has the potential to successfully complete the BFA in Graphic Design degree. High school courses in art and/or graphic design are helpful but not required. Students admitted to MU in Graphic Design will take the School of Visual Studies Foundations courses followed by ARTGD\_VS Introduction to Typography. Students will submit a portfolio of work to the Graphic Design Portfolio Review after completing Introduction to Typography. Graphic Design faculty will select the top 50 students to enter the rest of the courses in Graphic Design. This is a sustainable number of students in the degree program and also meets the industry needs in Missouri for new Graphic Designers in quality careers after graduation.

### **Specific Population to be served**

Not applicable

## **5.G. Alumni and Employer Survey**

Graphic Design faculty currently are in close contact with many alumni and often invite them back each semester to meet with students either in person or through Zoom. This provides consistent feedback for the degree program.

Feedback from alumni is an important aspect of the BFA in Graphic Design degree. Faculty will have a regularly occurring exit survey for all graduates in order to seek input regarding their satisfaction and potential revisions to the curriculum. Graphic Design faculty will continue to conduct periodic surveys of alumni and employers for assessment feedback. If satisfaction rates are not high, faculty will continue to modify projects within courses and/or revise courses to meet the needs of professionals in the field.

Feedback from employers is also an important aspect of the BFA in Graphic Design degree so modifications to the program can be made to meet industry needs. Graphic Design faculty will continue to conduct periodic surveys of employers for assessment feedback. If satisfaction rates are not high or new skill sets need to be added, faculty will continue to modify projects within courses and/or revise courses to meet the needs of professionals in the field.

## **5.F. Faculty and Administration**

### **Responsible Person and Department**

Lee Ann Garrison, Director School of Visual Studies will oversee the program.

There are no plans to hire a director specific to the BFA in Graphic Design program. Graphic Design faculty rotate the position as Coordinator of Graphic Design and are responsible for creating semester course schedules and proposing any course or curriculum updates.

### **Instructional Needs**

There are currently three full time faculty, one faculty member who teaches one course per year, and two adjunct faculty teaching one course each per semester in Graphic Design. The program will require one additional faculty member (NTT) to teach all the graphic design courses in the degree program to reach the capacity of 50 graduates per year.

## Faculty Listing

Name	Position	Percentage of Time Dedicated to Program
Richard Wilson	Associate Professor	100%
Deborah Huelsbergen	Curator's Distinguished Professor	100%
Retirement replacement in the process to be hired for fall 2024	Assistant Professor	100%
New Graphic Design Faculty to be hired for new degree	Assistant Professor	100%
Sawyer Wade	Adjunct Instructor	10%
Kevin Shults	Adjunct Instructor	10%

### Credentials for Teaching Assignment

Faculty teaching full time in the Graphic Design program must have a terminal degree in Design or related field and experience working in the design industry (2 years minimum).

### Faculty Involvement

95% of credit hours in the major that will be assigned to full-time faculty. All faculty teaching in Graphic Design are expected to advise and mentor students outside the classroom. Faculty should be involved in professional national organizations such as AIGA, American Institute of Graphic Arts, and SECAC, a national non-profit organization devoted to education and research in the visual arts. Those provide opportunities to engage with other faculty at professional conferences and events.

These organizations provide opportunities for faculty to present not only creative design research but also pedagogical research. We expect faculty to also take advantage of campus opportunities to strengthen teaching skills through the Campus Writing Program and the MU Teaching for Learning Center.

## 5.H. Accreditation

The School of Visual Studies has just begun the accreditation self-study process. Typically, it takes about 4-5 years to receive accreditation. Anticipated accreditation by 2026 or 2027.

## 6. Appendices

- BFA 4-year Semester Plan
- Colleges/Universities with Similar Programs
- Letters of Support

## Graphic Design BFA 4-year semester plan

Below is a sample plan of study, semester by semester. A student's actual plan may vary based on course choices where options are available. Some Design classes are only offered in Fall or Spring. Talk to your School of Visual Studies Academic Advisor to stay on track.

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### First Year

FALL	CREDITS	SPRING	CREDITS
ART_VS 1050: Drawing: Materials and Methods	3	ARTGD_VS 1400: Digital Tools and Concepts	3
ART_VS 1030: 2D Materials and Methods	3	ART_VS 1040: 3D Materials and Methods	3
ENGLSH 1000: Writing and Rhetoric	3	MATH 1050, 1100, or STAT 1200	3
Behavioral Science Course	3	American History or Government Course	3
ART_VS 1020: Introduction to Visual Studies	3	ARH_VS 1130: Introduction to the History of Art	3
	<b>15</b>		<b>15</b>

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### Second Year

FALL	CREDITS	SPRING	CREDITS
ARTGD_VS 2410: Introduction to Typography	3	ARTGD_VS 2420: Design Methods and Production	3
ART_VS 2600: Digital Photography	3	ART_VS 2730: Screen Printing	3
ARH_VS Art History Course (2000+)	3	ARTGD_VS 2430: Calligraphy and Hand Lettering	3
School of Visual Studies Studio Elective	3	ARH_VS Art History Course (3000+)	3
Behavioral Science or Social Sciences Course	3	Biological/Physical/Math Science Lab Course	3
	<b>15</b>		<b>15</b>

**REQUIRED:**

**GRAPHIC DESIGN PORTFOLIO REVIEW**

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### Third Year

FALL	CREDITS	SPRING	CREDITS
General Elective	3	ARTGD_VS 3441: The History of Graphic Design	3
ARTGD_VS 3410: Interactive Media	3	ARTGD_VS 4400: Design Systems	3
ART_VS 2310: Papermaking and Artists' Books	3	ARTGD_VS 3442: Corporate Identity and Branding	3
ARTGD_VS 3443: Letterpress	3	School of Visual Studies Studio Elective	3
Biological/Physical/Math Science Course	3	Biological/Physical/Math Science Course	3
	<b>15</b>		<b>15</b>

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### Fourth Year

FALL	CREDITS	SPRING	CREDITS
ARTGD_VS 3440: Packaging Design Systems	3	ARTGD_VS 4410: Professional Portfolio Development	3
ARTGD_VS 4420: Advanced Interactive Media	3	ART_VS 4976W: Design - Senior Seminar WI	3
Humanities Course (Non Art History)	3	General Elective Course	3
School of Visual Studies Studio Elective	3	General Elective Course	3
General Elective Course	3	General Elective Course	3
	<b>15</b>		<b>15</b>

**Total Credits** **120**



### Name and Campus of Similar Missouri Programs

<b>Missouri College/University</b>	<b>Total Undergraduate Enrollment In 2021</b>	<b>Design Degree</b>	<b>Number of Design Graduates</b>
Maryville University of Saint Louis	5,800 (in 2021)	BFA in Graphic Design	18
Kansas City Art Institute	726 in 2021	BFA in Graphic Design	17
Northwest Missouri State University	4,717	BFA in Studio Art with an emphasis in Graphic Design	13
Park University	7,897	BFA in Graphic Design	13
Missouri Western State University	4,717	BFA in Graphic Design	12
Webster University	2,346	BA in Graphic Design	11
Columbia College	2,683	BA in Graphic Design	7
Drury University	1,615	BS in Graphic and Digital Design	7
Culver Stockton College	879	BFA in Art with a concentration in Graphic Design	4
<b>University of Missouri-Columbia</b>	<b>31,412</b>	<b>BA and BFA in Art with a concentration in Graphic Design</b>	<b>20 (With Graphic Design concentration)</b>

The School of Visual Studies anticipates 50 BFA in Graphic Design graduates by 2027.



March 31, 2023

University of Missouri Board of Curators  
316 University Hall  
Columbia, MO 65211

Dear Board of Curators:

The School of Humanities and Social Sciences and the Department of Media, Art & Design are in support of the proposed expansion of the BFA in Art with a Graphic Design emphasis to a BFA in Graphic Design. This excellent BFA in Graphic Design will be a complementary program to our offerings here at UMKC. The proposed program and UMKC's program in Media, Art and Design both serve a growing area in the workforce but target different geographic markets. We hope that we can identify areas of inter-campus collaboration with this exciting new degree program by exploring course shares for electives in graphic design. These collaborations would build on our established partnerships with the School of Visual Studies in the KC Imagine/DigiStory program here in Kansas City and the NextGen Public Art Initiative in Columbia.

Sincerely,

A handwritten signature in black ink, appearing to read 'Caitlin Horsmon'. The signature is fluid and cursive, written over a light grey horizontal line.

Caitlin Horsmon  
Associate Dean – Undergraduate Programs, School of Humanities & Social Sciences  
Associate Professor – Media, Art & Design  
University of Missouri – Kansas City



University of Missouri-St. Louis

April 4, 2023

Lee Ann Garrison  
Director  
School of Visual Studies  
University of Missouri

Dear Lee Ann,

As Chair of the Department of Art and Design at the University of Missouri – St. Louis, I am fortunate to work with faculty in the School of Visual Studies at the University of Missouri in Columbia. I know their programs, including the BFA in Art, which currently includes the Graphic Design courses for students who want to major in Graphic Design. The current structure resembles our own emphasis areas in Graphic Design, Studio Practice and Art Education for our BFA in Art.

I support this proposal for a new BFA in Graphic Design. This new degree takes the Graphic Design courses within the BFA in Art and makes them visible as a named degree program. This visibility reflects current professional practices in nationally accredited institutions of higher education and further reflects Industry recognition of Graphic Design as a disciplinary partner.

I am happy to support the proposed BFA in Graphic Design. At this time, UMSL does not anticipate separating our strong Studio and Graphic Design emphasis areas and I believe that this would not prove to be a duplication or challenge for the St. Louis programs. Rather, the programs in UMSL's Department of Art and Design and the related programs in the School of Visual Studies at Mizzou are allies in the state, and we hope to increase opportunities for partnership and collaboration in the future.

Sincerely,

Maureen Quigley, Ph.D.  
Chair, Department of Art and Design  
University of Missouri – St. Louis

# To Lee Ann Garrison,

I was asked to provide some thoughts regarding the value of a BFA in graphic design. My name is Josh Davis, and I graduated from the program in '06.

For the past 14 years, I've been an owner and creative director of a marketing agency in Kansas City. There are currently 13 people on staff—5 of which have degrees in graphic design. I've hired numerous designers over the years and will undoubtedly employ many more.

The marketability of a design degree and the value of a good designer is a no-brainer in my world. My business wouldn't exist without designers, and I wouldn't have started all this without my education as one.

Graphic design is a competitive field with a lot of demand from various industries. Programs that continually challenge their students produce the best designers who get the best jobs, and it's always inspiring to see Mizzou doing just that.

Please reach out if there is any additional perspective I can provide or questions I could answer.



**Josh Davis**

*Owner, Creative Director*

[www.jlsa.com](http://www.jlsa.com)  
[josh@jlsa.com](mailto:josh@jlsa.com)

Attn:  
Lee Ann Garrison  
Director, School of Visual Studies  
University of Missouri, Columbia

April 4th, 2023

Dear Ms. Garrison,  
As an alumna of the Bachelor of Fine Arts program at Mizzou, and more importantly as a business owner out in the world, I'm writing this evening to voice my support of the development of a complete degree in Graphic Design.

In 2002 when I graduated with my BFA, there was no way to make a distinction for what I had learned. Future employers would need to rely on my explanation of my studies to understand what skills I would bring to a potential job.

As an employer, knowing exactly what the applicant has learned in training is important. The first view of a resume determines whether they get an interview. Being specific about the degree would make it easier to hire a Mizzou grad.

Mizzou has a wonderful graphic design program, and having the official degree would be a great way to communicate this to the world.

Please reach out if you'd like to discuss anything in particular. Thank you for your time.

Sincerely,

Beth Snyder  
beth@callmeliz.co  
(c) 573-310-1230

Founder/Creative director/CEO  
Hemlock Goods  
1canoe2  
Court Street Custom Fulfillment  
Call Me Liz

CALL ME LIZ LLC | BESPOKE BRAND MANAGEMENT  
413 COURT ST., FULTON, MO 65251

# DALE LEY III

CREATIVE DESIGNER

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## CONTACT

 dale.ley@icloud.com

 (660) 525-8448

 daleleyiii

 Kansas City, Missouri

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## EDUCATION

### **BFA - Emphasis in Graphic Design**

*University of Missouri  
-Columbia - 2008*

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## PROFESSION

### **Senior Designer**

*Civis Analytics  
www.CivisAnalytics.com*

Dear Board of Curators,

I am writing to inform of my emphatic support in the creation of a Graphic Design Bachelor of Fine Arts (BFA) degree. I myself earned a BFA with an emphasis in Graphic Design in 2008, and it has been integral to my success in the field. I expect the creation of this proposed Design BFA degree would position future designers very well in the workplace, as I've outlined below:

- With a BFA with emphasis in Graphic Design, I was introduced to fundamental strategies and techniques of artmaking across various disciplines. These foundations established a toolbox of skills to better understand shapes, forms, color, illustration and sketching/drawing techniques utilized from other mediums to create artwork and designs typically missing from a traditional digital designer.
- Because I studied the various art disciplines, it is easier to learn and understand new trends and techniques in the workplace. Trending art forms and concepts are not foreign to me as my mind was already opened to the vast possibilities art can provide.
- Through the BFA program, I developed communication skills through artist critiques. These critiques helped me stand up for my designs in the workplace, providing purpose and reasoning behind my decisions in the design. As problem-solving is at the core of every design, it is integral to the workplace that the BFA degree provides fundamental critical thinking skills.
- By studying art history through this BFA degree, I can interpret and communicate complex ideas to business people, marketers, executives and data scientists in the various roles I have held throughout my career. Learning the role art has played throughout history helped identify different eras of art and design and educated me to know the reason WHY a design decision is right or wrong for the project I am working on, understanding the feel and tone necessary for the design.
- And finally, a BFA design degree showed my future employers that art and design was my passion. Although I specialized in the field of graphic design, my portfolio stood out amongst other designers because it drew (and continues to draw) inspiration from the countless concepts learned from a variety of mediums and historical artworks.

Thank you for your consideration,

Dale Ley III

OPEN -- ASARED -- 1-33

June 27, 2024

# KC IMAGINE

Kansas City Institute for Media, Animation & Graphic Innovation in Education

University of Missouri Board of Curators  
316 University Hall  
Columbia, Missouri 65211  
Phone: (573) 882-2388

Dear Board Members,

I encourage you to support the proposal by Mizzou's School of Visual Studies to establish a BFA program for Graphic Design. A January study by the Missouri Department of Economics requested by KC IMAGINE concluded that *"Kansas City has nearly 50,000 workers employed in industries related to digital storytelling. This figure has grown 60% between 2011 and 2021."* Although that number reflects a wide range of digital media occupations, graphic designers make up a sizable component of KC's digital media workforce. In fact Graphic Design was the third highest population of jobs listed in the study behind Public Relations Specialists (2<sup>nd</sup>) and Software Developers (1<sup>st</sup>). That same study revealed that the designer occupation was experiencing a 22% growth rate. Graphic Designers also had one of the highest Location Quotient scores (1.19) among those listed in the study.

Kansas City offers a large number of firms who need graphic designers on staff. I witnessed this personally as I led the training efforts for Hallmark Card's Creative Division. Social media and web development are two program needs for most KC firms and much of the design content they rely on comes from graphic designers. This need is also heavily served by Kansas City's large contingent of freelance and contract graphic designers.

I am continually impressed by Mizzou's success in identifying new opportunities for programs that meet the emerging needs of our society. Adding a BFA program for Graphic Design would be a great addition to that legacy.

Sincerely,

Ron Green  
Executive Director



University of Missouri Board of Curators

316 University Hall  
Columbia, Missouri 65211  
Phone: (573) 882-2388

**DATE**

August 11, 2023

Dear Board of Curators,

Hello, my name is Sabrina Tinsley. I graduated from the University of Missouri with a BFA in Art with an emphasis in Graphic Design in 2018. Since graduation, I have worked for VMLY&R, a global advertising agency headquartered in Kansas City, Missouri. Currently, I'm a Senior Brand Identity Designer working on brands like Intel, Butterball, Hyatt, and Ford. I'm writing to share my professional experience and why offering a BFA in Graphic Design would benefit students.

Similar to how art covers a wide range of media, graphic design does as well. It would benefit new graduates if they had exposure to various areas of design while simultaneously building and refining their foundational skills. A BFA in Graphic Design will enable students to develop more robust portfolios and gain clarity on which aspect of design they want to pursue after graduation, leading them to a successful career.

When hiring a young designer, my agency likes to see someone who has a firm grasp on the basics, and we most often see that from designers with a BFA in Graphic Design. The more exposure students have to design early on in their careers, the further they'll go in a shorter amount of time and the less they have to learn while on the job.

Adding this new degree program would address the needs of students aspiring to enter the field of graphic design and ensure the program's resonance with the constantly evolving landscape of design professionals. By aligning with the expectations set by candidates from other graphic design programs, this addition will set students up for greater success in their careers.

Thank you for considering my perspective and for your consideration in growing the design program at Mizzou.

Sincerely,

**Sabrina Tinsley**  
*Senior Designer*  
*Brand Identity*





# COSMOPOLITAN

**Mary Fama**

**Art Director, Cosmopolitan**

mfama@hearst.com

816-305-3820

*August 11, 2023*

**Dear University of Missouri Board of Curators,**

I hope this letter finds you well. As a proud alumnus of the University of Missouri and the 2021 recipient of the Arts & Science Recent Alumni Award, I am writing to express my strong support for the addition of a **Bachelor of Fine Arts (BFA) in Graphic Design** to the university's program offerings.

Having graduated from the University of Missouri in 2012, I understand the exceptional education and opportunities that this institution provides to its students. I believe that introducing a BFA in Graphic Design would further enhance the university's commitment to preparing students for successful careers in today's competitive job market.

Graphic design has become an integral part of various industries, spanning from marketing and advertising to technology and entertainment. Although I acknowledge that I have dedicated my career to a long-standing print publication, I am extremely aware that students entering the workforce today need to be prepared for all aspects of an increasingly digitally-driven world. The demand for skilled graphic designers who can effectively communicate messages through visual elements but also come to the table with practical skills in design software, typography, and branding, has never been higher. By offering a BFA in Graphic Design, the University of Missouri would not only prepare students for immediate employment upon graduation but also lay a strong foundation for their long-term success in the dynamic world of graphic design.

As a devoted alum, I firmly believe that the University of Missouri has the potential to make a significant impact to the futures of designers by introducing a BFA in Graphic Design. By doing so, the university would not only cater to the evolving demands of the job market but also attract passionate individuals who aspire to contribute to the creative industries.

Thank you for your time and consideration. I am confident that the addition of a BFA in Graphic Design would be a valuable investment in the future success of University of Missouri students.

*Warm regards,*

**Mary Fama**

**University of Missouri, Class of 2012**

Bachelor of Fine Arts (emphasis in Graphic Design)

## **EXECUTIVE SUMMARY**

### **New Degree Program, Master of Architecture University of Missouri-Columbia**

The Master of Architecture (M.Arch) degree - to be housed in the Department of Architectural Studies in the College of Arts & Science at the University of Missouri in Columbia - builds upon an existing 4-year pre-professional Bachelor of Science degree in Architectural Studies and an existing, project-based Master of Arts degree in Architectural Studies. The M.Arch is a 37-credit-hour, terminal degree designed to complete a 4+1 accelerated path to a National Architectural Accrediting Board (NAAB) accredited degree in architecture.

The M.Arch degree completes the education requirement for many jurisdictions – including the State of Missouri - to pursue professional licensure and prepares all graduates with the knowledge and skills needed for the next steps in their careers. With the tiered tuition model in place and a required internship component, students can complete the M.Arch program in 5 years and develop industry experience throughout the process, reducing costs, and shortening the average timeline to professional licensure from 13.5 years to 8 years. For example, under the existing structure, students would begin their internship in Year 8, and begin taking licensure exams in Year 11; under the new model, students will begin their internship in Year 4 and exams in Year 6.

As noted in the attached letters of support from members of the American Institute of Architects Missouri chapter - a professional organization representing 2100 architects across the state - this program will contribute to the professional landscape through affordability and accessibility, retaining local talent, collaborating with communities for impact, and positively effecting the state's economic development.

No. 2

Recommended Action – Master of Architecture  
University of Missouri-Columbia

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

that the University of Missouri–Columbia be authorized to submit the attached proposal for a Master of Architecture to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee:	YES	NO
Curator Blitz		
Curator Graves		
Curator Sinquefield		
Curator Williams		
The motion _____.		

Roll call vote of Board:	YES	NO
Curator Blitz		
Curator Fry		
Curator Graves		
Curator Holloway		
Curator Krewson		
Curator Layman		
Curator Sinquefield		
Curator Wenneker		
Curator Williams		

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

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## **Executive Summary**

The Master of Architecture (M.Arch) degree - to be housed in the Department of Architectural Studies in the College of Arts & Science at the University of Missouri in Columbia - builds upon an existing 4-year pre-professional Bachelor of Science degree in Architectural Studies and an existing, project-based Master of Arts degree in Architectural Studies. The M.Arch is a 37-credit-hour, terminal degree designed to complete a 4+1 accelerated path to a National Architectural Accrediting Board (NAAB) accredited degree in architecture.

The M.Arch degree completes the education requirement for many jurisdictions – including the State of Missouri - to pursue professional licensure and prepares all graduates with the knowledge and skills needed for the next steps in their careers. With the tiered tuition model in place and a required internship component, students can complete the M.Arch program in 5 years and develop industry experience throughout the process, reducing costs, and shortening the average timeline to professional licensure from 13.5 years to 8 years. For example, under the existing structure, students would begin their internship in Year 8, taking licensure exams in Year 11; under the new model, students will begin their internship in Year 4 and exams in Year 6.

As noted in the attached letters of support from members of the American Institute of Architects Missouri chapter - a professional organization representing 2100 architects across the state - this program will contribute to the professional landscape through affordability and accessibility, retaining local talent, collaborating with communities for impact, and positively effecting the state's economic development.

## **2. University Mission & Program Analysis**

### **2.A. Fit with University Mission and Other Academic Programs**

#### **Alignment with Mission**

The Master of Architecture program will enhance opportunities for success for graduates and have a valuable impact on the communities they serve. Encouraging dialogue between practice and pedagogy, the curriculum will prepare the next generation of leaders in a collaborative, rapidly evolving industry. This is a program that trains dynamic problem solvers who will create innovative solutions to unpredictable circumstances. Using cutting-edge research and advanced technological applications, students will disseminate designs with evidence-based practices that

positively impact the built environment. Students will engage in service learning to benefit the community, participate in internship programs to connect with industry, and grow a regional workforce with a desired skillset for multi-disciplinary architectural firms in Missouri and beyond. Because of architects and their collaborators in industry, building performance will improve overall wellness – including socio-economic conditions for those underserved populations. This will contribute to an improved quality of life in the state, the nation, and the world.

### **Alignment with Campus Strategic Plan**

The campus strategic plan is organized around 5 critical areas:

1. Excellence in Student Success:
  - a. The M.Arch program provides a streamlined path for students to pursue licensure in Architecture, limits timeline/financial burden to licensure, and mirrors workforce needs while pushing beyond accreditation requirements to ensure graduates are prepared to thrive in the architectural industry.
2. Excellence in Research & Creative Works
  - a. The Department of Architectural Studies incentivizes student excellence through participation in national competitions and research programs that support and promote innovation.
3. Excellence in Engagement & Outreach
  - a. The Department of Architectural Studies houses a Center for Design Outreach (CDO) where students gain real-world experience working on community-based projects for underserved populations. Graduate students work with K-12 students during camps such as Girls in STEM.
4. Inclusive Excellence
  - a. Department faculty and staff are a diverse group representing a variety of race, gender, and minority populations. Additionally, a range of disciplines and professional experience create a model for potential career trajectories in industry and academia. Peer-to-peer mentoring programs are in place for graduate students and opportunities to learn varied perspectives are encouraged.
5. Excellence in Planning, Operations, and Stewardship
  - a. The department fosters a safe learning environment and transparent, collaborative decision-making process.

## **Alignment with College Strategic Plan**

The College of Arts & Science (COAS) is dedicated to bringing all of our work beyond our classrooms, studios, and laboratories. As a part of an AAU public land grant institution, we serve our state and nation by educating our students, advancing creative work and research, and engaging Missouri and the nation. In the recently revised strategic plan, COAS has identified 5 areas of emphasis:

1. Champion Student Success
  - a. The M.Arch degree will help COAS to prepare students for endless possibilities because the program emphasizes interdisciplinary collaboration and expands upon NAAB requirements to diversify career options in the architectural industry. Student success is tracked and supported to ensure industry-ready graduates.
2. Provide Expert Instruction
  - a. The curriculum brings evidence-based research, accreditation-reviewed learning outcomes, and hands-on experiences to students throughout their degree. Housed in a Department with a rich doctoral program and experienced faculty, access to research and cutting-edge technology is available for every student.
3. Grow and Promote the Impact of Research and Creative Work
  - a. Discovery and creativity are integral to the design thinking process that occurs in every studio, every semester. The Department of Architectural Studies is passionate about sharing the research and creative work produced by our students and faculty at local, national, and international conferences and competitions.
4. Strengthen Community Engagement and Outreach
  - a. Students will work in teams and with community members/project stakeholders to provide impactful insights into the betterment of the built environment. Service-learning requirements with non-profit organizations such as Habitat for Humanity are critical for engagement and understanding the dynamics interdisciplinary work.
5. Strengthen A&S Employee Culture
  - a. The Department of Architectural Studies is committed to a healthy, supportive, and inclusive work environment. All employees are valued for their contributions to a multi-disciplinary environment.

### **Alignment with Departmental Mission**

The mission of the Department of Architectural Studies is to make communities better through the thoughtful design of buildings and spaces available to all people. We provide our students with the knowledge, experience, and skills to become inspiring leaders within their fields and to address emerging challenges involving globalization, sustainability, and technology.

The goals of the proposed M.Arch program are to expand upon the existing 4-year, pre-professional undergraduate degree in Architectural Studies to provide a streamlined path to a terminal degree that is accredited by the National Architectural Accrediting Board (NAAB) with strengths in multi-disciplinary collaboration, sustainability, and design computing. This is a program that can lead to licensure in Architecture and certifications in sustainability such as WELL and Leadership in Energy and Environmental Design (LEED).

### **Program Priority**

We believe that this program will enhance opportunities for success for our graduates and have a valuable impact on the communities they serve. This is a program that trains dynamic problem solvers to become professionals who will create innovative solutions to unpredictable circumstances. Using cutting-edge research and advanced technological applications, students will disseminate designs with evidence-based practices that positively impact the industry. Because of architects and their collaborators in the built environment, building performance will improve overall wellness – including socio-economic conditions for those underserved populations that need it most. This will contribute to an improved quality of life in the state, the nation, and the world.

When discussing our program with professional organizations including the local and state chapters of the American Institute of Architects (AIA), we are further convinced of the State's need for growing and retaining local talent in the field of architecture. Dean Cooper Drury's letter clearly speaks to the support of this program from COAS.



## **2.B. Duplication within the State, UM System**

Two private institutions, Washington University in St. Louis (M.Arch) and Drury University in Springfield (B.Arch) are accredited through NAAB. These two programs are more costly and take longer to complete than the proposed program at MU.

UMKC recently received approval for a 5-year, 150 credit hour minimum Bachelor of Architecture undergraduate program (B.Arch). While this will benefit in-person students and firms in the Kansas City metropolitan area – as noted in attached letters of support from the American Institute of Architects (AIA) Board members – it should be viewed as a collaborative partner to address the gap in affordable, accessible educational offerings for architects across the state of Missouri. The letter of support from Dean Kevin Truman at UMKC speaks to opportunities for collaboration.

The Missouri University of Science & Technology has an architectural engineering program that is a curricular partner in the M.Arch degree as well as a teammate in our 2024 US Department of Energy Solar Decathlon finalist team. S&T and MU have begun having conversations to discuss course sharing opportunities, as indicated by the letter of support endorsed by Dr. Joel Burken, Curators' Distinguished Professor and Chair of the Civil, Architectural, and Environmental Engineering Department at S&T.

The Department of Architectural Studies looks forward to sharing curriculum, including two of the program's required courses, and expertise system-wide to aid in the betterment of our programs and retention of architectural talent in the State of Missouri.

Many of our courses are offered online or hybrid and we have the means and experience to collaborate across modalities.

### **Rationale**

The Department of Architectural Studies at Mizzou has a rich history of training interdisciplinary designers in housing, interior design, design computing, sustainability, and architecture. Established in 1900, the program has evolved with industry demands and achieved many milestones including:

- introduction of Computer Aided Design & Drafting in the classroom in 1972
- establishment of a PhD program in 1972
- first cohort of five accredited interior design programs in 1973
- first online PhD with emphasis in Environment & Behavior in 2003
- establishment of the building technology lab with fabrication equipment in 2003

- establishment of immersive visualization lab featuring Augmented and Virtual Reality research in 2010
- first cohort of seventeen international Zero Energy Design Designation (ZEDD) programs by the U.S. Department of Energy in 2022

The architectural studies undergraduate curriculum is a 4-year, minimum 120 credit hour degree with emphasis areas in Interior Design - a Council for Interior Design Accreditation (CIDA) accredited degree - and architectural studies, which is a pre-professional degree that prepares students for the final 30 (B.Arch) to 48 (M.Arch) required minimum credit hours for a NAAB accredited degree in architecture. Due to the rigorous nature of the profession, all NAAB accredited programs are a minimum of 5 years, 150 credit hours. The Master of Architecture degree is the terminal degree for the field of architecture and has been argued by the profession to be considered equivalent to a professional degree such as that in the field of law.

Currently, about 20% of the 240+ student undergraduate program chooses to pursue a Master of Architecture degree at another institution after graduation, extending their timeline to licensure by 2-3.5 years and often delaying placement in the industry. This path forces students into major metropolitan areas or out of state, limiting the pool of workers for many areas in Missouri. Additionally, students are burdened with the financial implications of additional years of education, particularly when obtained at private and out-of-state institutions.

Historically, the path to licensure for Mizzou students has included 4 years of undergraduate study, 3 years of graduate study, 4 years of internship work supervised by a licensed professional, and 2-3 years of exams – an average of 13.3 years (<https://www.ncarb.org/nbtn2023>). This program can reduce this timeline by 5 years through a curriculum with a focus on preparation for professional practice.

The M.Arch proposal is intended to expand upon our existing 4-year programs to offer an accelerated path to an accredited terminal degree in architecture. Earning an accredited degree in architecture from a public institution in Missouri is the most efficient path to architectural licensure for students. Licensure requires a combination of education, experience, and examination and is most often – but not always - achieved with an accredited degree in architecture. Earning a terminal degree in architecture allows for graduates to pursue careers in academia and meets the requirements of some special jurisdictions for licensure. Additionally, offering the Master of Architecture degree allows a path for students to earn an accredited bachelor's degree in interior design as well as the accredited master's degree in architecture in 5 years.

Earning accredited degrees in both interior design and architecture is a powerful preparation for our increasingly multi-disciplinary industry. Compared to earning a B.Arch, graduates with a NAAB accredited M.Arch degree from the University of Missouri-Columbia have greater earning potential and become licensed sooner due to the integrated curricular internship and service learning components. They also have the opportunity to explore more deeply the research and applied methods surrounding contemporary issues faced in industry. Additionally, Missouri will have more licensed architects to improve quality and performance of buildings and infrastructure throughout the state.

## **2.C. Collaboration within the State**

This program shares coursework with Missouri S&T - Department of Architectural Engineering, including two of the program's required courses. This is an open-ended agreement that could result in financial benefits to both institutions while ensuring an efficient use of instructional resources.

## **3. Business-Related Criteria & Justification**

### **3.A. Market Analysis**

The program will meet Market Demand, Societal Need and Student Demand.

#### *3.A.1. Rationale & Workforce Demand for the Program*

At the national level, employment of architects is projected to grow 5 percent from 2022 to 2032, faster than the average for all occupations. About 8,200 openings for architects are projected each year, on average, over the decade. Many of those openings are expected to result from the need to replace workers who transfer to different occupations or exit the labor force, such as to retire. ([www.bls.gov/ooh/architecture-and-engineering/architects.htm](http://www.bls.gov/ooh/architecture-and-engineering/architects.htm))

At the state level, according to Missouri Economic Research Information Center (MERIC):

- Architects will have 9.85% increase in employment by 2030
- Construction and Building Inspectors will have 4.23% increase in employment by 2030
- Interior Designers will have 1.96% increase in employment by 2030
- Computer Occupations will have 9.35% increase in employment by 2030

Additional data from Lightcast, which was made available from the Provost's office, estimates that there 81,631 annual openings in architect-related occupations in the United States, with competitive median earnings of \$82,500 per year. This includes nearly 6,000 annual openings for Architectural and Engineering Managers, with median earnings of over \$150,000 per year.

What is not captured specifically in this data is the emerging need for technology and sustainability in the architectural industry, which is undergoing significant changes as it combats climate change and aims to reach 2030 and 2050 international building performance goals. The ZEDD from the US Department of Energy situates the Department of Architectural Studies and this program ideally to provide the need for a well-prepared workforce. Therefore, we expect that current workforce analyses underestimates demand for graduates of this program.

### **Meeting Missouri's Needs**

As noted by leading Missouri architects who serve in the AIA at state and national levels, graduates of a centralized, in-state public M.Arch program will contribute to growth in the architectural sector, attract investments, and benefit local economies. A partnership with the UMKC B.Arch program would aid in diversifying the workforce and bringing affordable opportunities to underrepresented populations. The Mizzou Architectural Studies program has proved that collaboration can be successful across institutions in the state as demonstrated through shared curriculum and collaboration on Solar Decathlon teams with the Missouri S&T Architectural Engineering program. The hybrid nature of the M.Arch program allows students flexibility in modality and provides opportunities to learn from a wide range of professors with varied expertise.

Lastly, the M.Arch will provide cutting-edge research opportunities for students through access to graduate faculty, and research labs on campus including the iLab, Center for Design Outreach, Building Technology Lab, and Fabrication Facility.

Missouri citizens deserve to have a NAAB accredited architecture program at the flagship, land-grant, public institution in their state. The current process to achieve a NAAB accredited degree for Missourians limits diversity in our industry and has severe financial implications for students with additional years of education required and delayed professional career earnings.

Missouri's built environment will benefit in numerous ways from the elevation of deliverables, improved building performance, and multi-disciplinary approach of graduates in this program. From the civic perspective, licensed architects – and graduates of programs with this training – are needed not only to protect the health, safety, and welfare of everyday citizens but also to invoke inspiration and innovation in the built environment.

Architecture is art and science, coordinating projects intertwined with psychology, sociology, economics, sustainability, and politics. The design process includes spending significant time with clients and community members to collaboratively enhance environments that support optimal human performance and ensure that everyday living conditions are healthy. Energy use, affordable housing, severe weather resilience, and indoor air quality are just a few of the required performance data metrics embedded in the M.Arch curriculum at Mizzou with ZEDD.

The more practicing professionals in an area, the more these components can elevate the standards of living, service, and care to all citizens, allowing programs to train and retain students on the specific needs of our state, contributing to the Missouri economy in a positive way. This is a program that supports, promotes, and provides a sustainable future for Missouri.

### *3.A.2. Student Demand*

Earning a degree from an architecture program accredited by NAAB is the most common path for candidates seeking professional licensure in the United States. Records are maintained by the National Council of Architecture Registration Boards (NCARB). Data continues to show that, on average, licensure candidates with a degree from a NAAB-accredited program have greater success when taking the national licensing exam. In 2022, graduates of NAAB-accredited programs had an overall exam

pass rate of 57%, compared to 48% for graduates of non-accredited programs—a 9 percentage point difference. Eighty-five percent of new architects in 2022 held a degree from a NAAB-accredited program. The average overall Architectural Registration Exam (ARE) pass rate for all candidates in 2022 was 55%. Out of the 55 U.S. jurisdictions, only 17 will license individuals who don't hold a degree from a NAAB-accredited program (typically by substituting additional experience in lieu of a professional degree) (2022 NAAB Report on Accreditation in Architecture).

Providing a terminal degree in architecture, the NAAB accredited M.Arch degree, at a public institution in the state of Missouri will expand professional opportunities for graduates to include academia and other research-intensive positions. The M.Arch is viewed by industry and argued by academia to be the equivalent of the professional degree in law. The M.Arch should have a program focus or set of strengths that distinguish it from peers. Mizzou's program strengths lie in interdisciplinary collaboration, sustainability, and design computing. Students come to the Department of Architectural Studies at Mizzou because of the legacy of excellence, opportunities to apply research throughout the design process, and use of cutting-edge technology in faculty-run laboratories. The undergraduate program has grown substantially in the past 5 years - 2019/20: 106, 2020/21: 168, 2021/22: 202, 2022/23: 233, 2023/24: 248 - and has been positively impacted by the transition to the College of Arts & Science.

In Spring 2023, under the Missouri-Kansas Reciprocity Agreement, 261 Missouri students enrolled in Kansas NAAB accredited architecture programs at both B.Arch and M.Arch levels. In the last 3 years, at least 22 graduates of the Architectural Studies undergraduate program at Mizzou have gone on to pursue an M.Arch degree, 8 of those in Kansas, and chosen to add 2-3 years on to their education in pursuit of NAAB accreditation and professional licensure. Please note, this does not include the students that pursue graduate education in another field such as landscape architecture or research.

The current undergraduate enrollment in the Department of Architectural Studies is divided evenly with an architectural studies or interior design emphasis. At least 50 current students will pursue a professional license in architecture via M.Arch degree. The proposed M.Arch program provides a clear, affordable pathway for students while keeping talent in our state to benefit the region socially, civically, and financially. Given the opportunity for students to achieve accredited interior design (CIDA) and architecture (NAAB) degrees in a 4+1 accelerated program, it is anticipated that an additional 10-20% of the student population will show interest in earning the M.Arch.

Current undergraduate students would be eligible to apply for the Master of Architecture program and there is significant interest. Additionally, due to high demand of an accredited architecture program in Missouri, we have given tours to students interested in this program recently, including a group of 20 students from the Columbia Area Career Center.

**Table 1a. Student Enrollment Projections – total enrollment**

Year	1	2	3	4	5
Full-time	5	20	45	70	70
Part-time	0	0	0	0	0
Total	5	20	45	70	70

**Table 1b. Student Enrollment Projections – new to MU**

Year	1	2	3	4	5
Full-time	5	20	45	70	70
Part-time	0	0	0	0	0
Total	5	20	45	70	70

**Table 1c. Projected number of degrees/certificates awarded**

Year	1	2	3	4	5	6	7	8	9	10
Completions	3	18	40	70	70	70	70	70	70	70

**Justification for Projections**

These projections are based on polling the current undergraduate student population within the Department of Architectural Studies. After 3 years, it is anticipated that students will begin their undergraduate education in architecture with intention of completing the 4+1 M.Arch at Mizzou.

### **3.B. Financial Projections**

No new faculty lines nor campus resources other than those already allocated for the Department of Architectural Studies are needed to deliver the Master of Architecture program. Every component is in place and within the current budget until the program grows beyond 30 graduate students per year.

#### *3.B.1. Additional Resources Needed*

Once we have demand for more than 30 students in our Master of Architecture program, we will need to add faculty – either adjunct or full time – to maintain program quality and workload policy compliance. Based on enrollment projections, we expect to exceed this demand in Year 3 following program approval. Therefore, an additional faculty salary and benefits are included in the budget beginning in Year 3 contingent on meeting projections.

#### *3.B.2. New Revenue*

New revenue would be equivalent to the graduate tuition and fees associated with a minimum of 37 credit hours per student in the program - minus scholarships and assistantships - as shown in the financial projection spreadsheet.



**Table 2. Financial Projections for Proposed Program for Years 1 through 5**

	Year 1	Year 2	Year 3	Year 4	Year 5
<b>1. Expenses per year</b>					
<b>A. One-time</b>					
<i>New/Renovated Space</i>	0	0	0	0	0
<i>Equipment</i>	0	0	\$3,000	0	\$3,000
<i>Library</i>	0	0	0	0	0
<i>Consultants</i>	0	0	0	0	0
<i>Other (Startup costs)</i>	0	0	\$10,000	\$10,000	\$10,000
<b>Total one-time</b>	0	0	\$13,000	\$10,000	\$13,000
<b>B. Recurring</b>					
<i>Faculty</i>	0	0	\$75,000	\$76,125	\$77,267
<i>Staff</i>	0	0	0	0	0
<i>Benefits</i>	0	0	\$26,715	\$27,116	\$27,523
<i>Equipment</i>	0	0	0	0	0
<i>Library</i>	0	0	0	0	0
<i>Other</i>	0	0	0	0	0
<b>Total recurring</b>	0	0	\$101,715	\$103,241	\$104,790
<b>Total expenses (A+B)</b>	0	0	\$114,715	\$113,241	\$117,790
<b>2. Revenue per year</b>					
<i>Tuition/Fees</i>	\$87,617	\$360,981	\$836,574	\$1,340,378	\$1,380,590
<i>Institutional Resources</i>					
<i>State Aid -- CBHE</i>					
<i>State Aid -- Other</i>					
<b>Total revenue</b>	\$87,617	\$360,981	\$836,574	\$1,340,378	\$1,380,590
<b>3. Net revenue/ (loss) per year</b>	\$87,617	\$360,981	\$721,859	\$1,227,137	\$1,262,800
<b>4. Cumulative revenue (loss)</b>	\$87,617	\$448,598	\$1,170,458	\$2,397,595	\$3,660,395

### 3.B.3. Financial and Academic Viability

**Table 3. Enrollment for Financial and Academic Viability**

<b>Enrollment</b>	Minimum for Financial Viability	Minimum for Academic Viability
<b>Full-time</b>	0	15
<b>Part-time</b>	0	0
<b>Total</b>	0	15

#### **Explanation of Viability Projections**

All coursework, curriculum, faculty lines, and facilities exist with our other degree programs already in place.

### **3.C. Business Plan: Marketing, Student Success, Transition & Exit Strategies**

#### *3.C.1 Marketing Plan*

The current undergraduate enrollment in the Department of Architectural Studies is divided evenly with an architectural studies or interior design emphasis. At least 50 current students will pursue a professional license in architecture via M.Arch degree. The proposed M.Arch program provides a clear, affordable pathway for students while keeping talent in the state to benefit the region socially, civically, and financially. Given the opportunity for students to achieve accredited interior design (CIDA) and architecture (NAAB) degrees in a 4+1 accelerated program, it is anticipated that an additional 10-20% of the student population will show interest in earning the M.Arch. Thus, the program will not need to advertise beyond the current recruiting practices utilized by the department and the University of Missouri as the typical deterrent to attending our program is the lack of a NAAB accredited degree.

The Department of Architectural Studies has been working on a website and robust branding campaign for 18 months. These efforts will promote each facet of the department, including the M.Arch program. The systems will be in place and content will simply be added into the existing workflow.

#### **Individual Responsible for Marketing**

Lyria Bartlett will be responsible for marketing along with the COAS marketing team and internship program that is currently running.

### **Projected program growth**

We expect the undergraduate architectural studies program to continue a steady increase in enrollment as it has for the past 5 years. The numbers indicated in the student enrollment section show that current undergraduate students at Mizzou are expected to enroll in the M.Arch program as a 1 year continuation of their undergraduate curriculum beginning in Fall 2024. Additionally, we expect approximately 30 new students each year targeting this accelerated Master of Architecture 4+1 degree program that would have pursued a NAAB accredited program elsewhere, drastically increasing the M.Arch enrollment at year 4 & 5.

Due to accreditation requirements, students admitted into the Master of Architecture program will need to meet a minimum standard of work and curricular success. We will evaluate our Master of Architecture applicants through an admission process at the end of the 3rd year of undergraduate coursework. This includes a design portfolio submission, which allows us to responsibly manage the growth of our graduate program and ensure competencies for accreditation. We will prioritize faculty workload stability through sustainable growth, only admitting students in cohorts that relate to a studio course/cohort size of 12-18 students. These numbers are based on recommendations from NAAB. Once we have demand for more than 30 students in our Master of Architecture program, we will need to add faculty – either adjunct or full time – to maintain program quality and workload policy compliance.

### **Marketing Costs**

We do not estimate any marketing costs currently beyond existing marketing efforts for the Department of Architectural Studies.

#### *3.C.2 Student Success Plan*

There is a dedicated, powerful academic advising program and support structure for students in the College of Arts & Science. Additionally, there are internal student organizations, access to a professional advisory board, a strong network of alumni, and peer mentors within the Department of Architectural Studies. Lastly, the department works with professional organizations such as NCARB to provide mentor training and faculty resources that help students prepare for licensure and professional practice.

Historically, the challenging curriculum required of CIDA accredited professional degree, Zero Energy Design Designation, and pre-professional programs does not produce strong retention rates (The Department of Architectural Studies 3 year average: 2 year retention – 86.78%, 4 year retention – 54.9%, 6 year retention –

72.5%). The coursework is sequential, requires a lot of credit hours, and builds comprehensively across a minimum of 7 semesters. The Department intends to add a third undergraduate emphasis across a minimum of 4 semesters to improve student success and provide pathways to allied professions. This emphasis in Design Studies will also allow a more feasible degree in 4 years for transfer and non-traditional students.

### **Achieving Enrollment Outcomes**

This is a student-driven, alumni-driven, and student-desired program. We already have a current cohort prepared to apply and enroll in the M.Arch program as soon as it is available. Strong community connections with Columbia Public Schools and the Columbia Area Career Center have catalyzed tours of the department because the students interested in architecture want to stay in Missouri. This program is providing a finish line for education requirements on the path to architectural licensure and reduces time and expenses for current and future student populations.

Accreditation is the method of calibrating programs to ensure that learning outcomes are met, job placements are strong, and student experience is prioritized. The Department intends to have 2 successful accreditations and 1 designation that will keep it competitive on a national and international level in the architectural industry. Graduates of our program believe in the strong foundation they received at Mizzou and continue to thrive in industry leadership positions and many, such as alumni Jason Perryman of HOK (letter attached), are responsible for recruiting talent to their firms.

We have presented and vetted our M.Arch program with alumni, advisory board, and board members for the Missouri chapter of the AIA. All parties are enthusiastic about this opportunity, and unanimous in their belief that it is needed in Missouri to advance the profession. We have several letters of support stating how much easier this program would have made the lives of our alumni. Therefore, we believe that maintaining strong curriculum through accreditation, continuing to place graduates in sought-after positions in architectural firms, providing an affordable and streamlined path to licensure, and strong community relationships with K-12 programs and industry will continue to fuel our enrollment.

### *3.C.3. Transition Plan*

Lyria Bartlett is primarily responsible for the M.Arch program. There is a committee of faculty and staff who play critical roles in the implementation. The nature of running and maintaining an accredited program requires shared curriculum resources and reports as well as collaborative efforts of all students, faculty, and staff every semester. The database for all records is maintained centrally within the Department of Architectural Studies and many people have access or can be granted access should a transition need to occur. Thus, all evidence, learning outcomes, lessons, and syllabi are in place for a smooth transition to maintain program quality.

### *3.C.4. Exit Strategy*

The exit strategy would be to continue the current programs the department of Architectural Studies offers today (BS Architectural Studies, MS Architectural Studies [with thesis/without thesis], PhD HES with Architectural Studies emphasis). This would not require a reduction in faculty nor facilities. Due to the strength of our undergraduate curriculum, students would have opportunities to pursue professional licensure in architecture via a non-traditional path and/or NAAB accredited M.Arch degree programs at other institutions. If our M.Arch enrollment drops below 10 students, we will need to revisit the structure. If our M.Arch program enrollment declines over three years with an average below 1 studio cohort of 12 students per year, we will need to revisit the structure. The required classes for the M.Arch are shared with other programs and disciplines, which aid in the stability of enrollment.

## **4. Institutional Capacity**

All requirements for successful implementation of the M.Arch program currently exist within the Department of Architectural Studies as it is an evolution of two existing programs, BS Architectural Studies and MA Architectural Studies. As mentioned, the department has extensive experience delivering online and hybrid coursework at the graduate level. To ensure quality, the department is working with Mizzou online and the Teaching for Learning Center on campus for successful content delivery and best practices in the Learning Management System.

## **5. Program Characteristics**

### **5.A. Program Outcomes**

The Master of Architecture degree is intended as a professional degree that prepares all graduates with the knowledge and skills needed for the next steps in their careers in the field of architecture, including experience, examination, and licensure.

### **5.B. Program Design & Content**

Traditional architecture curriculum utilizes design thinking at its core and prioritizes the design studio. This lab environment utilizes knowledge gained from supporting coursework and evidence-based design research to provide innovative solutions to problems in the built environment, ultimately resulting in an improved condition for the population it serves. 4-year programs are considered pre-professional as the skills required in the comprehensive design studio – with evidence of all phases: pre-design through construction documentation and bidding/negotiation - are not yet mastered.

The proposed M.Arch program will build upon the existing pre-professional model to include comprehensive design studios and emphasize defining strengths in sustainability, digital media, and human factors while encouraging interdisciplinary collaboration. The project-based plan of study is an in-depth investigation of a problem culminating in a design solution and presentation to a professional panel for evaluation of innovation, viability, and implementation.

Unique to this program is the balance between people and place, interior design and architecture, sustainability and wellness. Mirroring the challenges faced by cities and governments, graduates from this program will be familiar with contemporary issues and work within their communities to improve living conditions through building performance, education, and holistic incorporation of resources needed to support those most vulnerable. Architects are often the coordinators of ideas and facilitators of progress.

We develop the next generation of leaders so that they can actively participate in the future of their region, creating positive impact beyond the built environment.

	<b>Student Learning Objectives</b>
1	Protect the health, safety, and welfare of humans in designs of the built environment. This includes ensuring compliance with building regulations, codes and accessibility standards.
2	Understand and demonstrate the requirements of professional architectural practice.
3	Acquire skills for advanced project delivery through drawings, visualizations, specifications, and data analysis.
4	Demonstrate technical and historical knowledge of building precedents, materials, systems, and performance.
5	Synthesize complex design projects.
6	Collaborate and coordinate with related disciplines to deliver comprehensive projects.
7	Apply evidence-based design research to generate creative, innovative solutions.

## **5.C. Program Structure**

### **Program Curriculum**

The Master of Architecture degree requires 37 credit hours beyond the 131 credit hours of a pre-professional undergraduate degree, totaling 168 credits.

“Master of Architecture degree programs may require a non-accredited undergraduate degree in architecture for admission. However, the non-accredited degree is not, by itself, recognized as an accredited degree.” (<https://www.naab.org/wp-content/uploads/2020-NAAB-Conditions-for-Accreditation.pdf>)

The hybrid delivery of the coursework allows flexibility for students in different geographic locations to collaborate synchronously with discussions, presentations, and problem-solving sessions. Some coursework, however, is limited to in-person modality due to the equipment, technology, and material resources available on campus.

A comprehensive academic plan is attached to this proposal.

## Program Requirements

A pre-professional degree in Architecture or a related field required for admission. 168 credit hours are required for the M.Arch degree.

Degree Requirements: 37 credits

- ArchE 5001 – Daylighting - 3 credits - Shared course with MO S&T
- ArchE 5820 - Building Lighting Systems - 3 credits - Shared course with MO S&T
- ArchSt 7085 - Digital Fabrication - 3 credits
- ArchSt 7085 - LEAN, IPD, & other Project Delivery Methods- 3 credits
- ArchSt 7940 - Internship in Environmental Design - 6 credits
- ArchSt 8050 - Research Methods - 3 credits
- ArchSt 8840 - Graduate Design Studio - 6 credits
- ArchSt 8840 - Graduate Design Studio - 6 credits
- ArchSt 8850 - Seminar in Environmental Design – 1 credit
- ArchSt 8887 - Environment & Behavior 2 - 3 credits

## Additional Faculty

Level	#
<i>Tenure Track</i>	1
<i>Non-Tenure Track</i>	0
<i>Post-Doc Fellows</i>	0
<i>Graduate Assistant</i>	0
<i>Adjunct</i>	0

## Internship, thesis or other capstone

Both an internship and a thesis are required for the M.Arch degree. The comprehensive design studio serves as the capstone experience and is evaluated by NAAB for accreditation and career competencies.

## Unique features

The M.Arch shares curriculum requirements with Missouri University of Science & Technology, who specialize in engineering systems specific to building design.



### **Admission Requirements**

In addition to standard graduate student admission requirements set forth by the University of Missouri, applicants for the Master of Architecture program are required to submit a portfolio of design work experience.

### **Curriculum Design Process**

The curriculum design pairs two existing degree programs in the Department of Architectural Studies to create an accelerated path to a NAAB accredited, terminal degree in Architecture. The learning outcomes are evaluated by the accrediting body as a baseline and influenced by the Zero Energy Design Designation requirements from the US Department of Energy.

## **5.D. Program Goals and Assessment**

### **Process for Assessment**

NAAB Accreditation and ZEDD Designation requirements will be the methods through which curriculum is calibrated, audited, and assessed. The visits run in cycles every 3-6 years depending on program standing.

### **Standardized Assessment Tests**

Architectural Registration Exams (ARE)

### **Retention and Graduation Rate Goals**

The goal is to have 95% graduation rate for students within 2 years of beginning the master's component of the 4+1 program.

### **Licensure, certification or registration requirements**

Yes

### **Estimated percent of students receiving licensure**

90%

### Estimated placement rates

Placement area:	Percent:
In related fields	95%
In other fields	5%
Unemployed	0%

### 5.E. Student Preparation

Students should have earned a pre-professional undergraduate or graduate degree in architecture or allied profession.

Specific Population to be Served:

N/A

### 5.F. Faculty and Administration

Lyria D Bartlett is the responsible person for this program's success. 15% of Dr. Bartlett's time will be dedicated to the program.

#### Faculty Listing

Name	Position	Percentage of Time Dedicated to Program
Dr. Jong Bum Kim	Assistant Professor	15%
Dr. Faizan Shafique	Assistant Professor	15%
Dr. Debora Verniz	Assistant Professor	15%
Dr. Janna Lancaster	Instructor	20%
Sam Kellerman	Assistant Teaching Professor	15%

#### Credentials for Teaching Assignment

Instructors must hold a terminal degree in architecture or related field.

#### Percent of credit hours assigned to full-time faculty

65%

## **Faculty Involvement**

Faculty responsibilities and expectations are included in their current FTE and contracts for teaching, research, and service obligations.

## **5.G. Alumni and Employer Survey**

The Department of Architectural Studies keeps track of alumni through a robust Linked In database and the College of Arts & Science requires seniors to fill out surveys upon graduation. Accreditation requires data to be updated annually with information such as career placement in industry, location, and salary. The intention is to use Power-BI data and social networking technologies along with surveys to provide the most comprehensive picture available of our student experience.

## **Employer Survey Plans**

Along with annual advisory board meetings and career readiness training sessions with employers through national organizations such as the American Institute of Architects, the Department of Architectural Studies will send out surveys annually through Design Intelligence annually. Additionally, the department will send out independent surveys bi-annually.

## **5.H. Accreditation**

### **Name of Accrediting Agency:**

National Architecture Accrediting Board

### **Timeline and Process for Achieving Accreditation**

We plan to pursue accreditation through that National Architectural Accrediting Board (NAAB). NAAB is the only agency recognized by registration boards in U. S. jurisdictions to accredit professional degree programs in architecture. To receive NAAB accreditation, programs must be offered by institutions accredited by an institutional accrediting agency recognized by the US Department of Education. Currently, there are 175 NAAB-accredited programs offered by 139 institutions of higher learning in the U.S. and abroad. In all 55 U.S. jurisdictions, the NAAB- accredited degree meets the education requirement for NCARB registration, a critical component to licensure.

Fall 2023 – Eligibility Application
Spring 2024 – Candidacy Application
Fall 2024 – First Cohort of Students
Fall 2025 – Site visit for Initial Accreditation (probationary) – Effective Date for initial accreditation set – Term of initial accreditation visit set
Fall 2028 – First term of initial accreditation
Fall 2036 – 2nd accreditation review

## 6. Appendices

- Curriculum Map
- Letters of Support

Degree Program: M.Arch  
 Catalog Year: 2024

1	Fall	Credits	2	Spring	Credits		
	ArchSt 2100 - Arch & Am City (Diversity Content)	3	ArchSt 1600W - Fundamentals of ED	3	professional program app	32	
	ArchSt 1200 - Drafting	4	ArchSt 1100 - Visual Design	3			
	ArchSt 2315 - Bldg Tech Lab	1	ArchSt 2323 - Sustainable Design (online)	3			
	ArchSt 2316 - Adv Bldg Tech Lab	2	Math 1400 - Calculus (Arch)/ BioMath Elective (ID)	3			
	English 1000	3	Physics 1210	4			
	Math 1100	3					
	<b>Semester credits</b>	<b>16</b>	<b>Semester credits</b>	<b>16</b>			
3	Fall	Credits	4	Spring	Credits		
	ArchSt 2220 - AutoCAD	3	ArchSt 2230 - Design Comm	3	emphasis area declaration	34	
	ArchSt 2310 - Bldg Systems	3	ArchSt 3100 - Color & Light	3			
	ArchSt 2811 - Studio 1	5	ArchSt 3182 - Studio 2	3			
	ArchSt 4435 - History to 1750	3	ArchSt 4440 - Design Precedents	3			
	elective (Sustainability - Env_Sci 2600)	3	Am Hist / Pol Sci	3			
	<b>Semester credits</b>	<b>17</b>	<b>Semester credits</b>	<b>17</b>			
5	Fall	Credits	6	Spring	Credits		
	ArchST 4320 - Materials & Methods	3	ArchSt 3230 - Adv Design Comm	3	application for masters	34	
	ArchSt 4333 - Compliance & Specifications	3	ArchSt 3860W - Programming	3			
	ArchSt 4823 - Studio 3	5	ArchSt 4710 - Design Business Practices	3			
	ArchSt 4085 - Structures for Architects*	3	ArchSt 4824 - Studio 4	5			
	elective	3	ArchSt 4325/7325 - Energy Efficient Building Design*	3			
	<b>Semester credits</b>	<b>17</b>	<b>Semester credits</b>	<b>17</b>			
7	Fall	Credits	8	Spring	Credits		
	ArchSt 4323 - Sustainable Tech (ZEDD)	3	ArchSt 4815/4815H - ConDoc & BIM (ZEDD)	5		31	
	ArchSt 4990 - Undergraduate Thesis	5	ArchSt 4962/7962 Information Visualization and Visual Analytics *	3			
	ArchE 4850 - Building Electrical Systems (S&T)**	3	ArchE 4800 HVAC 1 (S&T)**	3			
	elective (Const. Mgmt - CVEng 4145)	3	elective (Sustainability - CVEng 2800)	3			
			elective (Const. Mgmt - CVEng 4500)	3			
	<b>Semester credits</b>	<b>14</b>	<b>Semester credits</b>	<b>17</b>			
9	Summer : ArchSt 4940/7940 - Internship in Environmental Design*					6	6
10	Fall	Credits	11	Spring	Credits		
	ArchSt 8840 - Graduate Design Studio	6	ArchSt 8840 - Graduate Design Studio	6	M.A. Architectural Studies - 37 credits change to Master of Architecture	31	
	ArchSt 7085 - Digital Fabrication*	3	ArchSt 8887 - Environment & Behavior 2	3			
	ArchSt 7085 - LEAN, IPD, & other Project Delivery Methods***	3	ArchE 5001 - Daylighting (S&T)**	3			
	ArchSt 8050 - Research Methods	3	ArchE 5820 - Building Lighting Systems (S&T)**	3			
	ArchSt 8850 - Seminar in Environmental Design	1					
	<b>Semester credits</b>	<b>16</b>	<b>Semester credits</b>	<b>15</b>			

**Notes:** **TOTAL CREDITS** **168**

MA requires minimum 30 credit hours, 15 ch > 8000  
 19 credits > 8000

\* = added requirement, already a developed course  
 \*\* = added requirement, course shared within UM System  
 \*\*\* = added requirement, course in development

Required Courses in Major  
 C- or better, one D allowed  
 2.0 GPA

<https://catalog.missouri.edu/collegeofartsandscience/architecturalstudies/bs-architectural-studies-emphasis-architectural-studies/>

**Program changes - BS Architectural Studies, Architectural Studies Emphasis**

Develop New Course	0
Require Existing Course	3
Require Shared Course w/ System Institution	2
Increase Credit Hours for Course	7
Increase Required Minimum Credit Hours for Degree to 131	

<https://catalog.missouri.edu/collegeofartsandscience/architecturalstudies/ma-architectural-studies/>

**Program changes - MA Architectural Studies**

Develop New Course	1
Require Existing Course	2
Require Shared Course w/ System Institution	2
Increase Required Minimum Credit Hours for Degree to 37	
Request to Dean of Graduate School for increased semester credit hour allowance	
Request Name change of degree to Master of Architecture	

**Sam Jackson Case Study - current MA student**

ArchSt 8850 - Seminar in Environmental Design	1
ArchSt 8050 - Research Methods	3
ArchSt 7085 - Digital Fabrication*	3
ArchSt 4085 - Structures for Architects*	3
ArchSt 4325/7325 - Energy Efficient Building Design*	3
ArchE 4850 - Building Electrical Systems (S&T)**	3
ArchE 4800 HVAC 1 (S&T)**	3
ArchSt 8840 - Graduate Design Studio	6
ArchSt 8840 - Graduate Design Studio	6
ArchSt 8887 - Environment & Behavior 2	3
ArchE 5001 - Daylighting (S&T)**	3
ArchE 5820 - Building Lighting Systems (S&T)**	3
ArchSt 4940/7940 Internship in Environmental Design*	6
elective	2
<b>Total Credits</b>	<b>48</b>

**ArchSt 4940/7940 Internship in Environmental Design\***

ArchE 5001 - Daylighting (S&T)**	3
ArchE 5820 - Building Lighting Systems (S&T)**	3
ArchSt 7085 - Digital Fabrication*	3
ArchSt 7085 - LEAN, IPD, & other Project Delivery Methods***	3
ArchSt 8050 - Research Methods	3
ArchSt 8840 - Graduate Design Studio	6
ArchSt 8840 - Graduate Design Studio	6
ArchSt 8850 - Seminar in Environmental Design	1
ArchSt 8887 - Environment & Behavior 2	3

22 May 2024

To Whom it May Concern,

The Department of Architectural Studies at Mizzou and the Architectural Engineering Program at Missouri S&T are excited about sharing curriculum to support the proposed M.Arch degree from Mizzou and MS Arch E. degree from S&T. While there are no challenges or oppositions with enrollment expectations for the next year, we are working together to develop a growth plan if enrollment increases beyond current faculty capacity in the additional course offerings and inter-campus enrollment in existing courses. We want to ensure that the revenue generated can support necessary resources in each unit. We recognize that this is unprecedented collaboration that will take cooperation and flexibility to successfully execute. Additionally, we feel that this is precisely the type of work we should be exploring across the UM System. The programs are structured in such a way that should either unit be stressed beyond capacity, shared coursework can stop without stalling student completion of the degree. We appreciate your consideration of our proposals.

Sincerely,



Lyria D Bartlett  
Associate Teaching Professor & Chair  
Department of Architectural Studies



Dr. Joel Burken  
Curators' Distinguished Professor & Chair  
Civil, Architectural, and Environmental Engineering



November 3, 2023

Latha Ramchand  
Provost and Executive Vice Chancellor  
University of Missouri

Provost Ramchand,

I write to express my support for the 4+1 Masters in Architecture (M.Arch) program being proposed by the Department of Architectural Studies in the College of Arts and Science.

The proposal takes an existing project-based degree (MA in Architectural Studies) and will create an accelerated 4+1 degree, so that after five years, the students will have earned a BS in Architectural Studies and an M.Arch degree that is accredited by the National Architecture Accreditation Board (NAAB).

The 4+1 program will be the first path to an accredited architecture degree at a public institution in the state of Missouri. The current BS in Architectural Studies has 248 majors (108 architectural studies emphasis, 128 interior design emphasis, 20 without emphasis) and continues to experience significant growth year after year. Many of our current students tell us they would like an accredited M.Arch degree, because it would reduce their path to licensure by five years. The proposed program will also substantially reduce the overall cost of their education compared to current options of 4+2-3 years with allied institutions. Coupled with the tiered and plateaued tuition, Missouri students will be able to earn the requisite credits for both the bachelor's and master's degrees in just five years.

The hybrid, collaborative nature of the Department of Architectural Studies produces graduates that are successful in interdisciplinary design teams and sought out by employers for their strengths in digital media and sustainability. Faculty are licensed and certified in architecture, interior design, sustainability, and as second responders for building assessments after natural disasters. Recognized as 1 of 17 programs internationally with a Zero Energy Design Designation by the U.S. Department of Energy, the program focuses on improving the human condition through the built environment.

Finally, this program will require very minimal investment from the University. We already have all of the necessary faculty and facilities. With the exception of adding one class and sharing 4 courses with Missouri S&T, the curriculum is already in place.

This program will benefit our students by offering faster career advancement and lower overall cost. It will benefit the state and region by producing a professional workforce that addresses

building performance through the application of research-based design. Inevitably, communities will experience the positive impacts of healthy buildings, affordable housing, severe weather resilience, and lower utility bills.

Sincerely,

A handwritten signature in blue ink, appearing to read 'A. Cooper Drury', with a long horizontal flourish extending to the right.

A. Cooper Drury  
Dean





**School of Science and Engineering**  
Office of the Dean

March 14, 2024

Dean Cooper Drury, Ph.D.  
317 Lowry Hall  
Columbia MO 65211  
United States

Dear Dean Drury,

I am excited to hear that the University of Missouri-Columbia (UMC) is proposing a new degree in architecture.

This UMC M.Arch degree will be complimentary in many ways to the recently approved UMKC B.Arch degree. I anticipate that we will be able to share courses, faculty, adjuncts, and industry-based programming (internships, projects, competitions, etc.) I believe that if we work together, we can also create pathways for the students; easy transfer of courses, semester long visiting student programs, and combined study abroad programs as examples.

The UMC based idea of creating the M.Arch 4+1 program with interdisciplinarity at its core is also great for the students and the UMC collaborating degree programs. Architecture students must interact with a variety of disciplines in their careers, and this program will have access to many of them at UMC: Interior Design, Construction Management, Engineering, and select Sciences. Building on UMC's current BS in Arch Studies' strengths in sustainability, parametric modelling and human experiences coupled with UMKC's close access to the KC-based industry partners (internships, jobs, adjuncts) and community (engagement, civic projects, etc.) provides many avenues for us to partner with the goal of having two world-class programs.

We see the two programs as complementary, providing two high-quality, professionally-based, public architectural programs in the state of Missouri. UMKC's program as a streamlined, accessible, affordable urban-based program and UMC's program as a broader suite of architectural programming. Both programs having features that, in partnership, can be utilized to strengthen both programs.

We at UMKC are very supportive of this new M.Arch degree at the University of Missouri-Columbia.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Kevin Z. Truman', is written over a light blue circular stamp.

Kevin Z. Truman, Ph.D., F.ASCE  
Dean  
School of Science and Engineering



The American Institute of Architects

AIA Missouri  
312 SW Greenwich Dr Ste 235  
Lee's Summit, MO 64082

O (816) 944-0593 C (913) 908-7353

[www.aiamo.org](http://www.aiamo.org)

February 1, 2024

Lyria Bartlett, Associate Professor & Chair  
PA, NCIDQ, LEED AP BD+C

MU College of Arts & Science  
Department of Architectural Studies  
137 Stanley Hall, Columbia, MO 65211

Subject: Letter of Board Support for publicly accredited Master of Architecture Program in Missouri

To Whom it May Concern:

I am writing on behalf of the American Institute of Architects for the state of Missouri. Our professional organization represents 2,100 architects across the state. We have member chapters in Kansas City, St. Louis, Mid Missouri and Springfield. AIA Missouri provides education, networking and advocacy for architects in all career stages.

AIA Missouri, strongly supports the establishment of a new Master of Architecture program in the state of Missouri at a public university. We understand there is currently no such program offered by public schools in our state. We believe introducing this initiative will have significant benefits for our community and the state as a whole.

Our organization has closely followed the development of this proposal and is convinced that a public Master of Architecture program will not only address the existing gap in educational offerings but also contribute to the state's overall educational landscape. We would like to highlight these key points that reinforce our endorsement of this program:

1. **Affordability and Accessibility:** Public institutions are known for their commitment to providing quality education at an affordable cost. The introduction of a Master of Architecture program at a public Missouri University will undoubtedly offer a more accessible option for aspiring architects who may find private programs financially burdensome.
2. **Retaining Local Talent:** Currently, many talented individuals seeking advanced degrees in architecture may opt for institutions outside the state due to the absence of a public program. By offering this program within Missouri, it can play a pivotal role in retaining local talent and ensure that our state benefits from the skills and expertise of its

own residents.

3. **Community Impact:** A public Master of Architecture program in Missouri will not only serve the academic needs of students but also contribute to the community at large. Collaborations with local businesses, architectural firms, and community projects can foster a strong sense of civic engagement and provide students with practical, real-world experiences.
4. **Economic Development:** By keeping architecture talent within the state, we anticipate positive effects on the local economy. Graduates of the program are likely to contribute to the growth of the architectural sector, attracting investments and opportunities that benefit our state's economic development.

We firmly believe that the establishment of a Master of Architecture program at a public Missouri University aligns with our shared vision for a thriving and inclusive educational environment. We appreciate the dedication and hard work required by any school administration in developing this program. We stand behind the initiative with unwavering support.

Thank you for considering our endorsement, and we look forward to witnessing the positive impact that this program will have on our community.

Sincerely,

Alexandra Bojarsky-Stauffer, AIA, NCARB  
AIA Missouri Board President

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February 1, 2024

Lyria Bartlett, Associate Professor & Chair  
PA, NCIDQ, LEED AP BD+C

MU College of Arts & Science  
Department of Architectural Studies  
137 Stanley Hall, Columbia, MO 65211

Subject: Letter of Board Support for publicly accredited Master of Architecture Program in Missouri

To Whom it May Concern:

I am writing on behalf of the American Institute of Architects for the St. Louis Chapter. Our professional organization represents 910 architects in our region. AIA St. Louis provides education, networking and advocacy for architects in all career stages.

AIA St. Louis, strongly supports the establishment of a new Master of Architecture program in the state of Missouri at a public university. We understand there is currently no such program offered by public schools in our state. We believe introducing this initiative will have significant benefits for our community and the state as a whole.

Our organization has closely followed the development of this proposal and is convinced that a public Master of Architecture program will not only address the existing gap in educational offerings but also contribute to the state's overall educational landscape. We would like to highlight these key points that reinforce our endorsement of this program:

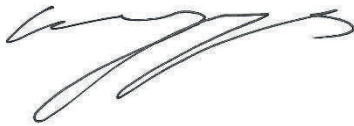
- Affordability and Accessibility:** Public institutions are known for their commitment to providing quality education at an affordable cost. The introduction of a Master of Architecture program at a public Missouri University will undoubtedly offer a more accessible option for aspiring architects who may find private programs financially burdensome.
- Retaining Local Talent:** Currently, many talented individuals seeking advanced degrees in architecture may opt for institutions outside the state due to the absence of a public program. By offering this program within Missouri, it can play a pivotal role in retaining local talent and ensure that our state benefits from the skills and expertise of its own residents.

3. **Community Impact:** A public Master of Architecture program in Missouri will not only serve the academic needs of students but also contribute to the community at large. Collaborations with local businesses, architectural firms, and community projects can foster a strong sense of civic engagement and provide students with practical, real-world experiences.
4. **Economic Development:** By keeping architecture talent within the state, we anticipate positive effects on the local economy. Graduates of the program are likely to contribute to the growth of the architectural sector, attracting investments and opportunities that benefit our state's economic development.

We firmly believe that the establishment of a Master of Architecture program at a public Missouri University aligns with our shared vision for a thriving and inclusive educational environment. We appreciate the dedication and hard work required by any school administration in developing this program. We stand behind the initiative with unwavering support.

Thank you for considering our endorsement, and we look forward to witnessing the positive impact that this program will have on our community.

Sincerely,



Erik Biggs, AIA, LEED AP, CDT  
AIA St. Louis, President

# Lamar Johnson Collaborative

2199 Innerbelt Business Center Dr. Overland, MO 63114

(314) 429-1010

theljc.com

November 14, 2023

RE: Letter of Support University of Missouri Master of Architecture Program

I was a MU student in 1988, attending University with the goal of becoming an architect. It wasn't clear to me at first what my path to Architecture would be, but I had known that's what I wanted to do since the age of 12. Being a first-generation college freshman in my family, I had to figure out the path. My decision to attend MU over Washington University School of Architecture was based on economics, along with accessibility and connection with the faculty and the shared spirit of success I felt on the campus. Through the Honors college and Engineering School I finally found my way to the College of Environmental Design as a freshman and figured out with a Bachelor of Science in Environmental design with an emphasis in Housing Design that I could continue onto any graduate school for a Master of Architecture. Since Mizzou didn't offer the path, I was originally thinking KU but then I pivoted to the West coast for both financial reasons along with the desire to see the built environment through a different lens that I hadn't seen as a native Missourian myself.

Attending California Polytechnique Master of Architecture program, I set out for a 3 year journey to complete but found that with the transfer credits from MU, I was able to complete my Master of Architecture in 2 years. Moving back to St Louis in 1995, I found myself working alongside my peer group who had recently attended Wash U, KU, K-State, Ball State. Mizzou had adequately prepared me to be an equal among my peers.

Joining as an Advisory Board member in 2014, I was more than impressed with the level of student work. Having served as an adjunct professor at WashU and participated in numerous juries the decade prior, I noted that the MU students were on par and in many ways exceeded their counterparts at Wash U with the level of practical knowledge that was evident in their work. I shared many of the other Advisory Board members belief that MU's program without accreditation was definitely on the level of other accredited programs in the state (Wash U, Drury) and nearby ( KU, K-State, Ball State, IIT).

To give any MU undergraduate the opportunity to gain an accredited M Arch at Mizzou would mark progress equal to the level of preparedness that I see in the current MU student work. I would give both undergraduates and practicing professional in the field without an accredited degree a viable option in the geographic center of the state. I know it will be successful. Lyria and the incredibly talented MU faculty are more than capable of educating a new generation of accredited architects. I give my wholehearted support to this effort and highly recommend approval to whom it may concern.

Thanks,

Bob



Bob Buckman, AIA, NCARB  
Associate Principal, Lamar Johnson Collaborative.

## Letter of Support

November 7, 2023

To Whom it May Concern,

This letter is written in support of the University of Missouri – Columbia (Mizzou) School of Architectural Studies attaining NAAB accreditation for a 4+1 Masters of Architecture NAAB Accredited Degree (M. Arch). The Architectural Studies and Interior Design programs at Mizzou have a rich history of producing designers that are both thoughtful and responsible with design, conscious of sustainability, social, and global issues that can be addressed through architectural and interior design.

A NAAB accredited M. Arch program in Mid Missouri would provide access for countless prospective students wishing to advance their degree and or/ attain an Architect's license in the future. While attending Mizzou, I initially had been in engineering school but quickly transitioned to Architectural Studies when I realized engineering would not have been a good fit for me. Upon transferring to Architectural Studies, I quickly learned that Stanley Hall was where I belonged; however, I was disheartened to find out that the Architectural Studies program was a pre-professional, non-accredited bachelor's degree, and that if I wanted to be an Architect one day, I would need to continue my schooling elsewhere. Ultimately, I chose to stay with the program as it wasn't fiscally or personally feasible for me to switch universities. Additionally, I found myself comfortable, excited about learning, and I had developed bonds with my cohort moving through the program – something that I had desperately needed in that time of my life due to my struggles with mental health. Deciding to stay, I chose to transition to the Interior Design program as it was accredited by CIDA and felt that I would be getting the most out of my time at Mizzou by going that route. My plan would be then to take that Interiors Degree and later go to grad school (online) to get my M. Arch in a few years.

The faculty at Mizzou are exemplary individuals, each with their own expertise in the field, and have always pushed students to do their very best work. The faculty, my peers and the community that exists within Stanley Hall's walls built the foundation that I had taken on to grad school at SIU – Carbondale and then with my professional career. I wished the program did have a master's degree offering as it would have simplified and possibly expedited my career path extensively. Alas, we

cannot go back in time, but we can build a better future for those who come after us and I think one thing that we can do is provide educational access to the next generations of Architects and Interior Designers to come – filled to the brim with knowledge on how to best design spaces for the future through sustainable and responsible practices.

To whomever is reading this, I wish you well and hope that you can personally experience what it means to be within Stanley Hall, to experience the community that exists there.

Thank you,

**JACK CASTULIK** | DESIGNER  
M 314.910.8110  
O 314.821.1100 X 174

# R5 DESIGN AGENCY

[jtc@r5da.com](mailto:jtc@r5da.com) | [r5da.com](http://r5da.com) | 12 Sunnen Dr. Saint Louis, MO Suite 100

A CD Companies subsidiary | [theCDcompanies.com](http://theCDcompanies.com)

**CD COMPANIES**



January 30, 2024

Subject: Letter of Board Support for New Master of Architecture Program at the University of Missouri

To Whom it May Concern:

I am writing on behalf of Health Facilities Group, LLC and AIA Missouri Board to express my wholehearted support for the establishment of a new Master of Architecture program at the University of Missouri. We understand that there is currently no such program offered by public schools in our state, and we believe that introducing this initiative will have significant benefits for our community and the state as a whole.

Our organization has closely followed the development of this proposal and is convinced that a Master of Architecture program at the University of Missouri will not only address the existing gap in educational offerings but also contribute to the state's overall educational landscape. We would like to highlight some key points that reinforce our endorsement of this program:

1. **Affordability and Accessibility:** Public institutions are known for their commitment to providing quality education at an affordable cost. The introduction of a Master of Architecture program at the University of Missouri will undoubtedly offer a more accessible option for aspiring architects who may find private programs financially burdensome.
2. **Retaining Local Talent:** Currently, many talented individuals seeking advanced degrees in architecture may opt for private institutions outside the state due to the absence of a public program. By offering this program, the University of Missouri can play a pivotal role in retaining local talent, ensuring that our state benefits from the skills and expertise of its own residents.
3. **Community Impact:** A Master of Architecture program at the University of Missouri will not only serve the academic needs of students but also contribute to the community at large. Collaborations with local businesses, architectural firms, and community projects can foster a strong sense of civic engagement and provide students with practical, real-world experiences.
4. **Economic Development:** By keeping architecture talent within the state, we anticipate positive effects on the local economy. Graduates of the program are likely to contribute to the growth of the architectural sector, attracting investments and opportunities that benefit our state's economic development.

We firmly believe that the establishment of a Master of Architecture program at the University of Missouri aligns with our shared vision for a thriving and inclusive educational environment. We appreciate the dedication and hard work put forth by the school administration in developing this proposal, and we stand behind the initiative with unwavering support.

While in South Dakota, I was part of the team that helped establish, fund, and receive NAAB accreditation for the South Dakota State University Architecture program. It was a challenging and rewarding process that continues to deliver community benefits that show the value of how good design can shape lives in the region. If a state like South Dakota with a total population of less than 800,000 can achieve this, I am excited about what the State of Missouri can do.

Thank you for considering my endorsement, and we look forward to witnessing the positive impact that this program will have on our community.

Sincerely,

A handwritten signature in blue ink that reads "Larry Crane". The signature is fluid and cursive, with the first name "Larry" and the last name "Crane" clearly distinguishable.

Larry Crane, AIA, NCARB  
Senior Healthcare Architect  
Health Facilities Group, LLC

Subject: Letter of Board Support for New Master of Architecture Program at the University of Missouri

Dominique Davison AIA, LEED AP, NCARB  
principal | DRAW architecture + urban design

21 January 2014

To Whom it May Concern:

I am writing on behalf of the AIA Missouri Board to express our wholehearted support for the establishment of a new Master of Architecture program at the University of Missouri. We understand that there is currently no such program offered by public schools in our state, and we believe that introducing this initiative will have significant benefits for our community and the state as a whole.

Our organization has closely followed the development of this proposal and is convinced that a Master of Architecture program at the University of Missouri will not only address the existing gap in educational offerings but also contribute to the state's overall educational landscape. We would like to highlight some key points that reinforce our endorsement of this program:

1. **Affordability and Accessibility:** Public institutions are known for their commitment to providing quality education at an affordable cost. The introduction of a Master of Architecture program at the University of Missouri will undoubtedly offer a more accessible option for aspiring architects who may find private programs financially burdensome.
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3. **Community Impact:** A Master of Architecture program at the University of Missouri will not only serve the academic needs of students

but also contribute to the community at large. Collaborations with local businesses, architectural firms, and community projects can foster a strong sense of civic engagement and provide students with practical, real-world experiences.

4. **Economic Development:** By keeping architecture talent within the state, we anticipate positive effects on the local economy. Graduates of the program are likely to contribute to the growth of the architectural sector, attracting investments and opportunities that benefit our state's economic development.

We firmly believe that the establishment of a Master of Architecture program at the University of Missouri aligns with our shared vision for a thriving and inclusive educational environment. We appreciate the dedication and hard work put forth by the school administration in developing this proposal, and we stand behind the initiative with unwavering support. We also envision the implementation of this initiative on the UMKC campus, where it can cater to a more diverse and inclusive student community. This would effectively address the pressing need for heightened diversity within our industry.

Thank you for considering our endorsement, and we look forward to witnessing the positive impact that this program will have on our community.

Sincerely,

 1/31/2024

**Dominique Davison** AIA, LEED AP, NCARB  
principal | DRAW architecture + urban design

**DRAW**

214 w 21st st, suite 200  
kansas city, mo 64108  
816.531.8303 (o)  
816.516.8970  
[www.drawarch.com](http://www.drawarch.com)

February 1, 2024

Lyria Bartlett, Associate Professor & Chair  
PA, NCIDQ, LEED AP BD+C

MU College of Arts & Science  
Department of Architectural Studies  
137 Stanley Hall, Columbia, MO 65211

Subject: Letter of Board Support for publicly accredited Master of Architecture Program in Missouri

To Whom it May Concern:

I am writing on behalf of the American Institute of Architects - both for AIA Missouri and AIA St. Louis. AIA Missouri represents 2,100 architects across the state, and AIA St. Louis represents over 800 architects in the eastern counties of Missouri – stretching from Iowa to Arkansas. AIA Missouri & St. Louis provide education, networking and advocacy for architects in all career stages.

I serve on the Board of AIA Missouri, and I am President-elect of AIA St. Louis, so I write with the interests of both organizations in mind.

AIA Missouri, strongly supports the establishment of a new Master of Architecture program in the state of Missouri at a public university. We understand there is currently no such program offered by public schools in our state. We believe introducing this initiative will have significant benefits for our community and the state as a whole.

Specific to AIA St. Louis, I believe that the program should be located centrally within the state to benefit the entire state equally. Locating the program in Columbia, Missouri would serve students from all over the state and center it as an integral part of the flagship university's main campus.

AIA Missouri has closely followed the development of this proposal and is convinced that a public Master of Architecture program will not only address the existing gap in educational offerings but also contribute to the state's overall educational landscape. We would like to highlight these key points that reinforce our endorsement of this program:

1. **Affordability and Accessibility:** Public institutions are known for their commitment to providing quality education at an affordable cost. The introduction of a Master of Architecture program at a public Missouri University will undoubtedly offer a more accessible option for aspiring architects who may find private programs financially burdensome.
2. **Retaining Local Talent:** Currently, many talented individuals seeking advanced degrees in architecture may opt for institutions outside the state due to the absence of a public program. By offering this program within Missouri, it can play a pivotal role in

retaining local talent and ensure that our state benefits from the skills and expertise of its own residents.

3. **Community Impact:** A public Master of Architecture program in Missouri will not only serve the academic needs of students but also contribute to the community at large. Collaborations with local businesses, architectural firms, and community projects can foster a strong sense of civic engagement and provide students with practical, real-world experiences.
4. **Economic Development:** By keeping architecture talent within the state, we anticipate positive effects on the local economy. Graduates of the program are likely to contribute to the growth of the architectural sector, attracting investments and opportunities that benefit our state's economic development.

We firmly believe that the establishment of a Master of Architecture program at a public Missouri University aligns with our shared vision for a thriving and inclusive educational environment. We appreciate the dedication and hard work required by any school administration in developing this program. We stand behind the initiative with unwavering support.

Thank you for considering our endorsement, and we look forward to witnessing the positive impact that this program will have on our community.

Sincerely,

Melissa Harlan, AIA  
AIA Missouri Board Member  
AIA St. Louis President-Elect



January 30, 2024

RE: Letter of support for new **Master of Architecture** program  
at the **University of Missouri**

To whom it may concern:

I am writing on behalf of my central Missouri based Architectural Firm, Wallace Architects, LLC, to express my wholehearted support for the establishment of a new Master of Architecture program at the University of Missouri. We understand that there is currently no such program offered by a Public University in our State, and I believe that introducing this initiative will have significant benefits for our community and the State as a whole.

Our organization has closely followed the development of this proposal and is convinced that a Master of Architecture program at the University of Missouri will not only address the existing gap in educational offerings but also contribute to the State's overall educational landscape. We would like to highlight some key points that reinforce our endorsement of this program:

1. **Affordability and Accessibility:** Public institutions are known for their commitment to providing quality education at an affordable cost. The introduction of a Master of Architecture program at the University of Missouri will undoubtedly offer a more accessible option for aspiring Architects who may find private programs financially burdensome.
2. **Retaining Local Talent:** Currently, many talented individuals seeking advanced degrees in Architecture may opt for private institutions outside the State due to the absence of an in-State accredited, public program. By offering this program, the University of Missouri can play a pivotal role in retaining local talent, ensuring that our State benefits from the skills and expertise of its own residents. For selfish reasons, our Mid-Missouri based firm really struggles in competing with Kansas City and St. Louis markets in attracting and retaining Mid-Missouri talent. Having a Masters of Architecture program in Missouri, specifically central Missouri for our firm, would undoubtedly help improve the chances that high level students become high level Architects and longtime community residents of Mid-Missouri. Central Missouri, specifically Columbia, Missouri, has so much to offer to students and to young aspiring Professionals.
3. **Community Impact:** A Master of Architecture program at the University of Missouri will not only serve the academic needs of students but also contribute to the community at large. Collaborations with local businesses, Architectural firms,

and community projects can foster a strong sense of civic engagement and provide students with practical, real-world experiences.

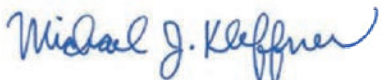
4. **Economic Development:** By keeping architecture talent within the State, we anticipate positive effects on the local economy. Graduates of the program are likely to contribute to the growth of the architectural sector, attracting investments and opportunities that benefit our State's economic development.

We firmly believe that the establishment of a Master of Architecture program at the University of Missouri aligns with our shared vision for a thriving and inclusive educational environment. We appreciate the dedication and hard work put forth by the University administration in developing this proposal, and we stand behind the initiative with unwavering support.

Thank you for considering our endorsement, and we look forward to witnessing the positive impact that this program will have on our community. If you have any follow up questions or concerns, please don't hesitate to email or call.

Sincerely,

**Wallace Architects, LLC**



Michael J. Kleffner, Manager  
AIA, NCARB, LEED AP



February 2, 2024

Lyria Bartlett, Associate Professor & Chair  
PA, NCIDQ, LEED AP BD+C

MU College of Arts & Science  
Department of Architectural Studies  
137 Stanley Hall, Columbia, MO 65211

Subject: Letter of Board Support for publicly accredited Master of Architecture Program in Missouri

To Whom it May Concern:

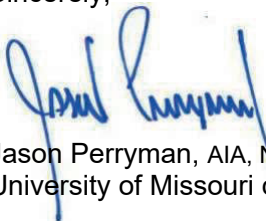
I am writing in support of a new Master of Architecture program at the University of Missouri. As an Alumni of the University and graduate from the Architectural Studies program, I am very familiar with the high standards of academia and commitment to developing the next generation of design professionals.

My career path after graduation took me into the profession and then back to graduate school to pursue a degree in architecture. This program would provide students that have a similar passion for design and a desire to contribute to the architecture profession a well-organized opportunity.

My firm has a large presence in Missouri and we are constantly seeking to hire the brightest minds in architecture. As a leader in our Kansas City practice, I am personally responsible for recruiting. An architecture program at the University of Missouri would provide our firm the opportunity to provide graduates with meaningful roles that contribute to the future of the built environment. HOK's commitment to the profession is well established. Our employee development programs continue the academic insight student's find in school so they can realize their full potential in the architecture profession.

Thank you for the opportunity to provide my personal endorsement of this program application. With great optimism, I look forward to the contribution this program could provide to students and the profession.

Sincerely,



Jason Perryman, AIA, NCARB, LEED AP  
University of Missouri class of '00

Principal  
HOK  
300 Wes 22<sup>nd</sup> Street, Kansas City, MO 64108

# AUDIT, COMPLIANCE AND ETHICS COMMITTEE

Keith A. Holloway, Chair

Lyda Krewson

Jeanne C. Siquefield

Michael A. Williams

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

## I. **Scope**

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

## II. **Executive Liaison**

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

## III. **Responsibilities**

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

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

1. the University risk assessment, audit plan and compliance plan; and
2. the appointment, compensation, and termination of the university’s external auditors.

### B. Providing governance oversight regarding:

1. development and monitoring a University code of conduct;
2. effectiveness of the internal control framework;
3. ensuring that the significant findings and recommendations are received, discussed and appropriately resolved;
4. procedures for reporting misconduct without the fear of retaliation;
5. university compliance with applicable laws, regulations, and policies that govern all aspects of University operations including but not limited to the following:
  - a. Administrative compliance risks
  - b. Healthcare compliance risks
  - c. Research compliance risks
  - d. Information security compliance risks
  - e. Privacy compliance risks

6. those additional matters customarily addressed by the audit, compliance and ethics committee of a governing board for an institution of higher education.

C. Reviewing periodic reports regarding:

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

**Ethics, Compliance, and Audit Services (ECAS) Annual Report**  
**UM System**  
**June 27, 2024**

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The following report contains a summary of FY24 accomplishments in the following areas of Ethics, Compliance, and Audit Services (ECAS):

Internal Audit

- Final Status of the FY24 Annual Audit Plan
- Completed Audit & Consulting Engagements by Risk Area
- Internal Audits and Consulting Engagements Currently in Process
- Internal Audit Work Completed Since April 2024

Central Investigations

- FY24 Investigations and Themes
- Combined Summary of Audits and Investigations

Ethics And Compliance

- Final Status of FY2024 Ethics and Compliance Plan

Privacy

- FY2024 Accomplishments

**Ethics, Compliance, and Audit Services (ECAS) Annual Report  
UM System  
June 27, 2024**

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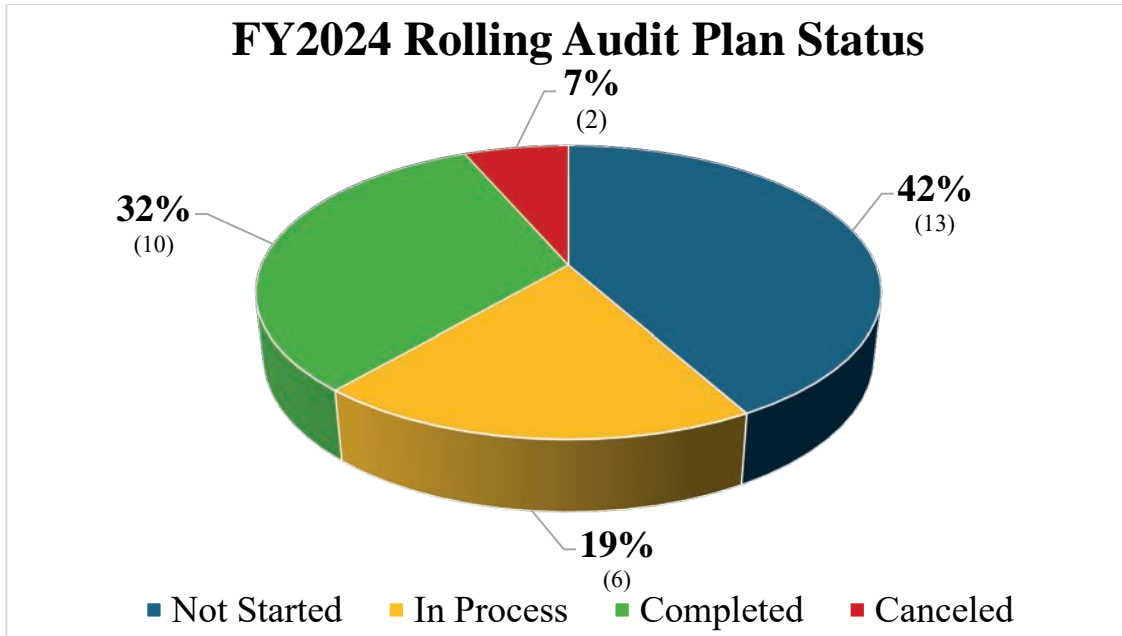
**INTERNAL AUDIT**

**Final Status of the FY2024 Annual Audit Plan**

*Audit/Consulting:*


Projects Completed	10
In Process	6
Cancelled	2
Not Started*	13

\*Will be rolled forward to FY25



**Completed Audit & Consulting Engagements by Risk Area (Investigations excluded)**

Audit Engagement	Risk Areas Addressed			
	Finance	Compliance	Operations	Reputation
MU Athletics Standard Financial Controls	X		X	
MUHC Conflict of Interest		X		
UMSL Conflict of Interest		X		
S&T Export Controls & Sanctions		X		
MU-MUHC Network Segregation – Firewall Rules, Phase II		X	X	
MUHC Operating Room Charge Capture	X	X		
MU SOM Medical Student Education Project Grant Assessment	X	X		X
S&T Construction Contract & Student Experience Center Project Assessment	X		X	
Monitoring of Management Action Plan Implementation				
Risk Assessment and Audit Plan Development				

 - Indicates a Consulting Engagement

**Internal Audits and Consulting Engagements Currently in Process**

<b>Audit Area</b>	<b>Overall Objective</b>	<b>Status</b>	<b>Risk Area(s)</b>
1. MU - College of Agriculture, Food, and Natural Resources Standard Financial Audit	Focus on processes impacting financial performance.	Fieldwork	Finance
2. MU – Export Controls & Sanctions	Assessment of export control processes.	Fieldwork	Compliance
3. UMKC – Information Security Assessment	Co-sourced information security assessments, in collaboration with the information security officers, for critical systems, excluding Microsoft, Outlook, PeopleSoft, and Active Directory.	Fieldwork	Information Technology
4. MUHC - Pharmacy Drug Diversion	Co-sourced engagement to test and evaluate Pharmacy practices and controls over controlled substances at University Hospital.	Fieldwork	Operations
5. MU - Scholarship Awards	Assessment of scholarship awards to donor restrictions and/or established criteria.	Fieldwork	Operations; Reputation
6. MUHC – Provider Based Clinic Billing	Co-sourced engagement to evaluate the internal controls over key processes for capturing and coding provider-based clinic visits, including compliance with regulatory requirements.	Fieldwork	Compliance

## Internal Audit Work Completed Since April 2024

Audit/Project	Risk Rating
S&T, Construction Manager at Risk (CMR) & Construction Activities Audit	2

### Internal Audit Summary Report S&T, Construction Manager at Risk (CMR) & Construction Activities Audit March 2024



### Background

The University of Missouri Office of Ethics, Compliance and Audit Services (ECAS) contracted with Armanino to perform the following:

- Review the current University construction manager at risk (CMAR) contract and assess contract language on a consulting basis,
- Perform a construction audit of the current Student Experience Center project located at the University of Missouri Science & Technology (S&T) campus.

### Issues Summary

UM Facilities Planning and Development has a strong construction manager at risk contract that mitigates risk appropriately for the Owner. Recommendations were provided which could enhance the University's control over the CMR process and further decrease risk exposure. Upon review of a single Missouri S&T CMR project S&T followed relevant policies and procedures. Recommendations were provided that would increase the level of detail to improve documentation on change orders that would allow the Owner better oversight.

### Management Action Plan Summary

Management will implement the recommended contract language enhancements that are most beneficial and relevant to the organization. Due to the consulting nature of this engagement, management will consider the recommendations on a case-by-case basis. Management will enhance documentation requirements related to change orders and payment applications to improve oversight of CMAR projects.



## **CENTRAL INVESTIGATIONS**

### **FY24 Investigations and Themes**

*Investigations completed: 24*

*Two primary themes:*

1. Conflict of Interest
2. Workplace dynamic/practices

*Investigations, by allegation category:*

<b>Allegation Category</b>	<b>Investigations</b>
Accounting & Finance	11
Academic Misconduct	6
Human Resources Matters	5
Healthcare & Medical	1
Research Matters	1
<b>Total</b>	<b>24</b>

*Completed investigations by unit:*

<b>Unit</b>	<b>Investigations</b>
MU	14
MU Health	2
Missouri S&T	4
UMSL	4
<b>Total</b>	<b>24</b>

**COMBINED SUMMARY OF AUDITS AND INVESTIGATIONS**

**Completed Internal Audit Projects and Investigations by Unit**

<b>Unit</b>	<b>Assurance Projects</b>	<b>Investigations</b>	<b>Total</b>
<b>UM System</b>	0	0	0
<b>MU</b>	3	14	17
<b>MU Health Care</b>	3	2	5
<b>UMKC</b>	0	0	0
<b>Missouri S&amp;T</b>	2	4	6
<b>UMSL</b>	0	4	4
<b>Total</b>	<b>8</b>	<b>24</b>	<b>32</b>

**Note:** One assurance project benefited MU and MU Health Care. One engagement at Missouri S&T was performed as a combined consulting and audit project. The consulting portion benefited UM System, and the audit portion benefitted Missouri S&T.

In addition to the engagements above, two additional projects completed by Ethics, Compliance and Audit Services include the Risk Assessment and FY2025 Audit Plan Development work, and procedures performed to substantiate implementation of agreed to management action plans twice in FY2024. This accounts in full for the 10 audit projects completed.

## **ETHICS AND COMPLIANCE**

### **Final Status of FY2024 Ethics and Compliance Plan**

This report presents a summary of the Ethics and Compliance Plan accomplishments in FY24. The overall Ethics and Compliance program has two overall components:

- 1) The foundational UM System Compliance Program, discussed below, and
- 2) Utilizing many foundational elements to provide facilitation and support to significant high-risk compliance areas.

The table below summarizes projects that were completed in high-risk areas identified for support in FY24.

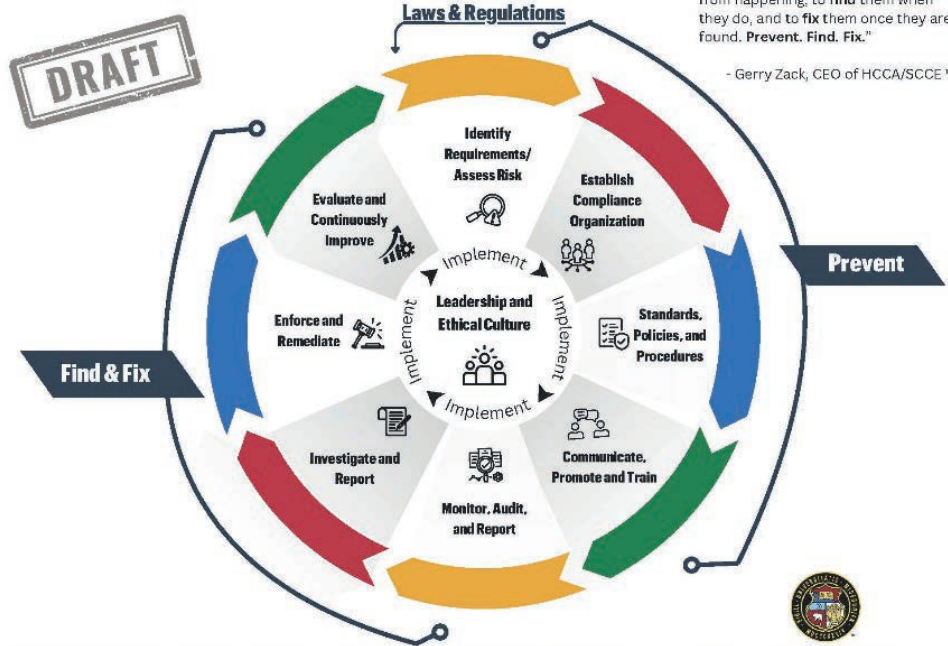
<b>High Risk Area</b>	<b>Summary of Accomplishments</b>
Export Controls and Sanctions	- Assisted in the development of educational materials and socialized awareness of sanctions requirements
Foreign Influence/Research Security	- Assisted in the development of educational materials and socialization efforts - Made substantial progress towards creating a mechanism to screen visiting unpaid scholars
Cybersecurity Maturity Model Certification (CMMC)	- Completed monitoring the development of Arculus to meet CMMC requirements
Information Security Program	- Assisted in the development of the IT risk management program and IT asset management program - Substantial progress has been made in the covered component designation and privacy and security program needs to meet this new designation model
Clery Act	- Created and deployed Campus Security Authority (CSA) training - Assisted in the development of the CSA identify, notify, and train procedures
Youth Protection	- Deployed new youth protection program registry and red flags program to address issues of non-compliance - Developed and deployed new youth protection program training and other new educational materials

Regarding progress in UM System Compliance Program foundations, the compliance model used prior to December 2023 was updated to better align with federal guidelines on effective compliance programs and the Office of Inspector General (OIG) guidance. These updates ensure a more robust and comprehensive compliance framework that meets the latest regulatory standards and best practices. Please see the updated model below.

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# Nine Element Compliance Model



Based on guidance from the U.S. Sentencing Commission Guidelines, §8B2.1, *Effective Compliance and Ethics Program*; U.S. Department of Justice, *Evaluation of Corporate Compliance Program*; COSO *Internal Control - Integrated Framework* Principles; and U.S. Department of Health and Human Services Office of the Inspector General, *General Compliance Guidance*.  
<sup>3</sup> Quoted in "Embracing simplicity in compliance with prevent, find, and fix," *CEP Magazine*, October 2021, emphasis added.



The table below summarizes all accomplishments related to building out the Compliance Program foundations and the high-risk areas using the newly updated nine-element compliance model.

<b>Leadership and Ethical Culture</b>	
Socialize compliance program model to leadership at all levels; get buy-in	In Process
<b>Identify Requirements and Assess Risk</b>	
Pilot testing nine element compliance model in export controls	In Process
Conduct GAP analysis of Clery programs at all four campuses	In Process
Develop and implement sanctions risk assessment	Not Started
<b>Establish Compliance Organization</b>	
Develop and implement a compliance program CRR	In Process
Compliance program governance and/or oversight structure	In Process

<b>Standards, Policies, and Procedures<sup>1</sup></b>	
Identify, Notify, and Train Campus Security Authorities Procedure	Completed
Foreign Gift and Contract Reporting Policy	Completed
Youth Protection Program Non-Compliance Escalation Guidelines	Completed
Foreign Gift and Contract Reporting Procedures	In Process
CHIPS and Sciences Act Foreign Income Reporting Procedures	In Process
Unpaid Appointments Policy and Procedures, formerly known as Courtesy Appointments (to include research security concerns)	In Process
Assist in the development of a Visiting Scholars Registry at each Campus (addressing through unpaid appointments)	In Process
Assist with the Covered Component Designation	In Process
Assist with the development of Clery Policy and associated procedures	In Process
Fraud Policy	Not Started
Non-retaliation Policy	Not Started
Any other policy/procedure gaps or revisions required because of gap analysis work and/or work with the General Counsel in establishing a compliance policy framework	Ongoing
<b>Communicate, Promote, and Train</b>	
Youth Protection Program job aids and training program	Completed
Search Committee training	Completed
Clery Act Campus Security Authority training	Completed
Code of Conduct Awareness Campaign: Reporting Concerns for Supervisors	Completed
General Fraud Awareness Training	Completed
Cybersecurity Maturity Model Certification (CMMC) campus socialization	Completed
Third Party Vendor and Supplier training	Completed
New Employee Conflict of Interest training	Completed
Assist with developing awareness of sanctions regulations	Completed
Develop and launch new youth protection program registry	Completed

<sup>1</sup> Working with business owners to facilitate

Assist in the development of materials for export controls and researcher specific trainings	In Process
FY 25 Newly Developed Electronic Data Protection Training	In Process
Code of Conduct annual training	Ongoing
Visiting scholars and disclosure requirements awareness and training	Not Started
<b>Monitor, Audit, and Report</b>	
Assist with development and deployment of CMMC space	Completed
Annual Youth Protection Program reports	Completed
Assist with and monitor IT Risk Management Program launch	Completed
Assist with the implementation of the Research Security Program	Ongoing
Monitor training completion for Sanctions Compliance	Not Started
Information Security Program Maturity monitoring	Discontinued
<b>Investigate and Report</b>	
As errors are detected, compliance will continue to work collaboratively with other subject matter experts to investigate, address, conduct a root cause analysis, and determine how best to reduce the possibility of future occurrences.	Ongoing
<b>Enforce and Remediate</b>	
Develop and Implement Youth Protection Program non-compliance escalation guidelines	Completed
Develop and implement red flag program for supervising adults in the Youth Protection Program	Completed
As errors are detected, compliance will continue to work collaboratively with other subject matter experts to investigate, address, conduct a root cause analysis, and determine how best to reduce the possibility of future occurrences.	Ongoing
<b>Evaluate and Continuously Improve</b>	
Evaluate compliance program framework and align to Federal Sentencing Guidelines, DOJ guidance, and other best practice frameworks	In Process

## PRIVACY

University of Missouri Privacy collaborates with campus stakeholders systemwide to address institutional privacy-related risks and implement controls to comply with applicable privacy regulations and protect the University community. This summary includes actions taken in the last fiscal year to accomplish our FY2024 goals and our plans for FY2025.

### **FY2024 Accomplishments**

#### Data Inventory, Mapping, and Minimization

Data classification and inventory management was the impetus of a new data governance committee, chaired by the Chief Data Officer for UM System, and with collaboration from Information Security, Enterprise Architecture, Compliance, and Privacy. This committee has focused on elements of data governance structure and access roles, defining data hierarchy. While there has been progress made, the work of the committee will continue in FY2025, culminating in a standing working group to continue data governance operationalization.

Privacy provided guidance and instruction in how to minimize data collection and storage, positively impacting risk associated with data breaches and improper data disclosure. Privacy was actively involved in several projects this year where ‘old data’ and data minimization best practices were introduced and adopted in both prevention and remediation situations. Projects included new guidelines for data servers, third-party contract terms, and new ventures across the system.

Privacy worked with Strategic Communications, Information Security, and Records Retention to give a training webinar on data minimization and proper data storage. This was followed by two quarterly communications developed to remind UM staff and faculty about the importance of good data management. It will continue as a quarterly event in FY2025.

#### Establishing a Privacy Program

Privacy started the creation of a comprehensive privacy program this year by first, reviewing various privacy frameworks. After meeting with several stakeholders to assess current concerns and practices, a framework was created:



The privacy framework aligns with the newly proposed draft compliance framework where three principles are paramount: 1) prevent issues from happening, 2) find the issues that do happen, and 3) fix them as they are found. The privacy framework’s flexibility has allowed for steps to be conducted singularly or in conjunction with each other, depending on whether a ‘preventive’ or ‘find and fix’ action is required.

Several tools were created over the past year to help streamline breach analysis. The introduction of a ‘post-mortem’ process was created by Privacy this year. This template allows for collection of information from first incident report to a closing statement that fully captures the cause, magnitude, and remediation efforts. This should guide the incident response group in future breaches.

Preventive Privacy Work

Privacy consulted on many engagements this year. These have been in the form of various new ventures, software purchases, new processes, and remediation events. Recommendations were made after research into applicable privacy law, best practices, and risk assessment on how to best proceed.

**Engagements Summary**

<b>Type</b>	<b>Engagements</b>
New Venture	2
Software	12
Process/Policy	5
Prevention/Remediation	5
<b>Total</b>	<b>24</b>

Artificial Intelligence and Machine Learning

Privacy has been involved in AI and ML conversations from both an academic and operational standpoint, offering guidance on governance and acceptable use. AI is very much a privacy focus as the risk for information breach is significant. Standards and protocol that are privacy-centric mitigate that risk and are being incorporated in policy and process documents.



# University of Missouri System Board of Curators

June 27, 2024  
Audit, Compliance and Ethics Committee

Ethics, Audit, and Compliance (ECAS)  
Annual Report  
UM System



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# Ethics, Compliance, and Audit Services



INTERNAL AUDIT



ETHICS AND  
COMPLIANCE



PRIVACY



CENTRAL  
INVESTIGATIONS



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# Internal Audit



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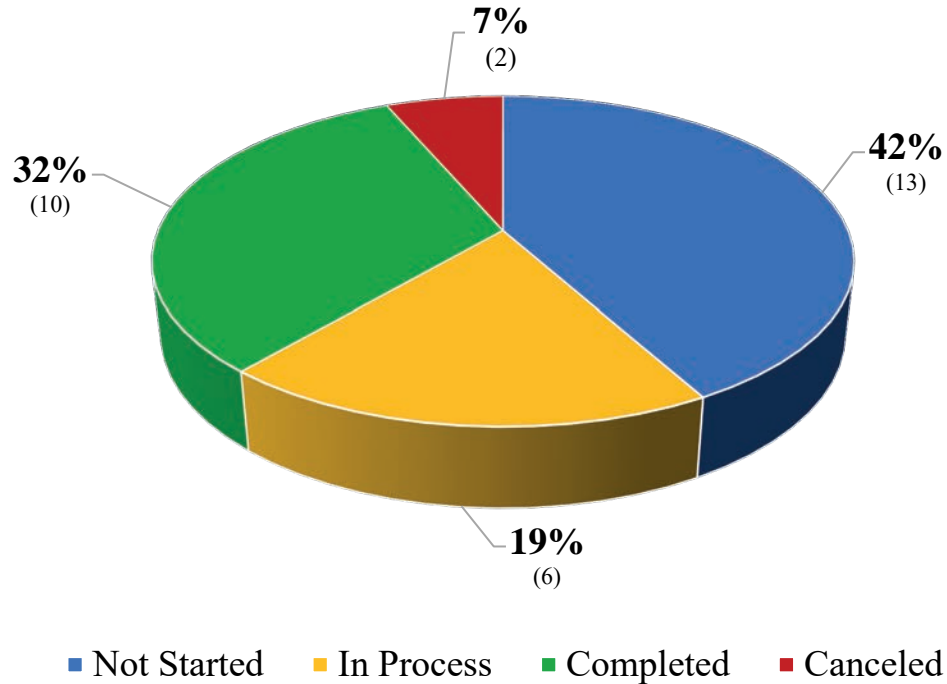
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# Final Status of the FY2024 Internal Audit Plan



FY24 Rolling Plan	Status
Completed	10
In Progress	6
Not Started	13*
Cancelled	2

\*Will be rolled forward to FY25



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# Audit Activity Since April 2024 Audit Committee Meeting

## S&T, Construction Manager at Risk & Construction Activities Audit

March 2024



### Summary Observations

- UM Facilities Planning and Development has a strong Construction Manager at Risk (CMR) contract that appropriately manages risk.
- The University could enhance some controls over the CMR processes to reduce risk. Improved detail and documentation on change orders would provide better Owner oversight.

### Management Actions

- Management will consider the recommended contract language enhancements and will enhance documentation requirements on change orders.



# Central Investigations



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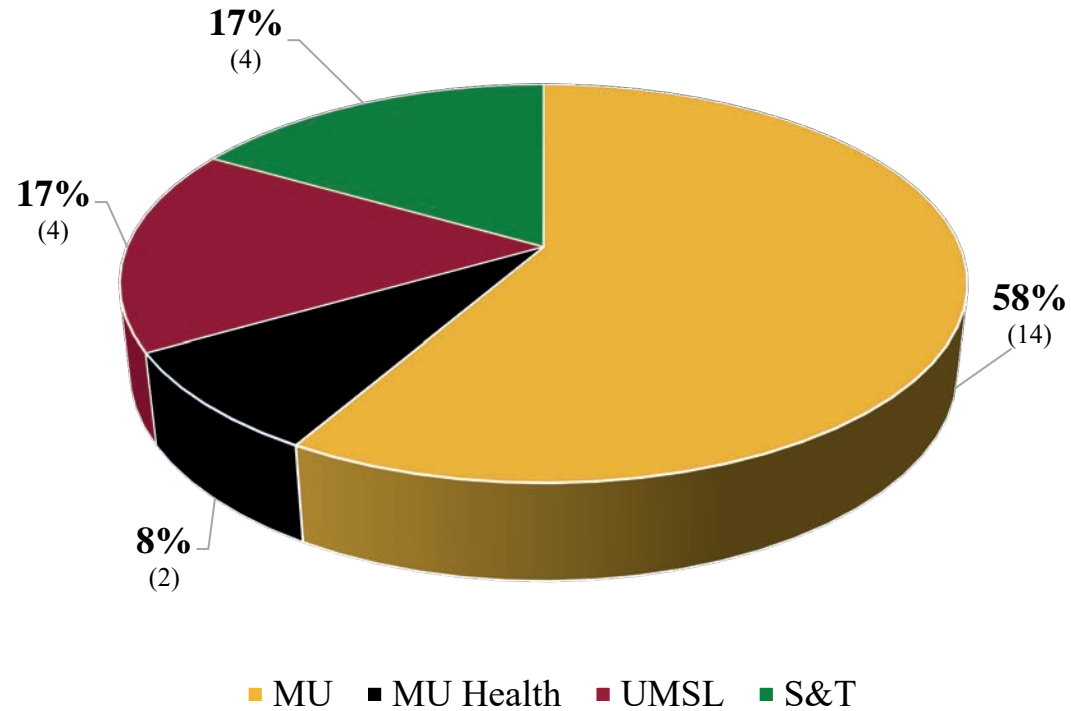
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# Investigations Completed: 24



Allegation Category	Investigations
Accounting & Finance	11
Academic Misconduct	6
Human Resources Matters	5
Healthcare & Medical	1
Research Matters	1



# Summary of Audits and Investigations

Unit	Assurance Projects	Investigations	Total
UM System	0	0	0
MU	3	14	17
MU Health Care	3	2	5
UMKC	0	0	0
Missouri S&T	2	4	6
UMSL	0	4	4
<b>Total</b>	<b>8</b>	<b>24</b>	<b>32</b>



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# Ethics and Compliance



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# Facets of Compliance

- Compliance Program Foundation
- Support for High-risk Compliance Areas



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# FY24 High-risk Highlights

- **Export Controls and Sanctions**
  - Regulates the distribution of technology, services, info, etc. to protect national security interests and promote foreign policy objectives
- **CMMC Certification**
  - Cybersecurity Maturity Model Certification; aligned to DoD's information security requirements
- **Information Security**
- **Foreign Influence/Research Security**
- **Clery Act**
  - Campus safety; crime policies and statistics
- **Youth Protection Program**
  - Protecting minors on our campuses



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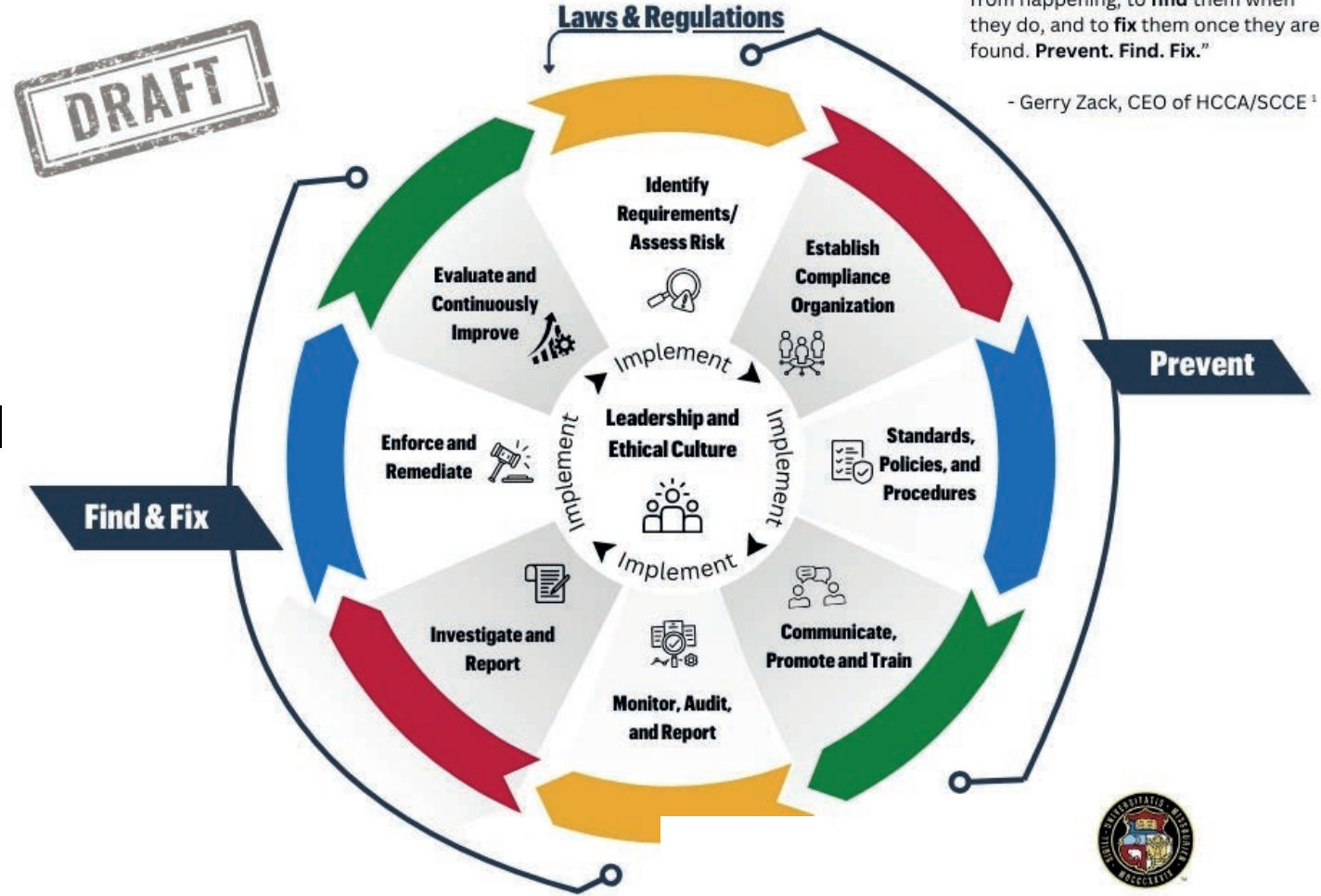
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# Nine Element Compliance Model

“Effective compliance programs are in place to **prevent** compliance issues from happening, to **find** them when they do, and to **fix** them once they are found. **Prevent. Find. Fix.**”

- Gerry Zack, CEO of HCCA/SCCE<sup>1</sup>



FOUNDATION:

Newly Updated Compliance Model  
- Currently in Pilot Testing



University of Missouri System

Based on guidance from the U.S. Sentencing Commission Guidelines, §\*B2.1, *Effective Compliance and Ethics Program*; U.S. Department of Justice, *Evaluation of Corporate Compliance Program*; COSO *Internal Control - Integrated Framework Principles*; and U.S. Department of Health and Human Services Office of the Inspector General, *General Compliance Guidance*.

<sup>1</sup> Quoted in “Embracing simplicity in compliance with prevent, find, and fix,” *CEP Magazine*, October 2024, emphasis added.

# FY24 Foundation Highlights

- Assisted with compliance program gap assessments
- Significant support for compliance training
  - Multiple areas
- Supported risk areas with incidents and root cause analysis
- Foreign Gift and Contract Reporting Policy



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# Privacy



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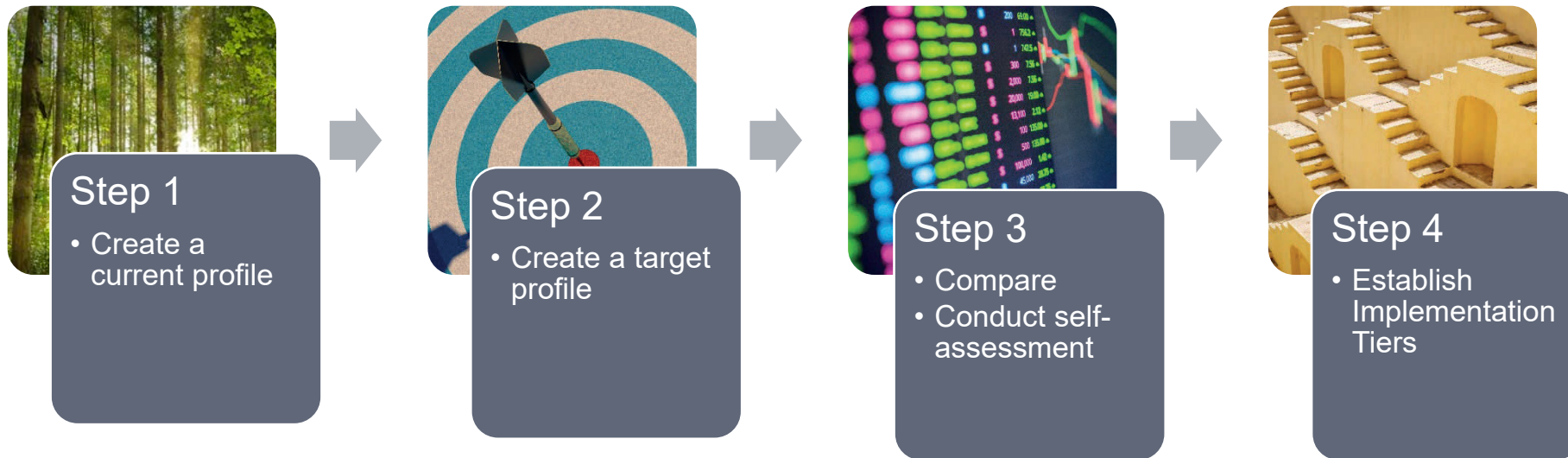
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# Privacy Year In Review

## ■ Privacy Program Framework Established



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# Privacy Year In Review

- Data Minimization & Inventory
  - Worked with Information Security, Enterprise Architecture, Compliance
  - In process – defining access, ownership, and inventory
  - Established trainings and communication plan to inform on good data privacy practices



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# Privacy Year In Review

- Privacy Tools
  - Breach Management Process
  - State Breach Notification Index



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# Privacy Year In Review

## Engagements Summary

Type	Engagements
New Ventures	2
Software	12
Process/Policy	5
Prevention/Remediation	5



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————— University of Missouri System —————

No. 1

Recommended Action – Fiscal Year 2025 Risk Assessment and Proposed Internal Audit and Compliance Plans, UM

It was recommended by Executive Vice President Rapp, endorsed by President Choi, recommended by the Audit, Compliance and Ethics Committee, moved by Curator \_\_\_\_\_, seconded by Curator \_\_\_\_\_, that the attached Fiscal Year 2024 Risk Assessment and Proposed Internal Audit and Compliance Plans be approved.

Roll call vote of Committee:            YES            NO

Curator Holloway  
Curator Krewson  
Curator Sinquefield  
Curator Williams

Roll call vote:                            YES            NO

Curator Blitz  
Curator Fry  
Curator Graves  
Curator Holloway  
Curator Krewson  
Curator Layman  
Curator Sinquefield  
Curator Wenneker  
Curator Williams

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

June 27, 2024

# **Ethics, Compliance, and Audit Services**

## **FY2025 Proposed Annual Plans**

June 2024

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## **INTERNAL AUDIT**

### **Introduction**

This report explains the proposed fiscal year 2024 Rolling Internal Audit Plan and how it was developed. The objective of the risk assessment process is to align internal audit and compliance resources to the areas of most importance with the ultimate goal of mitigating risk and protecting valuable university resources.

### **Risk Assessment & Criteria for Internal Audit Plan Development**

The most important leadership responsibilities are the continuous decisions needed about allocation of financial capital and human resources in a manner that achieves the mission, capitalizes on opportunity, and reasonably mitigates risk. The UM System entities continue adjusting to changing market dynamics and positioning to ensure their missions into the future while remaining committed to student success, research and creative works, engagement and outreach, inclusive excellence, and planning operations and stewardship. External risks impacting higher education identified in the most recent United Educators survey include:

1. Data Security
2. Enrollment
3. Recruitment & Hiring
4. Operational Pressures
5. Student Mental Health
6. Funding & Financial Stability
6. Facilities & Deferred Maintenance (Note: there was a tie for 6<sup>th</sup>)
8. Regulatory & Legal Compliance (non-Title IX)
9. Title IX
10. External Pressures – Economic, Political, Social, Cultural

### **Planning, Operations & Stewardship**

*Standard Financial Audits:* We will continue to focus on the completion of the standard financial audit for selected colleges/schools/divisions (CSD). Exercising prudent financial stewardship and holding colleges, schools, and divisions accountable for performance are important in achieving overall strategies for the UM System Universities. This audit tests the following areas against current policies and procedures:

1. Purchasing practices
2. Budget management
3. Grant management
4. Scholarships
5. Gifts
6. Inventory/asset management

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One to two auditors are dedicated full-time to completing these engagements. We are finishing our third CSD audit with three remaining. We continue to use data analytics to determine sampling strategy and perform red-flag analysis against purchases.

- College of Computing & Engineering – S&T
- Veterinary Medicine – MU
- School of Medicine - MU

*UM System Processes Audits:* Recognizing good core business processes support the entire organization and strategic mission, these audits will focus on the operational effectiveness of business processes and practices.

- Accounts Payable Shared Services: This audit will focus on a review of transactional processing and payment approvals.
- ePAF Processes – Onboarding/Offboarding: This audit will assess the effectiveness and completeness of ePAF processes for bringing new employees into the organization, and ensuring departing employees are fully separated from the organization.
- Loss Prevention/Continuous Monitoring: In this consulting engagement, Internal Audit will collaborate with key management partners, using data analytics to establish a continuous monitoring program for proactive identification and reduction of losses associated with high-risk transactions.
- New Leave Programs: This engagement is a post-implementation review that will assess the implementation, administration, and management of the qualifying leave programs (short-term disability; parental leave; caregiver leave) that became available in January 2024. We will determine if an audit or consulting engagement will be more beneficial to management when the project is initiated.

### Research and Creative Works

Growing research is a strategic priority for the UM System. Investments continue in recruiting and retaining researchers, increasing grant awards and expenditures, and solidifying the clinical trials program. With concern about national security, the government continues its regulatory emphasis on export controls and secured research space. A review of animal care and use practices was added this year because of the importance of animals in human and animal disease research at MU.

- Export Controls & Sanctions – UMSL: Completion of this audit will conclude these audits at all four universities.
- Institutional Review Board – MU: This audit will focus on the Institutional Review Board's role in clinical trials. Clinical trials are a focus area for growth in research.
- Animal Care & Use in Research – MU: Assessment of animal research care and use practices with federal laws, regulations, standards, policies, and guidelines.

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### Student Success

Ensuring all available scholarship money is awarded consistent with criteria is a factor in student success. The scholarship audit has been completed at UMSL and is underway at MU. We will complete this audit for all universities. Scholarship audits on this year's plan include UMKC and Missouri S&T.

### Data Security

The audit plan continues to focus on providing assurance around data security. We have also added an engagement to review incident management/response and sensitive data mapping.

- Information Security Assessment – UMSL, S&T
- IT Asset Management/Sensitive Data Mapping – MU: Consulting engagement to assess a third-party software solution to identify, log, and track sensitive data.
- Incident Response/Management – UM: This audit will assess the organization's plan and processes to respond to an unplanned event or service interruption.

### **Developing the MU Health Care Internal Audit Plan**

Many industry trends in healthcare are concerns that impact overall risk to revenue and profitability.

1. Increasing labor, drug, and supply costs.
2. Clinical care/procedures shifting from inpatient to outpatient/provider based.
3. Move from fee-for-service to bundled payments with emphasis on quality outcomes and population health.
4. Commercial payor changes/relationships
5. Regulatory changes/pressures

### Major Initiatives Underway for MU Health Care and the School of Medicine

Understanding the strategic direction of the organization and the major initiatives currently underway can direct internal audit activities to areas where assurance or consulting engagements are of value to leaders. The primary objective for MUHC is growth. Initiatives currently underway include:

- Continued growth in Neuro, Cardio, Women's, and Children's service lines
- Phase II integration of Capital Region Medical Center (CRMC)
- Complete Children's Tower transition/ repurpose Women's building

### Top Risk Areas

1. *Workforce Issues*  
Labor cost increases and changes in labor expectations; ability to attract, develop, retain top talent; succession challenges.
2. *Economic Conditions*

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- Inflation; interest rates; payor relations; drug/supply chain; contract labor.
3. *Compliance and Privacy*  
Heightened regulatory changes/scrutiny; third-party risks; privacy and growing identity protections expectations.
  4. *Technology and Cybersecurity*  
Cyber threats; Legacy IT infrastructure and operations impact on ability to meet performance expectations
  5. *Digital Innovation*  
Digital technology requiring new skills in short supply (e.g., artificial intelligence)

#### *Focus of Internal Audits*

The FY2025 Proposed Internal Audit Plan centers on compliance regulations related to revenue cycle, charge capture, and billing. The plan includes audits of the No Surprises Act and Price Transparency Rule. The No Surprises Act establishes federal prohibition against certain surprise medical bills. The Price Transparency Rule requires that hospitals establish, update, and make public a list of standard charges for all items and services online. A Provider Clinic Billing audit, which assesses controls associated with charge capture, billing, and collections; and a Pharmacy Drug Diversion audit, which assesses processes and procedures for preventing and identifying potential drug diversions, are in process. A post-implementation review of cloud-based timekeeping system processes and controls will be conducted to assess the accuracy of hours worked (timecard) to hours paid (payroll).

## FY2025 Proposed Rolling Internal Audit Plan Includes Audits Currently in Process

### In Process Audits

Entity	Audit/Project	Description/Type	Area(s)
MU	Export Controls & Sanctions	Assessment of export control processes and controls against regulatory requirements. – <b>Assurance</b>	Research Compliance
MU	Scholarship Awards	Assessment of scholarship awards to donor restrictions and/or established criteria. – <b>Assurance</b>	Academic Enterprise
MU CAFNR	Standard audit for selected schools/colleges/divisions	Focus on processes impacting financial performance. – <b>Assurance</b>	Finance
MUHC	Drug Diversion	Assessment of controlled substance diversion processes and procedures for preventing and identifying potential drug diversions. – <b>Assurance</b>	Operations
MUHC	Provider Based Clinic Billing	Evaluate the processes/controls in place for provider-based clinic billing to determine compliance with regulations. – <b>Assurance</b>	Compliance
UMKC	Information Security Assessments	Information security assessments, in collaboration with the information security officers, for critical systems, excluding Microsoft, Outlook, Peoplesoft, and Active Directory. – <b>Assurance</b>	Information Technology

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**FY2025 Proposed Rolling Internal Audit Plan by Entity**

<b>Entity</b>	<b>Proposed Audit/Project</b>	<b>Description/Type</b>	<b>Area(s)</b>
<b>UM System</b>			
UM	Data Analytics / Loss Prevention & Continuous Monitoring -	Collaborate with key management partners, using data analytics to establish a continuous monitoring program for proactive identification and reduction of losses associated with high-risk transactions. - <b>Consulting</b>	Finance
UM	ePAF Processes Onboarding/Offboarding	Assessment of onboarding/offboarding processes and policies. – <b>Assurance</b>	Operations
UM	Accounts Payable Shared Services	Assess policies and processes for reviewing transactional processing and approval for payment. – <b>Assurance</b>	Operations
UM	Incident Response/Management	Assess to organization’s plan and processes to respond to an unplanned event or service interruption. – <b>Assurance</b>	Operations/Information Technology
UM	New Leave Programs	Post-implementation review to assess the implementation, administration, and management of the qualifying leave programs (short-term disability; parental leave; caregiver leave). – <b>Assurance or Consulting TBD</b>	Operations
UM	Monitoring of Management Action Plan Implementation	Review the status of prior audit agreed to management action plans.	Ongoing Activities

Entity	Proposed Audit/Project	Description/Type	Area(s)
UM	Risk Assessment and Audit Plan Development	Continue to review key and emerging risks to adjust the current audit and compliance plan and to use as the basis for the FY2026 audit plan.	Ongoing Activities
<b>MU</b>			
MU School of Medicine	Standard financial audit for selected schools/colleges/divisions.	Focus on processes impacting financial performance. – <b>Assurance</b>	Finance
MU	Animal Care & Use in Research	Assessment of animal research care and use practices against federal laws, regulations, standards, policies, and guidelines. – <b>Assurance</b>	Research Compliance
Vet Med	Standard financial audit for selected schools/colleges/divisions.	Focus on processes impacting financial performance. – <b>Assurance</b>	Finance
MU	IT Asset Management/Sensitive Data Mapping	Engagement to assess a third-party software as a service solution to systematically identify, log, and track sensitive data – <b>Consulting</b>	Information Technology
<b>MUHC</b>			
MUHC	No Surprises Billing Act	Determine if controls are in place to address the requirements of the No Surprises Act are working as management intends. – <b>Assurance</b>	Compliance
MUHC	Price Transparency	Evaluate the processes/controls in place surrounding the Hospital Price Transparency Rule to determine compliance with CMS guidelines and best practices. – <b>Assurance</b>	Compliance

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Entity	Proposed Audit/Project	Description/Type	Area(s)
<b>MU/MUHC</b>			
MU/MUHC	Institutional Review Board	Assess processes/controls in place specifically for clinical trials. – <b>Assurance</b>	Research Compliance
MU/MUHC	Timecard/Payroll Audit	Post implementation evaluation of cloud-based timekeeping system assessing the accuracy of hours worked (timecard) to hours paid (payroll) and the processes/controls in place between the systems. – <b>Assurance</b>	Operations
<b>UMSL</b>			
UMSL	Export Controls & Sanctions	Assessment of export control processes and controls against regulatory requirements. – <b>Assurance</b>	Research Compliance
UMSL	Information Security Assessments	Information security assessments, in collaboration with the information security officers, for critical systems, excluding Microsoft, Outlook, Peoplesoft, and Active Directory. – <b>Assurance</b>	Information Technology
<b>UMKC</b>			
UMKC	Scholarship Awards	Assessment of scholarship awards to donor restrictions and/or established criteria. – <b>Assurance</b>	Academic Enterprise
<b>S&amp;T</b>			
College of Engineering & Computing	Standard financial audit for selected schools/colleges/divisions.	Focus on processes impacting financial performance. – <b>Assurance</b>	Finance

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Entity	Proposed Audit/Project	Description/Type	Area(s)
S&T	Scholarship Awards	Assessment of scholarship awards to donor restrictions and/or established criteria. – <b>Assurance</b>	Academic Enterprise
S&T	Information Security Assessments	Information security assessments, in collaboration with the information security officers, for critical systems, excluding Microsoft, Outlook, Peoplesoft, and Active Directory. – <b>Assurance</b>	Information Technology

### Possible Audits/Projects by Area

As risks emerge, or internal audit resources allow, these engagements will move up in priority for completion as part of the FY2025 Internal Audit Plan. These areas will also be evaluated as part of the FY2026 risk assessment process.

Area	Proposed Audit/Project	Description/Type
Human Resources	Hiring process consistency	Assess HR practices against policy. – <b>Assurance</b>
Human Resources	Front-end Payroll Process	Review of the front-end payroll processes that feed into payroll processing. – <b>Assurance</b>
Human Resources	Disciplinary practices	Review to assess consistency in disciplinary practices. – <b>Assurance</b>
Finance/Operations	MU Research Reactor	Following completion of the second or third year of the contract with Novartis, assess performance to terms, conditions, and expectations of the contract. – <b>Assurance</b>
Finance	Inventory/Asset Management	Assess the acquisition of assets through life and disposition. This will include the Surplus process. – <b>Assurance or Consulting Engagement</b>
Operations	School of Medicine HR & Finance Restructure	Post implementation audit to assess effectiveness of processes and procedures to promote consistency and follow through with best practices and relevant metrics. – <b>Assurance</b>
Operations	Disposable Supplies/Nursing Units	Evaluate delivery of disposable supplies to the nursing units, including the Blue Bin Supply Chain Technology. – <b>Assurance</b>
Operations/Revenue	Urgent Care Billing	Review for appropriate site of service and charge capture, compliance with urgent care billing designation. – <b>Assurance</b>
Operations/Revenue	Late Charges	Assess the effectiveness of processes and controls for managing and resolving late charges in the inpatient environment. – <b>Assurance</b>



Area	Proposed Audit/Project	Description/Type
Operations	MUHC/CRMC Integration	Evaluate the CRMC integration plan and assess performance, identify improvements. – <b>Assurance</b>
Research	Invoicing and Collections	Assessment of the research grants and contracts invoicing and collections process. – <b>Assurance</b>
Information Technology	IT Procurement Process and Inventory	Assess the process from securing IT equipment, tracking through inventory and disposal. – <b>Assurance</b>
Information Technology	Logging & Monitoring	Assessment of logging and monitoring practices of selected critical systems. – <b>Assurance</b>
Academic Enterprise	Academic Integrity in a Remote Learning Environment	Assessment of the evolving academic integrity risks and the program controls to prevent/detect integrity issues in a remote learning environment. – <b>Assurance</b>

**ETHICS AND COMPLIANCE**

**Introduction**

The annual Compliance Plan is a key component of the UM System’s approach to managing compliance. The typical identification of compliance projects happens through various ways:

1. Risk assessments
2. Trends or risks identified for Higher Education
3. Increased regulatory activity in one or more areas
4. Trends and themes from internal/external investigations and audits

**FY2025 Proposed Compliance Plan**

<b>Compliance Area</b>	<b>FY2025 Planned Activities</b>
UM System Compliance Program Foundations	<ul style="list-style-type: none"> <li>- Develop and Implement a Compliance Program CRR including charters and governance</li> <li>- Finalize Compliance Program nine-element model</li> <li>- Create education and training materials</li> <li>- Publish and publicize a basic toolkit for compliance leaders systemwide</li> </ul>
Code of Conduct	<ul style="list-style-type: none"> <li>- Complete the reporting concerns awareness campaign</li> <li>- Launch awareness campaign, subject TBD</li> <li>- Develop Code of Conduct micro trainings in place of annual training</li> </ul>
Research Security	<ul style="list-style-type: none"> <li>- Assist with the implementation of foreign income reporting procedures for CHIPS and Sciences Act</li> <li>- Assist with the development and implementation of a sanctions risk assessment</li> <li>- Assist with the development and launch of visiting scholars registry</li> </ul>
Export Controls	<ul style="list-style-type: none"> <li>- Assist Research Security and Compliance with the development of new training and education materials</li> </ul>
Covered Component	<ul style="list-style-type: none"> <li>- Facilitate the finalization of the covered component designation</li> </ul>
Clery Act	<ul style="list-style-type: none"> <li>- Conduct Clery compliance GAP analysis for each Campus Clery program</li> <li>- Assist with the development of Clery policy and assist in the implementation of associated procedures for each campus</li> </ul>
Youth Protection Program	<ul style="list-style-type: none"> <li>- Monitor red flags program for designated adults</li> <li>- Socialize and deploy a youth participant registry to increase compliance with Youth Protection Policy</li> </ul>
Unpaid Appointments	<ul style="list-style-type: none"> <li>- Assist with the implementation of unpaid appointments policy and procedures</li> </ul>

Compliance Risk Assessment	- Assist with the development and implementation of new compliance risk assessment process and associated materials
Foreign Income Reporting, Section 117	- Assist with the implementation of foreign income reporting procedures for Section 117 reporting

*Note:* As part of the office’s ongoing responsibilities, in addition to the compliance plan focus areas, the compliance office staff responds to errors detected over the course of the year and assists in the response to newly promulgated regulations as needed.

## **PRIVACY**

### **FY2025 Proposed UM System Privacy Plan**

#### **Establishing the Privacy Program – Year Two**

Year Two will be a continuance of analyzing gaps in actual policy/process and comparing those to best practices. More information on current state will be gathered in additional areas not part of the Year One focus. A data mapping venture with a third-party will further help with the identification of any gaps or access concerns.

A privacy program charter will be created and adopted. This will drive the work of the program in Year Two and beyond. The charter will define roles and responsibilities and become a testimony to our organizational commitment to be privacy-centric in our approach in University business and strategic planning.

#### **Comprehensive Privacy Policy**

A comprehensive privacy policy will be written and displayed on the four university websites that clearly defines our privacy obligations to our stakeholders, expresses our desire for their trust with their data sharing, and our compliance with applicable privacy laws and regulations.

#### **Consent Management**

We will pilot test the implementation of a consent management tool that will inform our constituents of the information we collect, the purpose for such collection, the sale or sharing of, and how we will protect that information. These tools are rapidly becoming a privacy best practice. The first phase will consist of becoming transparent about what we collect on our websites, forms, and through data sharing by adding statements and resources where they can educate themselves prior to supplying information. The second phase will provide options in the types of information they share, the ability to change their preferences on sharing, and ability to be forgotten.

#### **Preventive Privacy Work – Privacy Reviews**

Ad hoc consultation on various engagements was a large part of the services provided by Privacy in Year One. It was very beneficial in ensuring new contracts, software policies, and new focuses, like AI governance, were considered from a privacy perspective. This will be an area of growth for Privacy in FY2025 as the program expands and becomes more established.

#### **Artificial Intelligence and Machine Learning**

Work on AI and ML will continue as the University develops and communicates its stance on acceptable use. This work will become more granular as specific AI and ML purposes are explored. Privacy will continue to be a part of this to ensure impacts are appropriate and expected with regards to sensitive data.

#### **Institutional Review Board Privacy Practices**

While IRB practices are typically very regimented, data subject privacy practices are becoming increasingly more regulated. Privacy will work with IRB to ensure survey tools like RedCap and other processes continue to be up-to-date with privacy best practices.

June 27, 2024

# University of Missouri System Board of Curators

June 27, 2024  
Audit, Compliance and Ethics Committee

FY2025 Risk Assessment and  
Proposed Plans  
UM



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# Internal Audit

Risk Assessment



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# External Pressures Higher Education

- Data Security
- Enrollment
- Recruiting/Hiring
- Operational Pressures
- Student Mental Health
- Funding
- Facilities/Deferred Maintenance
- Regulatory/Legal Compliance
- Title IX
- External Pressures



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# MUHC Challenges

- Strategic Initiatives –
  - CRMC Integration – Phase II
  - Complete Children’s Tower transition / Repurpose Women’s building
- Talent acquisition/retention, workforce challenges
- Billing/coding/revenue cycle
- Cybersecurity and Privacy
- Regulatory changes/compliance
- Digital innovation



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# Internal Audit

Proposed Audit Plan



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## Highlights of the Proposed Internal Audit Plan

- Finance audits in colleges/schools/divisions
- Completion of Scholarship and Export Controls & Sanctions audits
- Information security assessments at UMSL and Missouri S&T
- IT sensitive data mapping and incident response/management
- Institutional review board and animal use/care in research
- System processes audits
- Loss prevention/continuous monitoring



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## Highlights of the Proposed Internal Audit Plan - MUHC

- Price Transparency
- No Surprises Billing Act
- Timecard/payroll audit
- System audits



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## Key Takeaways

The Internal Audit plan continues its focus in the areas of financial stewardship, information security, research compliance, and healthcare. System process audits and a loss prevention project have been added as new areas of focus.



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# Ethics and Compliance

Proposed Annual Plan



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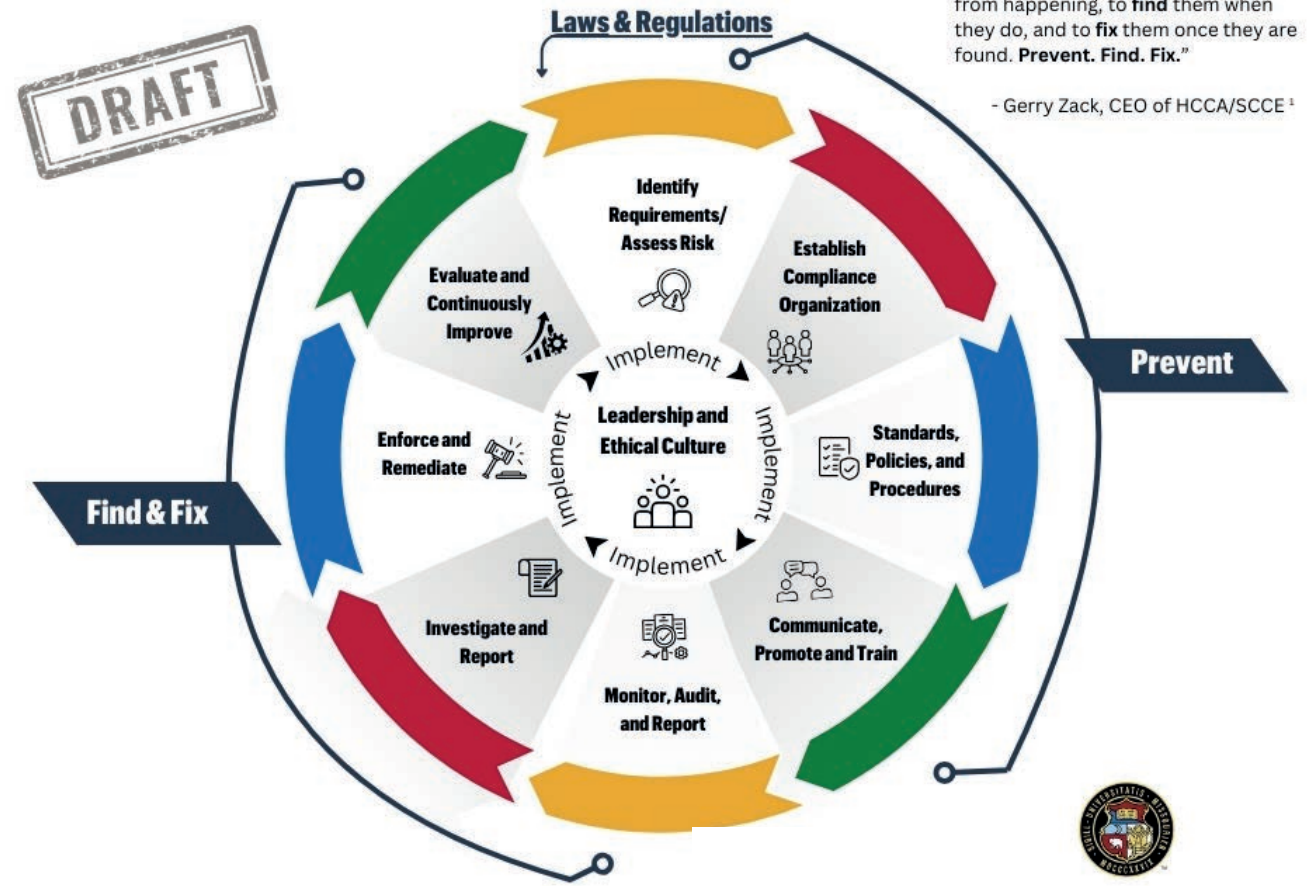
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FOUNDATION:  
Continue Pilot Testing Updated  
Compliance Model

### Nine Element Compliance Model



University of Missouri System

Based on guidance from the U.S. Sentencing Commission Guidelines, §\*B2.1, *Effective Compliance and Ethics Program*; U.S. Department of Justice, *Evaluation of Corporate Compliance Program*; COSO *Internal Control - Integrated Framework Principles*; and U.S. Department of Health and Human Services Office of the Inspector General, *General Compliance Guidance*.  
<sup>1</sup> Quoted in "Embracing simplicity in compliance with prevent, find, and fix," *CEP Magazine*, October 2024, emphasis added.

# FY25 Compliance Plan Highlights

- Compliance Program CRR
  - Charters and governance
- Assist with CHIPS and Sciences Act
- Youth Protection Program Enhancements
- Continue assistance with:
  - Export Controls and Research Security
  - Clery compliance program
  - Unpaid appointments
- Finalize work on Section 117
  - HEA – Gifts from foreign sources



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# Privacy

Proposed Annual Plan



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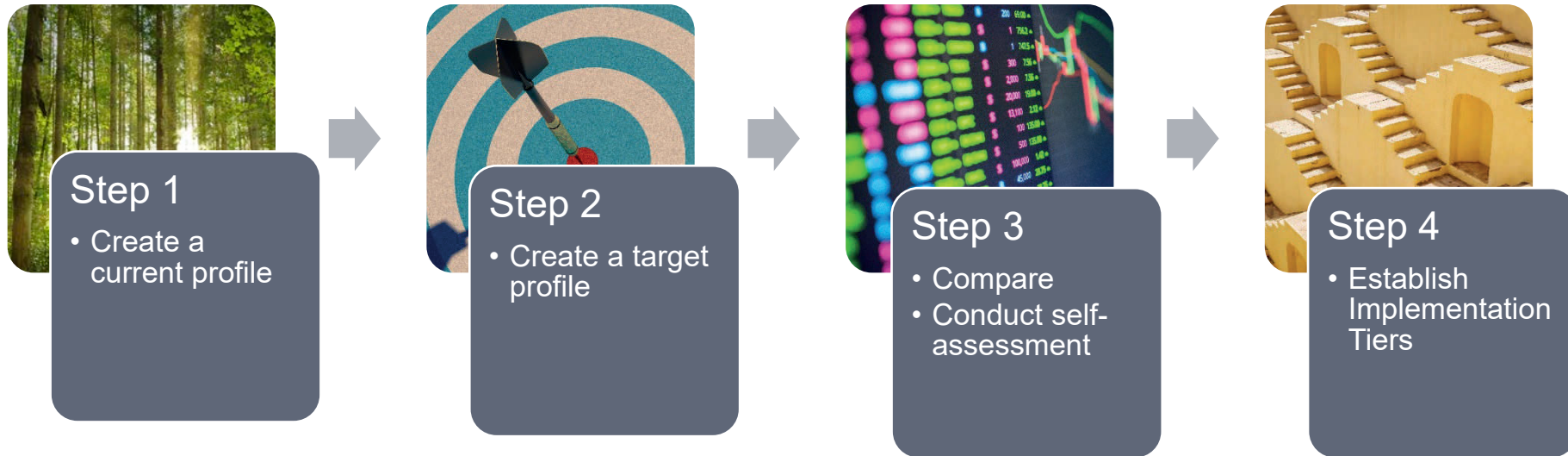
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# Privacy FY25 Plan

- Continue establishing the program using the current framework



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# Privacy FY25 Plan

- Continue establishing the privacy program (cont.)
  - Establish implementation tiers for privacy practice reform
  - Continue mapping data and creating inventories
  - Develop an institutional privacy charter



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# Privacy FY25 Plan

- Publish a comprehensive privacy policy
- Pilot test consent management
- Conduct privacy reviews
  - Contracts
  - New ventures
  - Policy/Processes



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————— University of Missouri System —————

# HEALTH AFFAIRS COMMITTEE

Michael A. Williams, Chair  
Robert W. Fry  
Keith A. Holloway  
Jeff L. Layman  
Ronald G. Ashworth (non-curator)  
Philip Burger (non-curator)  
Daniel P. Devers (non-curator)

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

## **I. Scope**

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

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

## **II. Executive Liaison**

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

## **III. Responsibilities**

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

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

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

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

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

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

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

# UM Board of Curators

June 27, 2024

**Richard J. Barohn, MD**

Executive Vice Chancellor for Health Affairs

Hugh E. and Sarah D. Stephenson Dean of the MU School of Medicine



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# Agenda

- **MU School of Medicine Update**
- **NextGen Precision Health Update**
- **MU Health Care Update**
- **MU Health Care Financial Update**



# **MU SCHOOL OF MEDICINE UPDATE**

# Springfield Clinical Campus Update



- Launched in 2016 as partnership with MU, CoxHealth and Mercy
- Led by David Haustein, MD, MBA
- 28 third-year and 28 fourth-year medical students
- 394 volunteer faculty
- The only medical school in Missouri with a physical presence in the state's third largest city



## Inaugural edition of Missouri Health

- Published April 10, 2024
- Platform for medical students, scientists and other health professionals in their formative training years to publish groundbreaking research





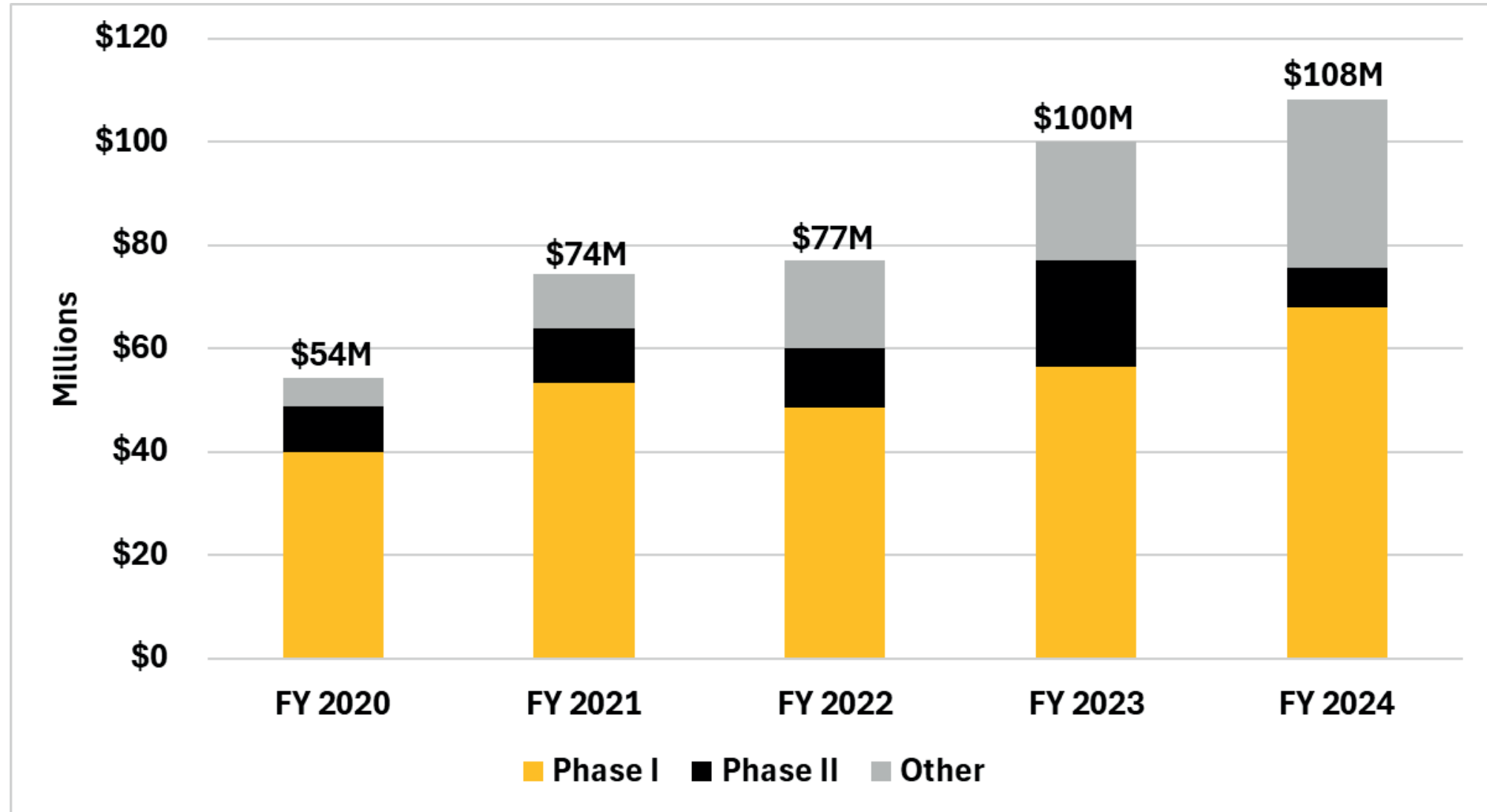
## Combating treatment-resistant cancers

- MU School of Medicine partnering with Texas A&M and MD Anderson
- MU awarded \$19.9 million ARPA-H grant to develop low-cost, scalable, anti-cancer therapeutics

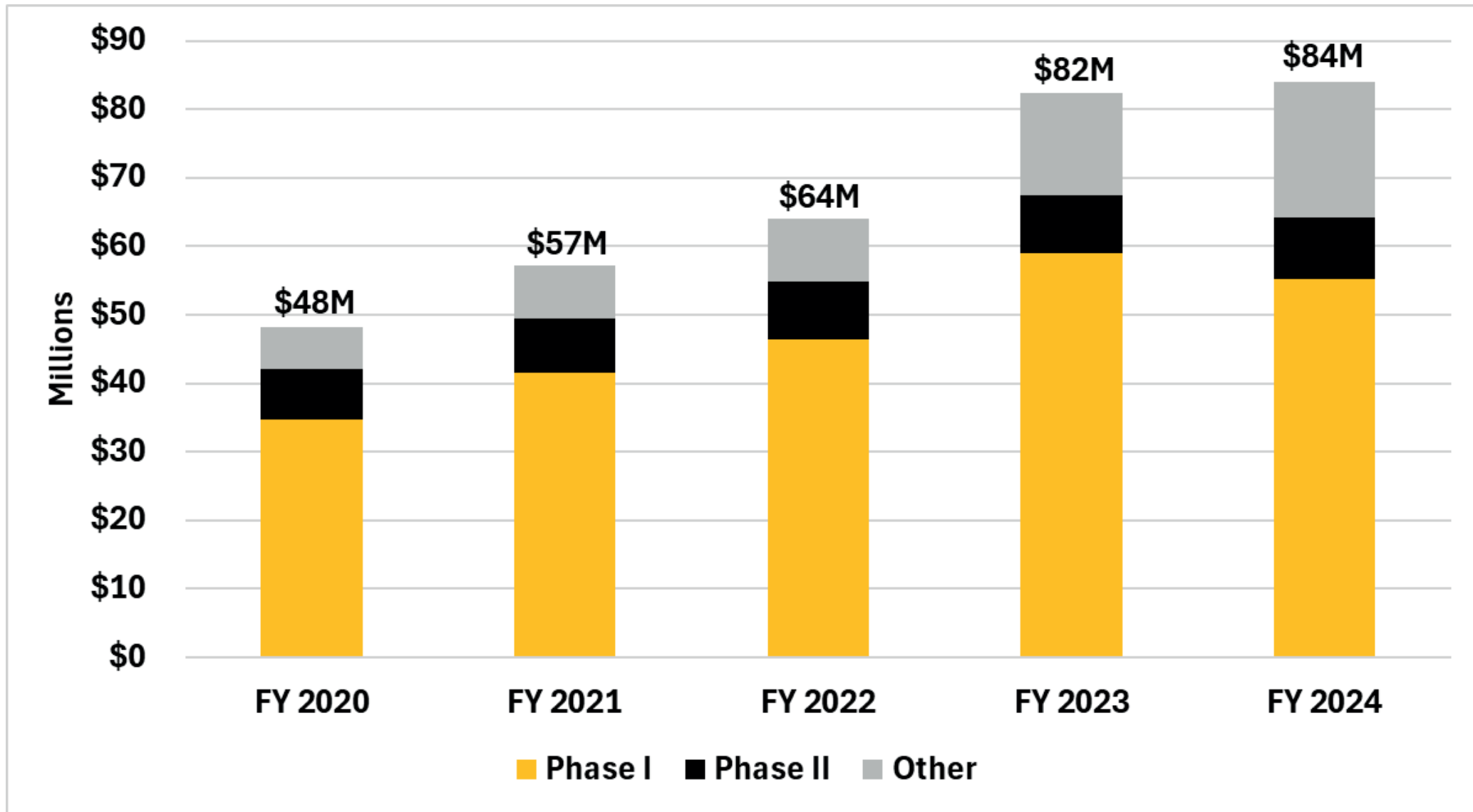


**PAUL DE FIGUEIREDO, PHD**

# FYTD24 (May) – SOM Research Awards



# FYTD24 (May) – SOM Research Expenditures





## Show-Me ECHO (Extension for Community Healthcare Outcomes)

- More than 11,000 educated
- Under leadership of Rachel Mutrux, senior program director
- Participants have attended from every Missouri county
- In the last calendar year:
  - Nearly 3,500 learners from more than 1,500 organizations
  - 99% of cases discussed were from participants serving in health professions shortage areas





## SENIOR ASSOCIATE DEAN FOR MEDICAL EDUCATION

### KEVIN KANE, MD, MSPH

- Has served as interim senior associate dean for medical education since October 2023
- Serves as associate dean for curriculum and evaluation and professor of clinical family and community medicine





# **NEXTGEN PRECISION HEALTH UPDATE**

# Fourth-Floor Expansion



# **MU HEALTH CARE UPDATE**

# Children's Hospital and Birthing Center





## Pediatric neurosurgery recruit

- Board-certified pediatric neurosurgeon recruit from University of North Carolina at Chapel Hill
- Specializes in minimally invasive surgery and spine, brain conditions in fetal and pediatric patients



**CAROLYN QUINSEY, MD**

*Associate Professor, Neurological Surgery*

# Thompson Center Groundbreaking



**TIMELINE:**  
**Groundbreaking**  
**April 25, 2024**  
**Spring 2026 opening**

**NEW LOCATION:**  
**South Providence**  
**Medical Park**

**EXPAND CAPACITY:**  
**First-in-state**  
**Intensive Day**  
**Treatment Program**



## CHIEF OPERATING OFFICER



**TONYA JOHNSON, DNP, RN**

- Serves as senior vice president and chief operating officer at Southcoast Health in Fall River, Massachusetts
- Joining MU Health Care on July 1

## CHIEF FINANCIAL OFFICER



**GREG DAMRON, CPA, MAC**

- Served as vice president and chief financial officer for the academic division of Banner Health in Scottsdale, Arizona
- Joining MU Health Care on July 1

# **MU Health Care Financial Update**



# FYTD24 (April) Financials - Consolidated



In Millions	FY24 Actual Jul-Apr	FY24 Budget Jul-Apr	Var		FY23 Jul-Apr	FY23 Full Year	FY24 Full Year Projected
Gross Revenue	\$5,082.7	\$4,788.7	\$294.0		\$4,443.4	\$5,436.5	\$6,124.1
<i>Collection Rate</i>	<i>25.3%</i>	<i>26.7%</i>			<i>26.7%</i>	<i>26.7%</i>	<i>25.1%</i>
<b>NET REVENUE</b>	<b>\$1,471.3</b>	<b>\$1,425.3</b>	<b>\$46.1</b>		<b>\$1,353.0</b>	<b>\$1,650.7</b>	<b>\$1,759.8</b>
Salaries & Benefits	\$650.7	\$626.7	(\$24.0)		\$595.1	\$711.6	\$783.2
Supplies (less Hospital Drugs)	\$291.3	\$257.3	(\$34.1)		\$252.4	\$311.4	\$352.7
Hospital Drugs	\$117.5	\$104.1	(\$13.4)		\$102.3	\$126.3	\$132.5
Other Expenses	\$390.2	\$385.3	(\$4.9)		\$380.2	\$464.0	\$470.3
<b>TOTAL EXPENSE</b>	<b>\$1,449.8</b>	<b>\$1,373.4</b>	<b>(\$76.4)</b>		<b>\$1,329.9</b>	<b>\$1,613.3</b>	<b>\$1,738.7</b>
Operating Gain/(Loss)	\$21.6	\$51.9	(\$30.3)		\$23.2	\$37.4	\$21.1
<b>Financial Metrics:</b>							
<i>Operating Margin</i>	<i>0.2%</i>	<i>2.5%</i>			<i>0.8%</i>	<i>1.3%</i>	<i>-0.2%</i>
<i>EBIDA Margin</i>	<i>6.9%</i>	<i>8.9%</i>			<i>6.9%</i>	<i>8.1%</i>	<i>6.8%</i>
<i>Days Cash on Hand</i>	<i>115</i>	<i>133</i>			<i>140</i>	<i>141</i>	<i>116</i>
<i>Cash to Total Debt</i>	<i>88.9%</i>	<i>115.8%</i>			<i>130.3%</i>	<i>104.9%</i>	<i>89.9%</i>
<i>Debt Service Ratio</i>	<i>3.3</i>	<i>4.1</i>			<i>2.9</i>	<i>3.8</i>	<i>3.3</i>

# Future of Higher Education

Challenges and Opportunities for the University of  
Missouri System

June 27, 2024



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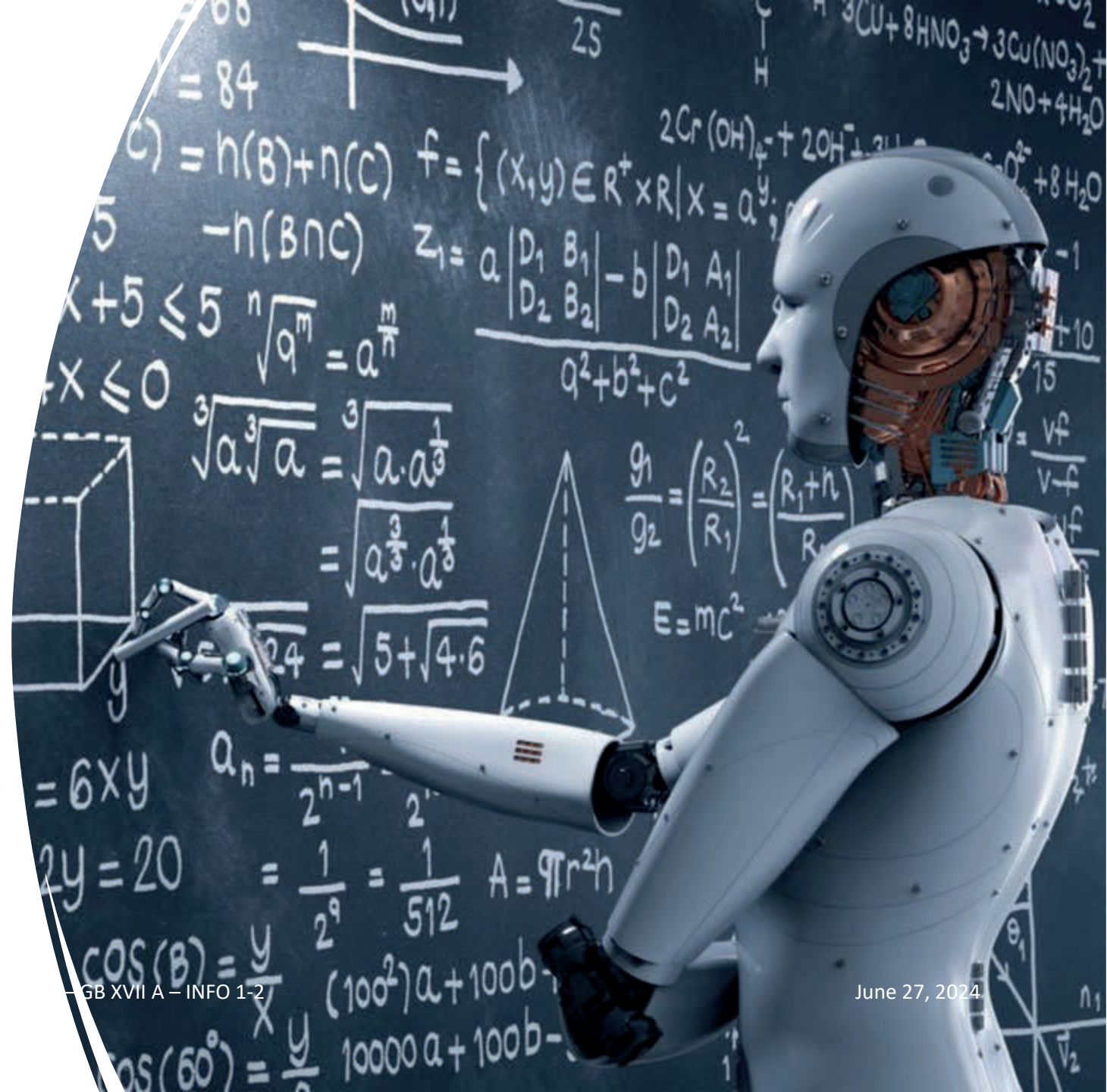
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June 27, 2024

# Today's Discussion

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- Public Perception and Trends – *Mun Choi*
- Changing Enrollment Landscape – *Reggie Hill*
- Innovation with Artificial Intelligence – *Mo Dehghani*
- Student Success and Artificial Intelligence – *Mauli Agrawal*
- Q&A



# Higher Ed in the News



*Colleges Were Already Bracing for an 'Enrollment Cliff.' Now There Might Be a Second One.*

Americans' Confidence In Higher Education Sinks To A New Low

**Forbes**

**IHE** Inside Higher Ed

Inching toward the \$100,000 sticker price



Men now represent only 42% of students at 4-year schools

**The Economist**

How artificial intelligence can revolutionise science

**B** Brookings

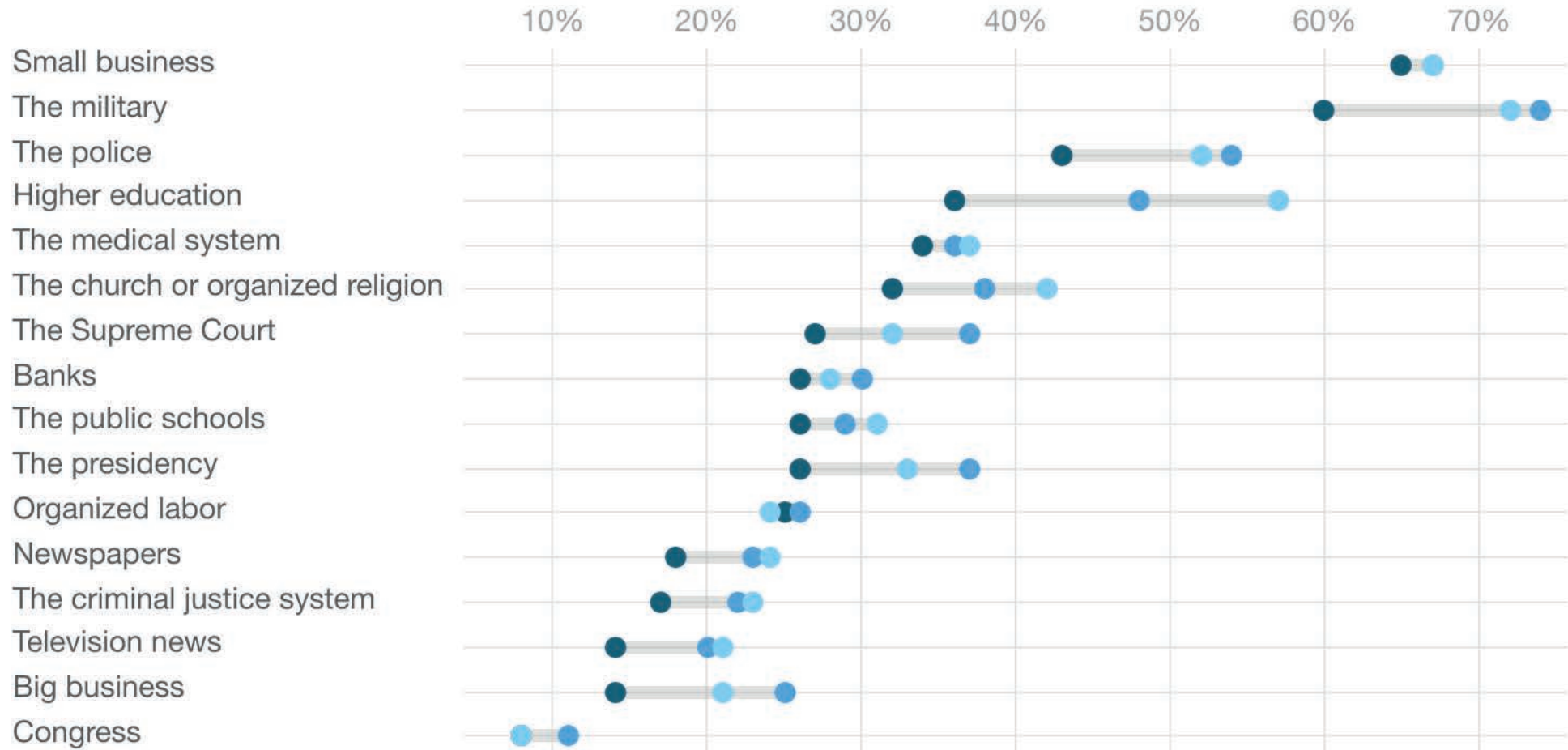
Should schools ban or integrate generative AI in the classroom? | Brookings

# Gallup - Confidence in Institutions, 2015 - 2023

**Gallup:** Now I am going to read you a list of institutions in American society. Please tell me how much confidence you, yourself, have in each one -- a great deal, quite a lot, some or very little?

**Displaying % of Americans selecting 'A great deal' or 'Quite a lot'**

● 2023 ● 2018 ● 2015

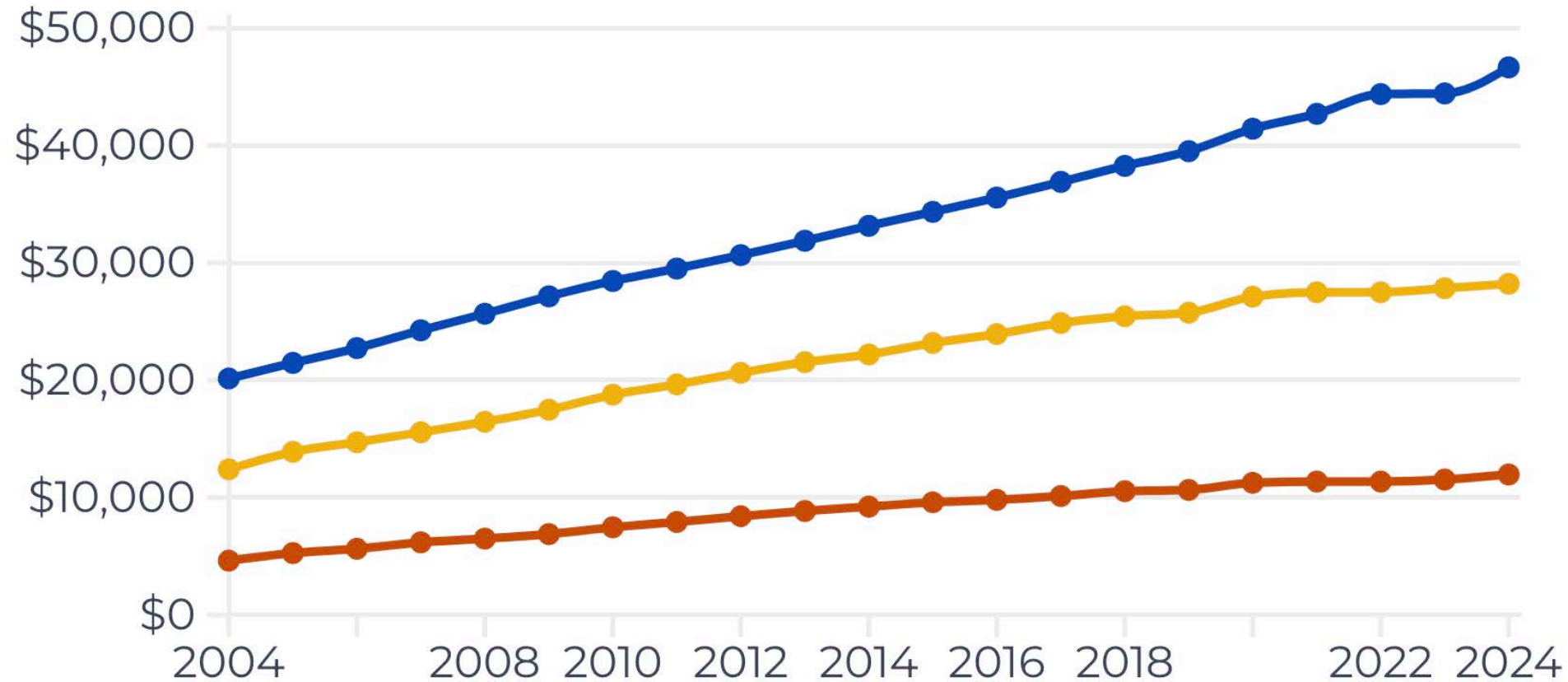


# % Of Adults with Confidence in Higher Ed

	2015	2018	2023	2015-2023 change
	%	%	%	pct. pts.
<b>Party identification</b>				
Republicans	56	39	19	-37
Independents	48	44	32	-16
Democrats	68	62	59	-9
<b>Education</b>				
No college degree	54	45	29	-25
College degree only	57	50	47	-10
Postgraduate degree	67	60	50	-17
<b>Gender</b>				
Men	52	45	33	-19
Women	61	51	39	-22
<b>Age</b>				
18 to 34	60	51	42	-18
35 to 54	55	49	39	-16
55 and older	55	46	31	-24

# 20-Year Average Tuition Growth Among National Universities, 2004-2024

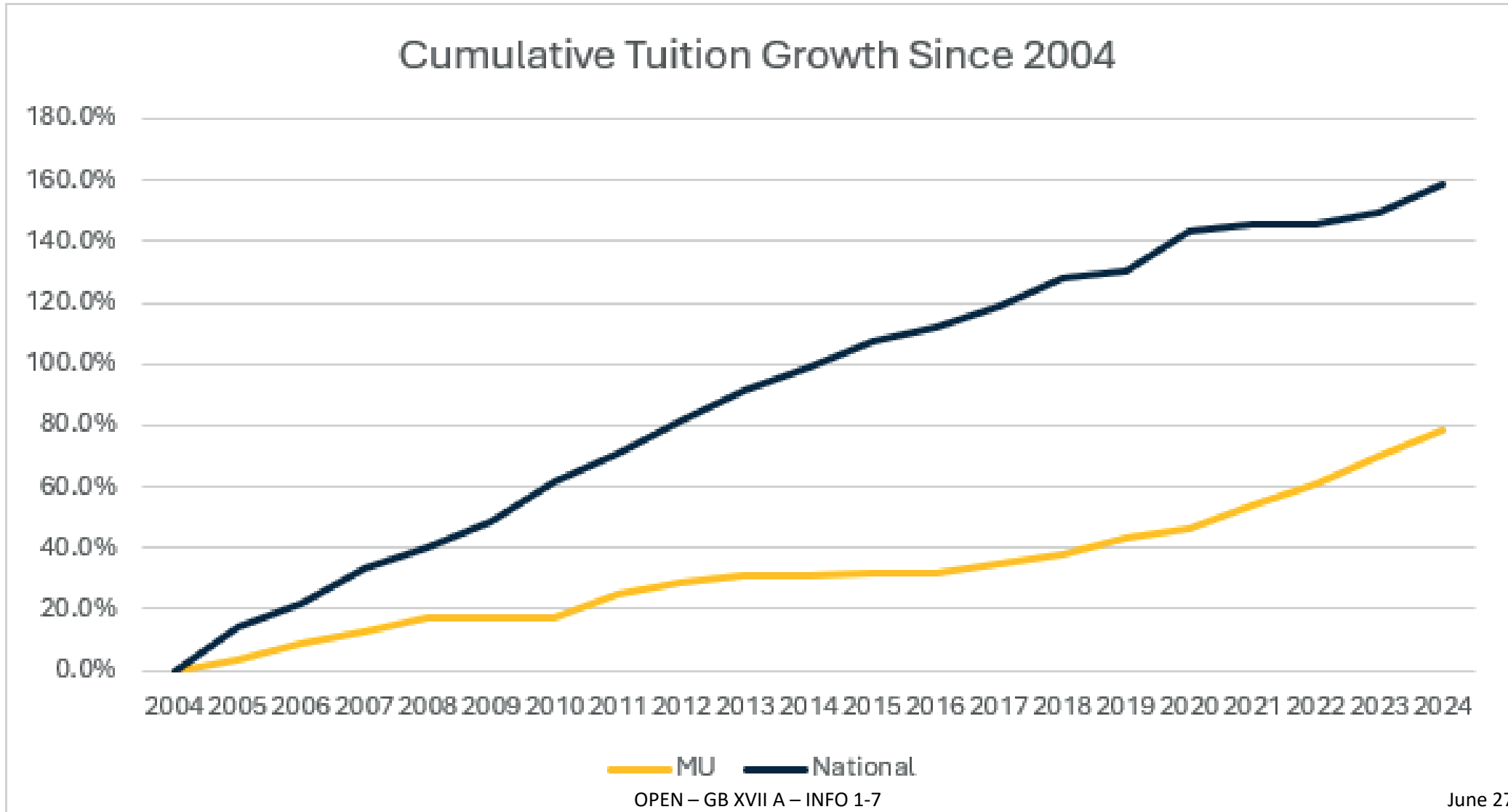
■ Private ■ Out-of-state ■ In-state



Source: [U.S. News & World Report](#)

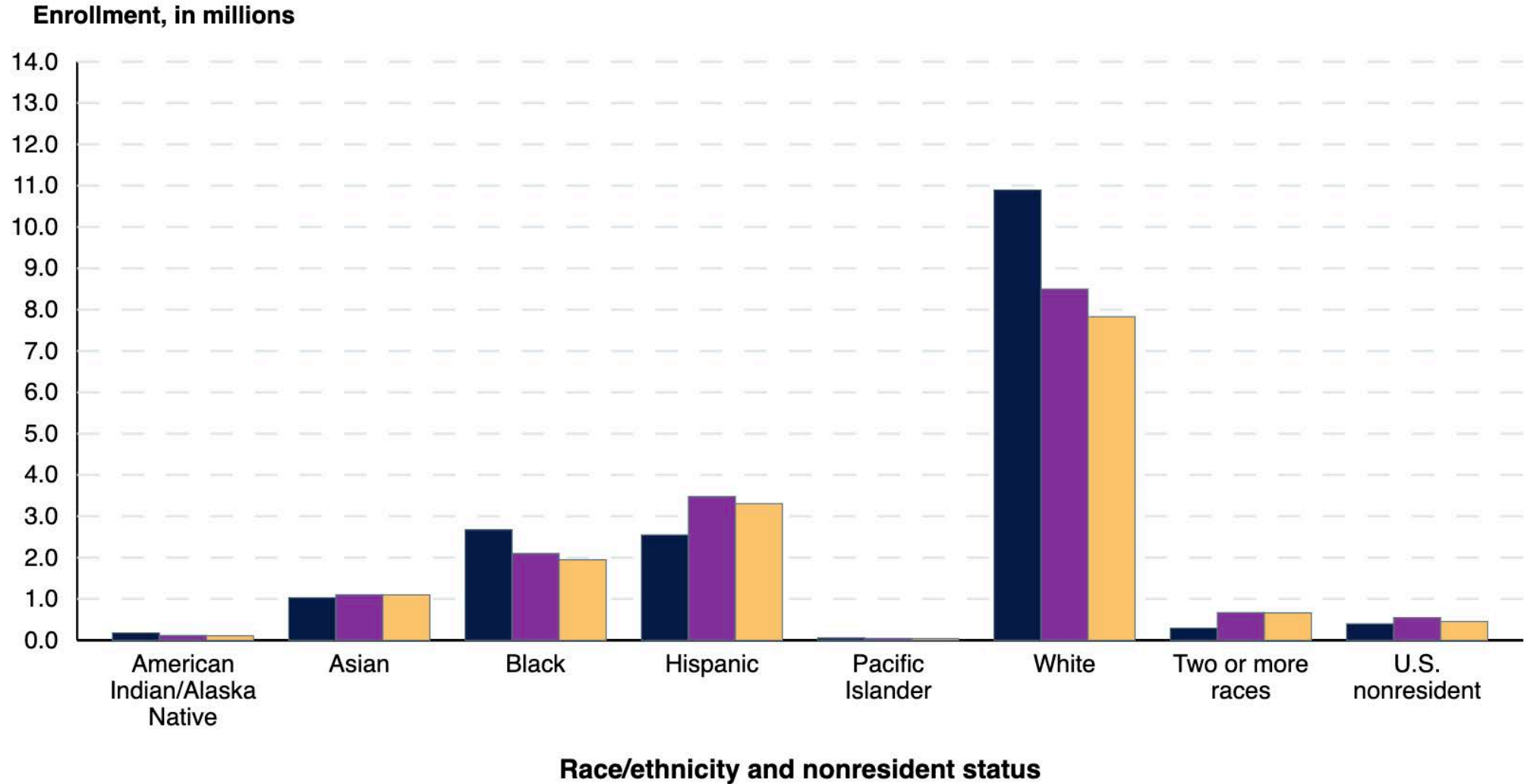


# UM Tuition Increases Compared to National Trends





# Undergraduate Enrollment by Demographics – National Data



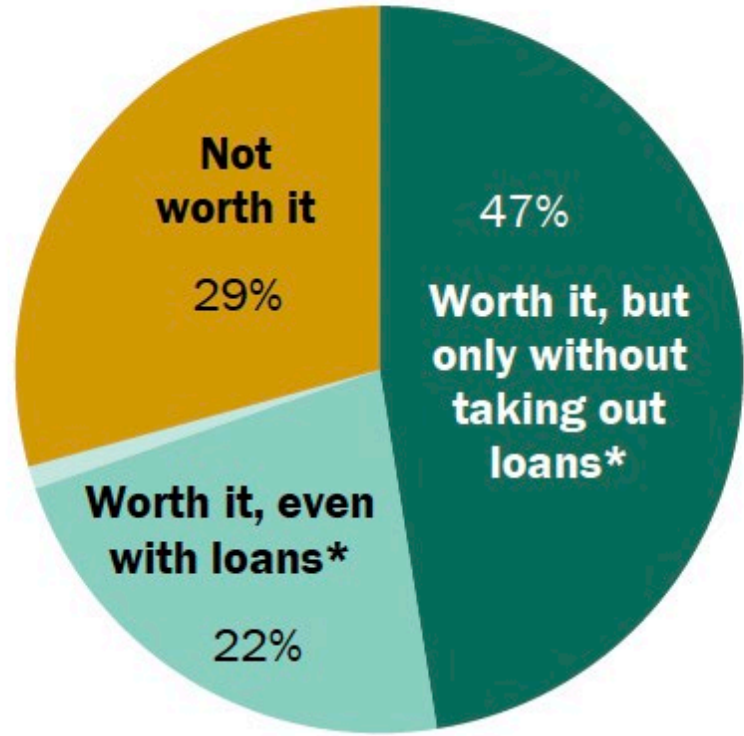
2010 2019 2021

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U.S. Department of Education

June 27, 2024

# Value of Higher Education



\* Refer to topline for full question wording.  
 Note: Share of respondents who didn't offer an answer is shown but not labeled.

Source: Survey of U.S. adults conducted Nov. 27-Dec. 3, 2023  
 "Is College Worth It?"

## 4 in 10 Americans say a college degree is not too or not at all important in order to get a well-paying job

% saying it's \_\_\_ important for someone to have a four-year college degree in order to get a well-paying job in today's economy

	Extremely/ Very	Somewhat	Not too/ Not at all
All adults	25	35	40
Rep/ Lean Rep	17	33	50
Dem/ Lean Dem	33	38	30

Note: Share of respondents who didn't offer an answer is not shown.

Source: Survey of U.S. adults conducted Nov. 27-Dec. 3, 2023  
 "Is College Worth It?"

# Value of Higher Education

## Half of Republicans say a college degree is not too or not at all important in order to get a well-paying job

*% saying it's \_\_\_ important for someone to have a four-year college degree in order to get a well-paying job in today's economy*

	Extremely/ Very	Somewhat	Not too/ Not at all
All adults	25	35	40
Rep/Lean Rep	17	33	50
Dem/Lean Dem	33	38	30
HS or less	22	30	47
Some college	21	34	45
Bachelor's+	30	40	30

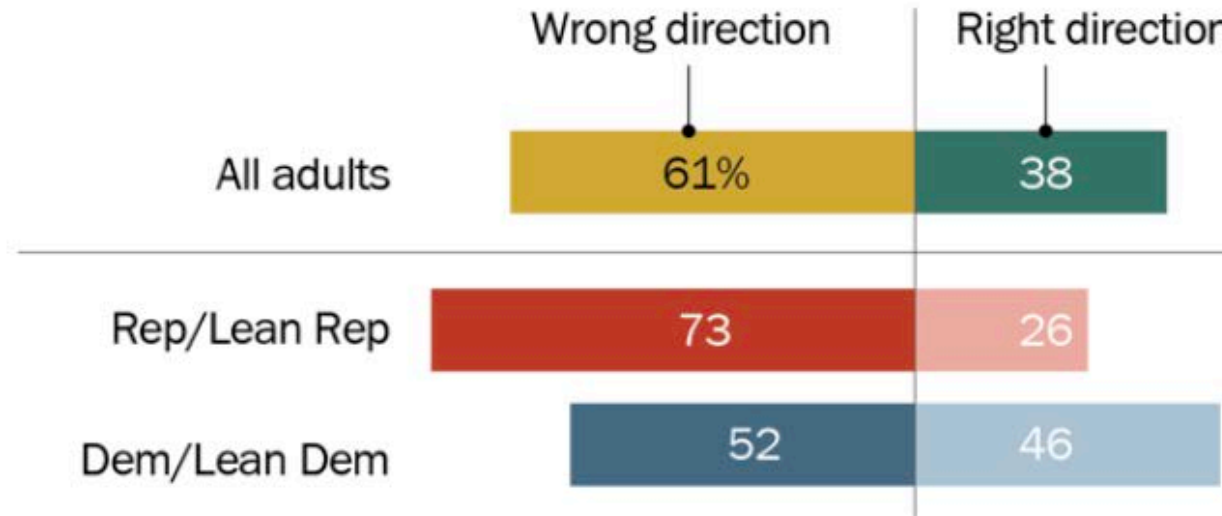
Note: Share of respondents who didn't offer an answer is not shown. "Some college" includes those with an associate degree and those who attended college but did not obtain a degree.

Source: Survey of U.S. adults conducted Nov. 27-Dec. 3, 2023  
"Is College Worth It?"

# Confidence in Higher Ed

## Most Americans have doubts about the direction of higher education in the U.S.

*% saying the higher education system in the U.S. today is generally going in the ...*

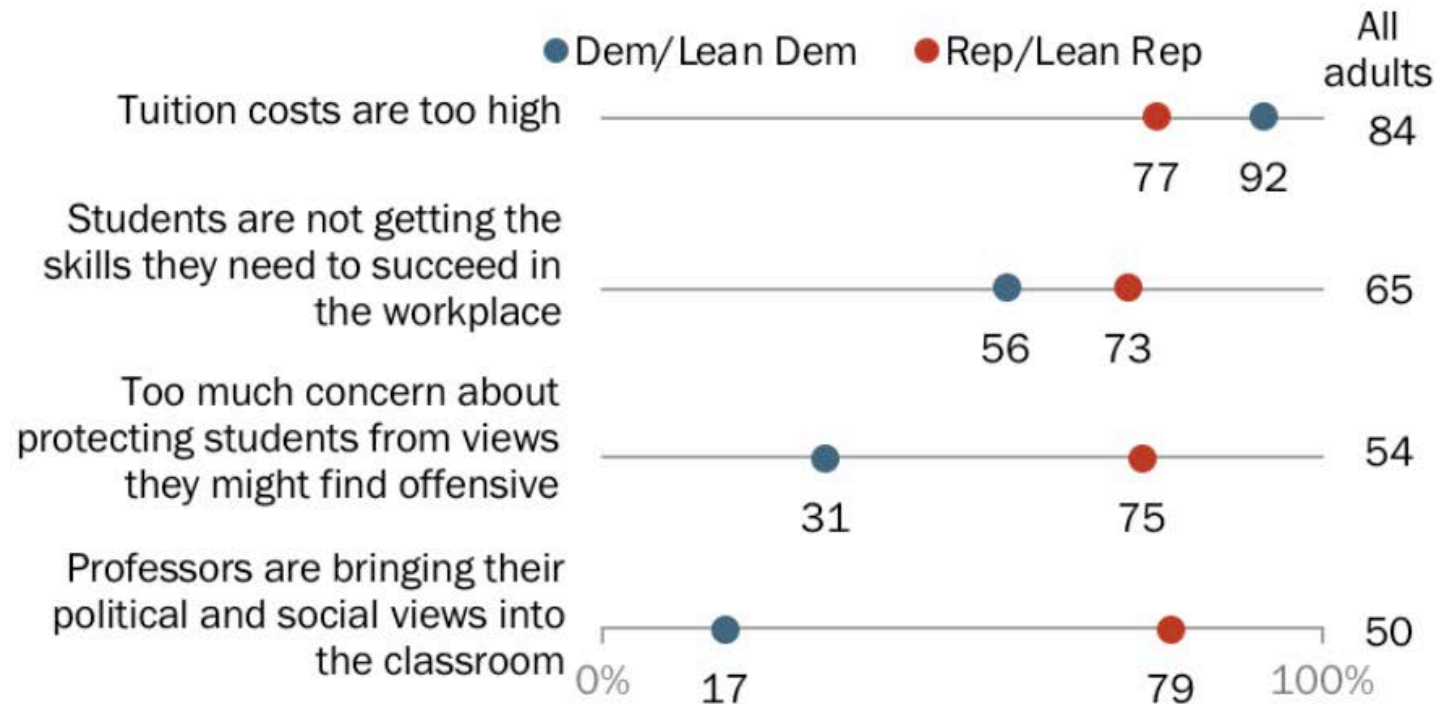


Note: Share of respondents who didn't offer an answer not shown.  
Source: Pew Research Center survey of U.S. adults conducted online June 19-July 2, 2018.

# Confidence in Higher Ed

## Large partisan gaps in reasons why higher education is headed in the wrong direction

*Among those who say higher education is going in the wrong direction, % saying each is a major reason for this*

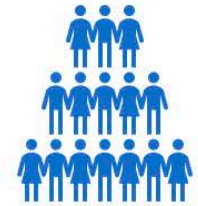


Source: Pew Research Center survey of U.S. adults conducted online June 19-July 2, 2018.

# Methodology

## Missouri Public Opinion Study

Total sample of 999 MO Adults  
Interviewed October 17-24, 2022

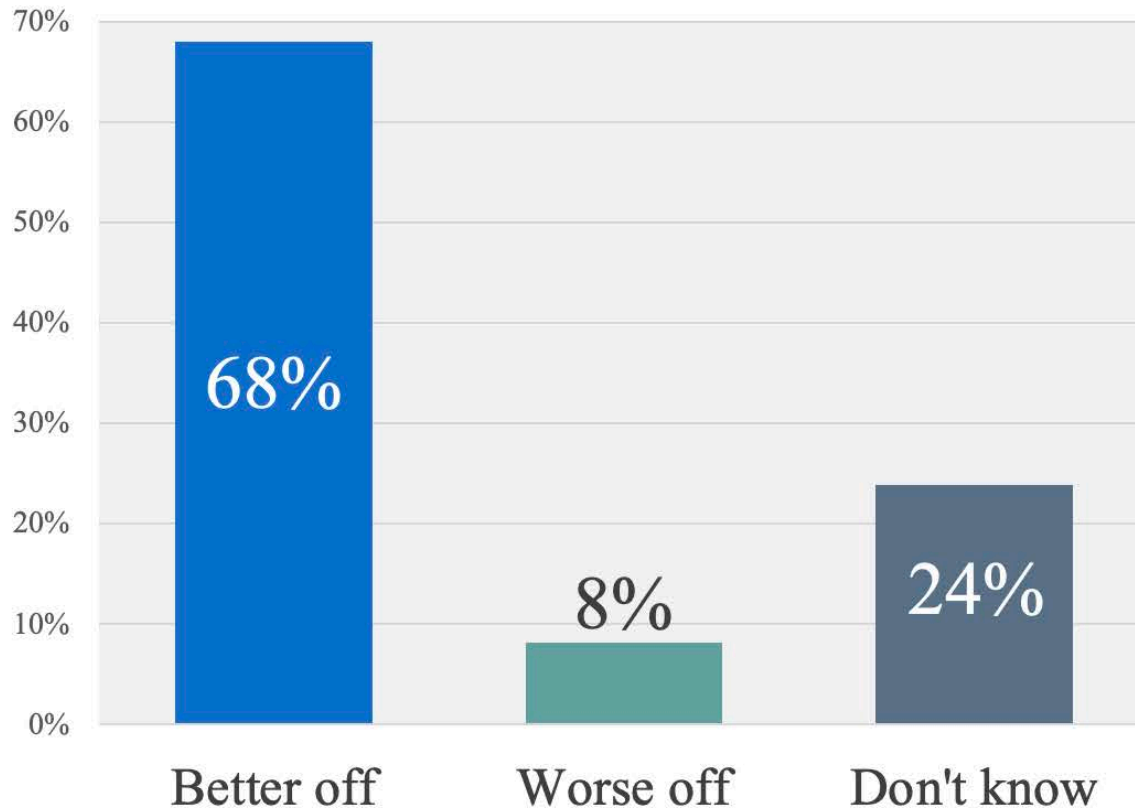


**999 respondents Sampled  
from Dynata Panel**  
Interviews conducted online

**Methodology:** The sample was weighted to recent Census Bureau data using a raking procedure to match the demographic makeup of the adult population of Missouri by region, gender, age, race/ethnicity, education, and race and education in combination.

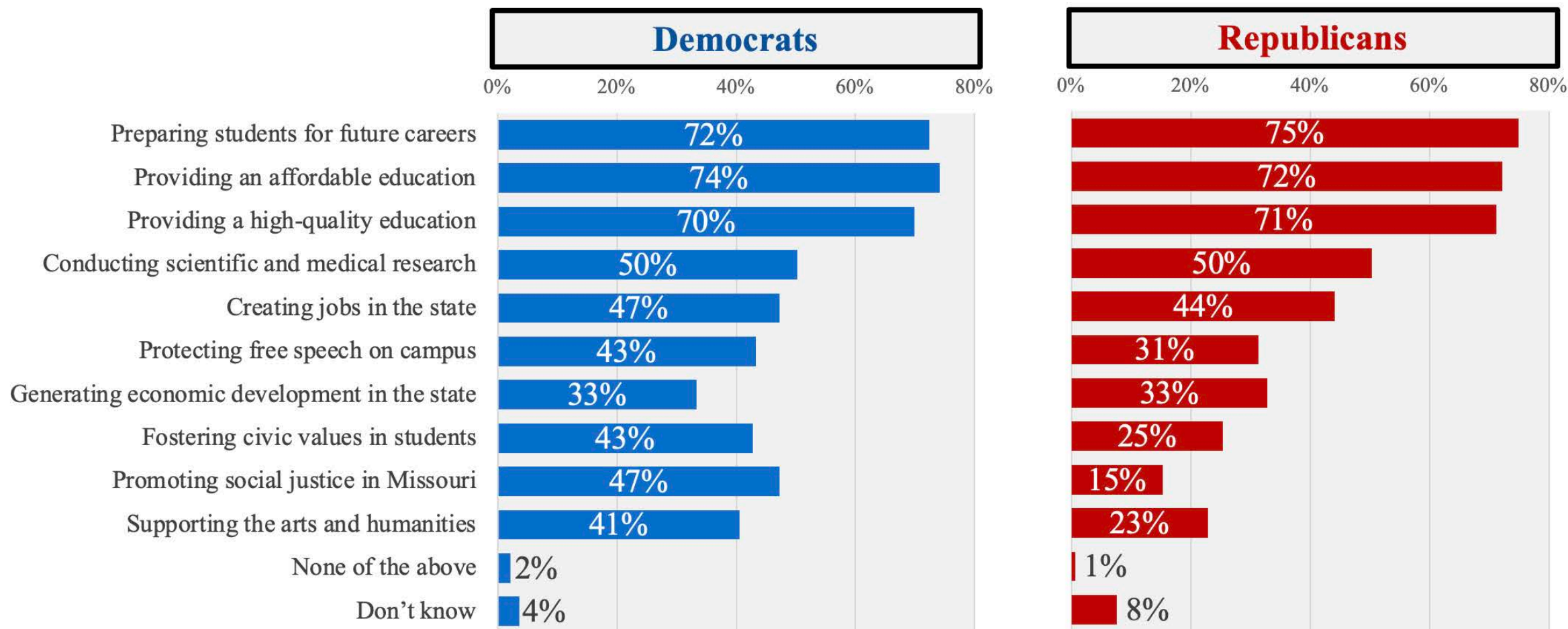
# University of Missouri – Better off / Worse off

**Q40.** All in all, do you think Missouri is better off or worse off from the presence of the University of Missouri?



	Better Off	Worse Off
<b>All MO Adults</b>	68%	8%
<b>Gender Men</b>	70%	10%
<b>Gender Women</b>	66%	7%
<b>R/E White, non-coll.</b>	64%	7%
<b>R/E White, college</b>	83%	6%
<b>R/E Black/AA</b>	55%	12%
<b>R/E Hispanic/Latino</b>	60%	26%
<b>Edu Non-college</b>	63%	9%
<b>Edu All college +</b>	81%	7%
<b>PID Republicans</b>	70%	8%
<b>PID Democrats</b>	78%	7%
<b>PID Independents</b>	60%	9%

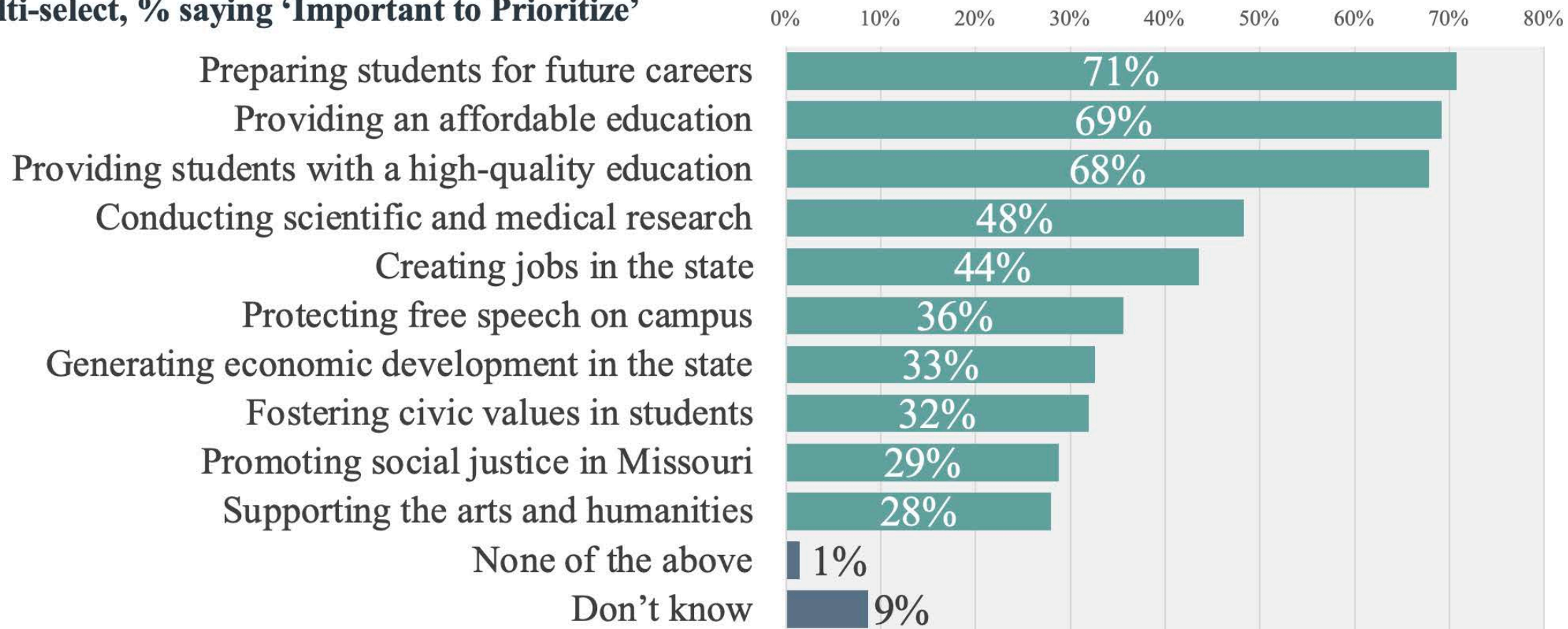
# Missourians Want Universities to Prioritize the Following





# Missourians Want Universities to Prioritize the Following

Multi-select, % saying 'Important to Prioritize'



# A Changing Enrollment Landscape in Higher Education

Understanding Trends, Challenges, and Opportunities

Reggie Hill, Vice Chancellor for Enrollment

Kristin Sobolik, Chancellor



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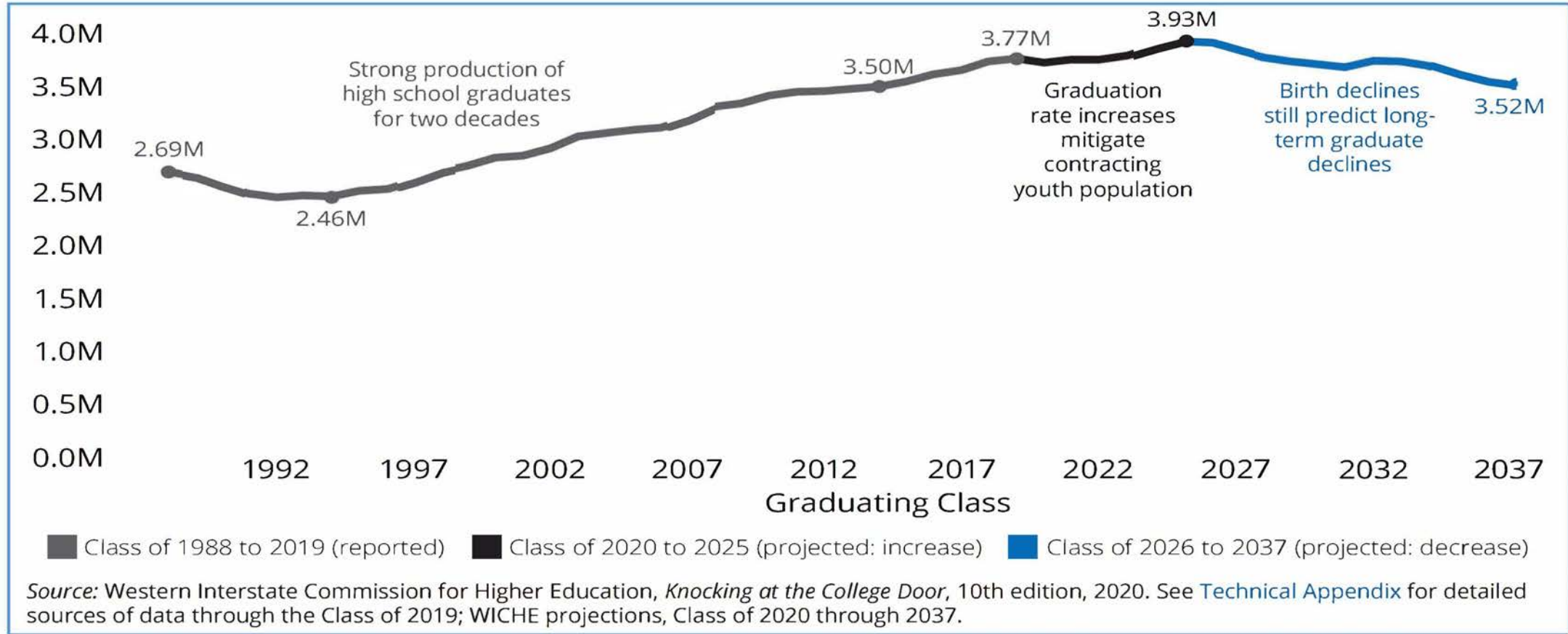
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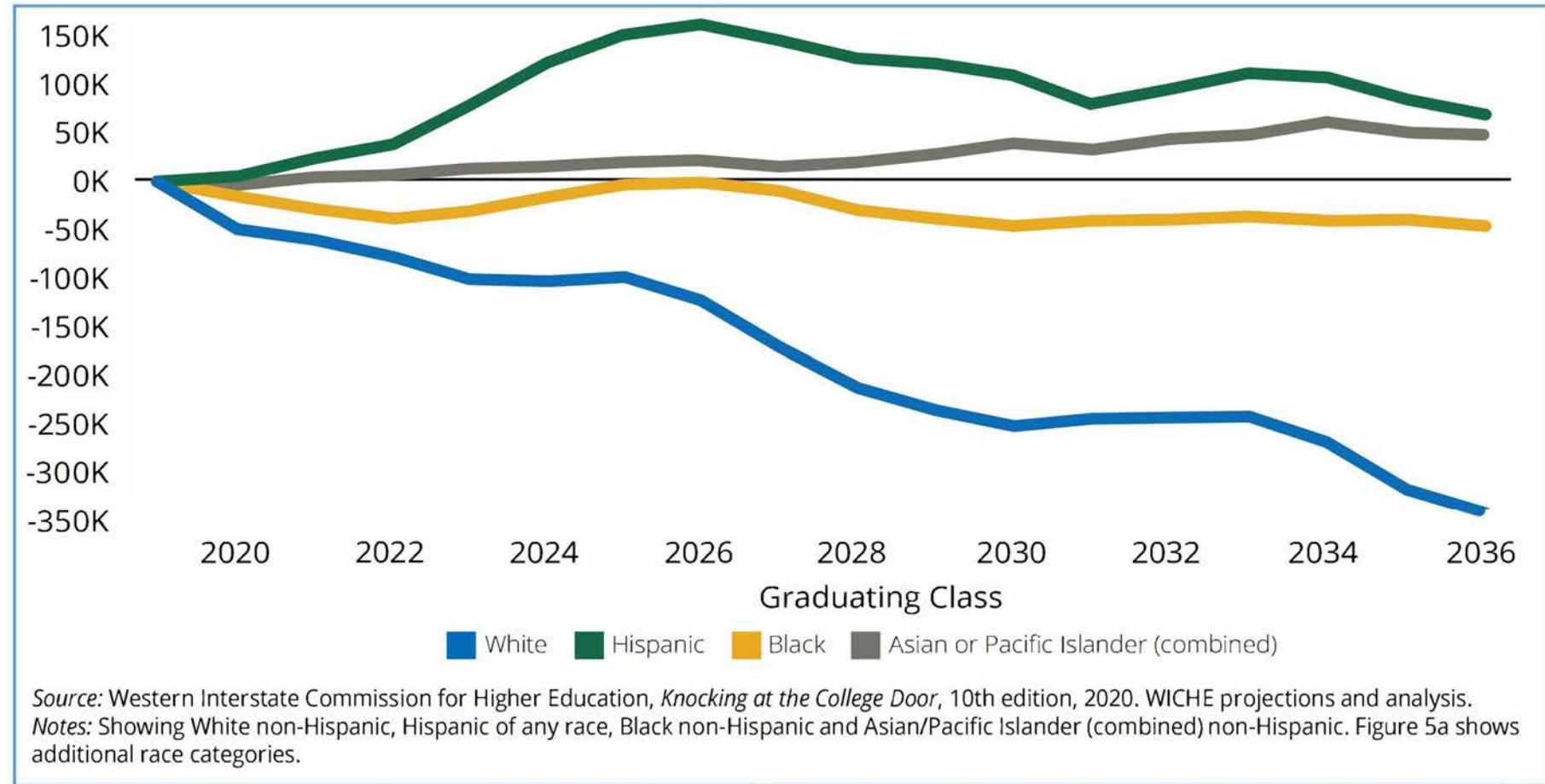
# Projected Growth in High School Graduates

Slowing Growth in Number of U.S. High School Graduates, then Decline (U.S. Total High School Graduates)



# Projected Number of Public High School Graduates

Projected Change in Number Among U.S. Public High School Graduates Compared to 2019, by Race/Ethnicity

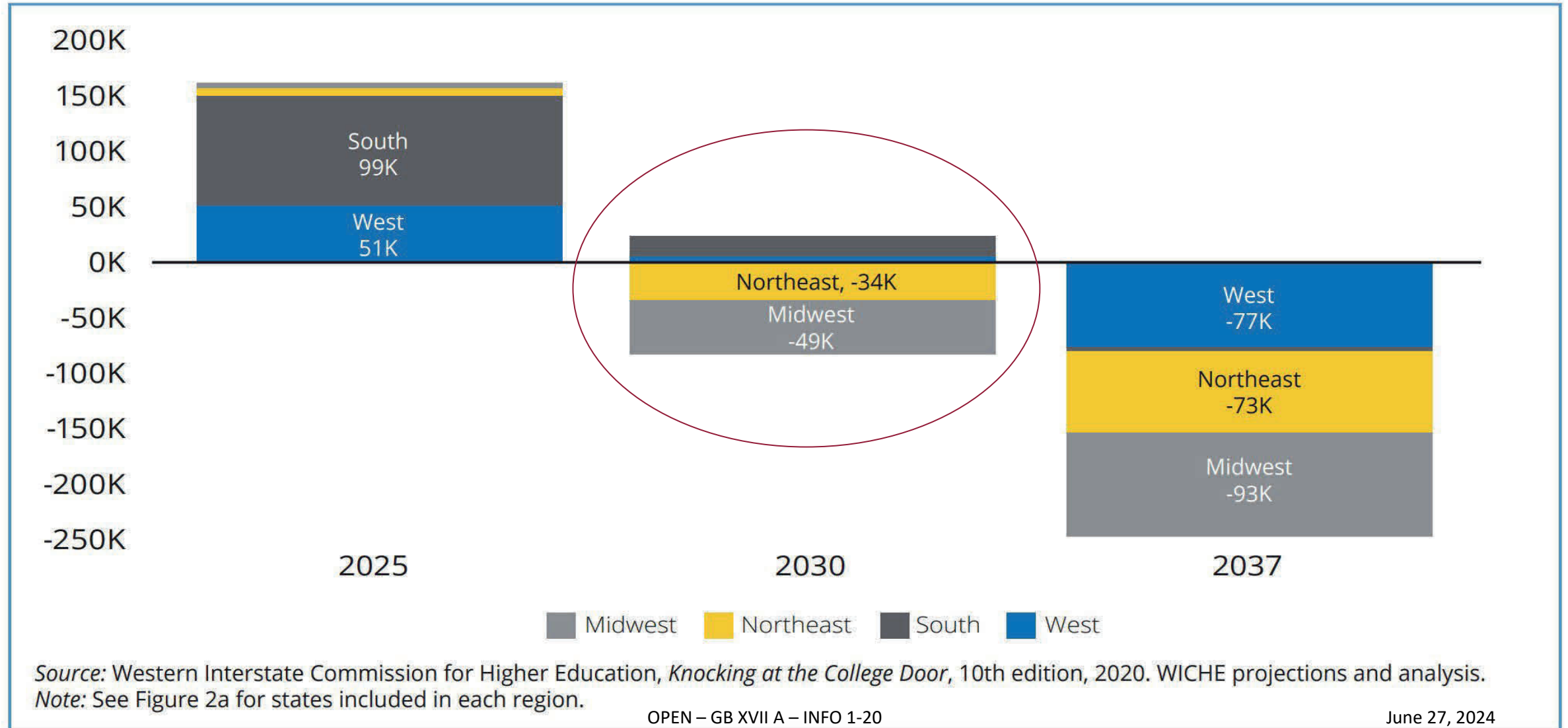


- The decline in historically traditional prospective college students is expected to persist, with no projected offset from increases in other categories.
- To address declining traditional student enrollment in Missouri, we must recruit from a broader geographical range. By doubling outreach efforts, we can attract a more students beyond Missouri's borders.



# Regional Enrollment Growth and Decline

Regional Contribution to National Increase or Decrease: Class of 2025, 2030, and 2037 Compared to 2019, Grand Total of Public & Private Schools



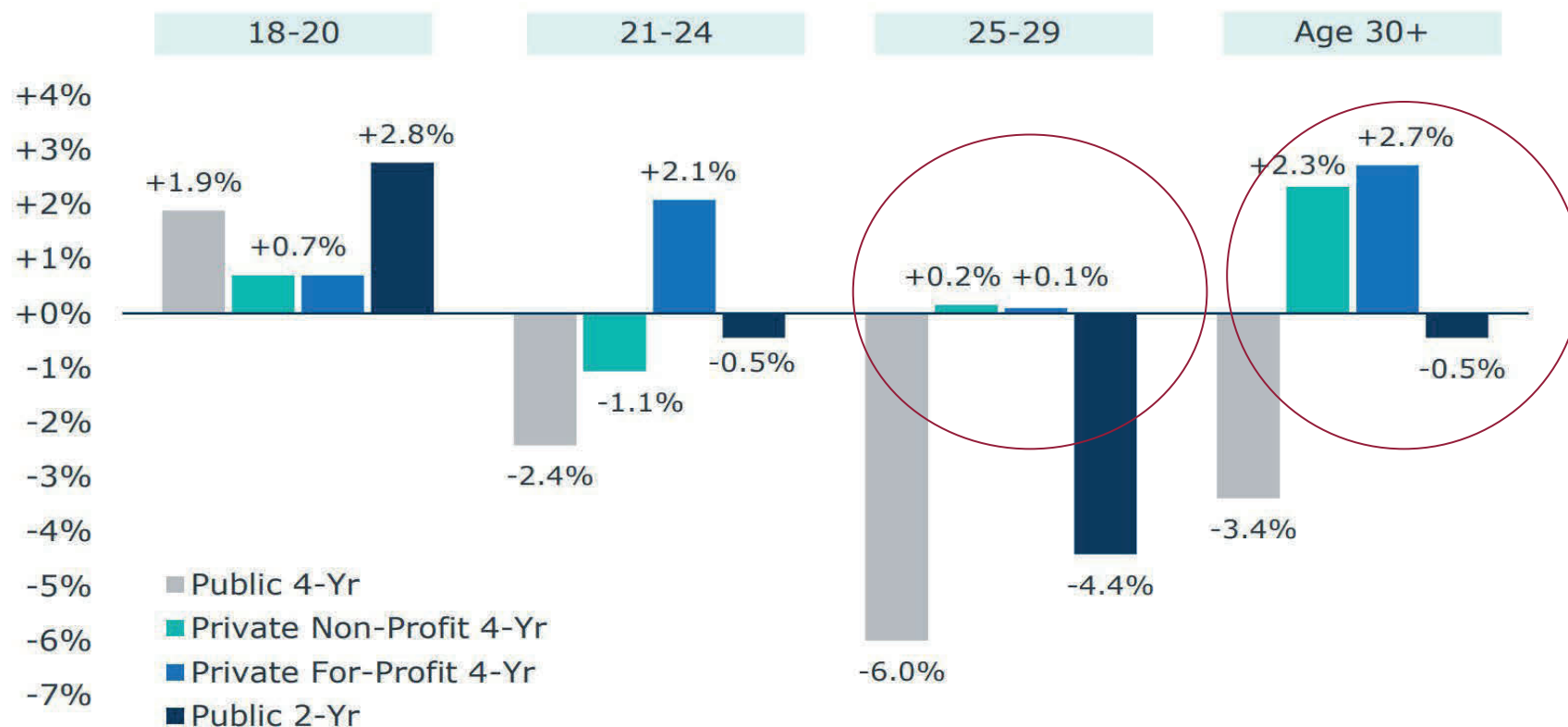
# Average Enrollment by Age Group

## Enrollment Recovery Strongest for Youngest Cohort

Students in 21-29 Age Cohort Disproportionately Down Over Last Two Years

- This chart illustrates the necessity of a diverse enrollment portfolio, incorporating first-year students, adult and community college enrollment, expanded graduate enrollment, and increased corporate learner enrollment.

**Average Annual Percent Change in Undergraduate Enrollment By Age**  
Fall 2021-2023

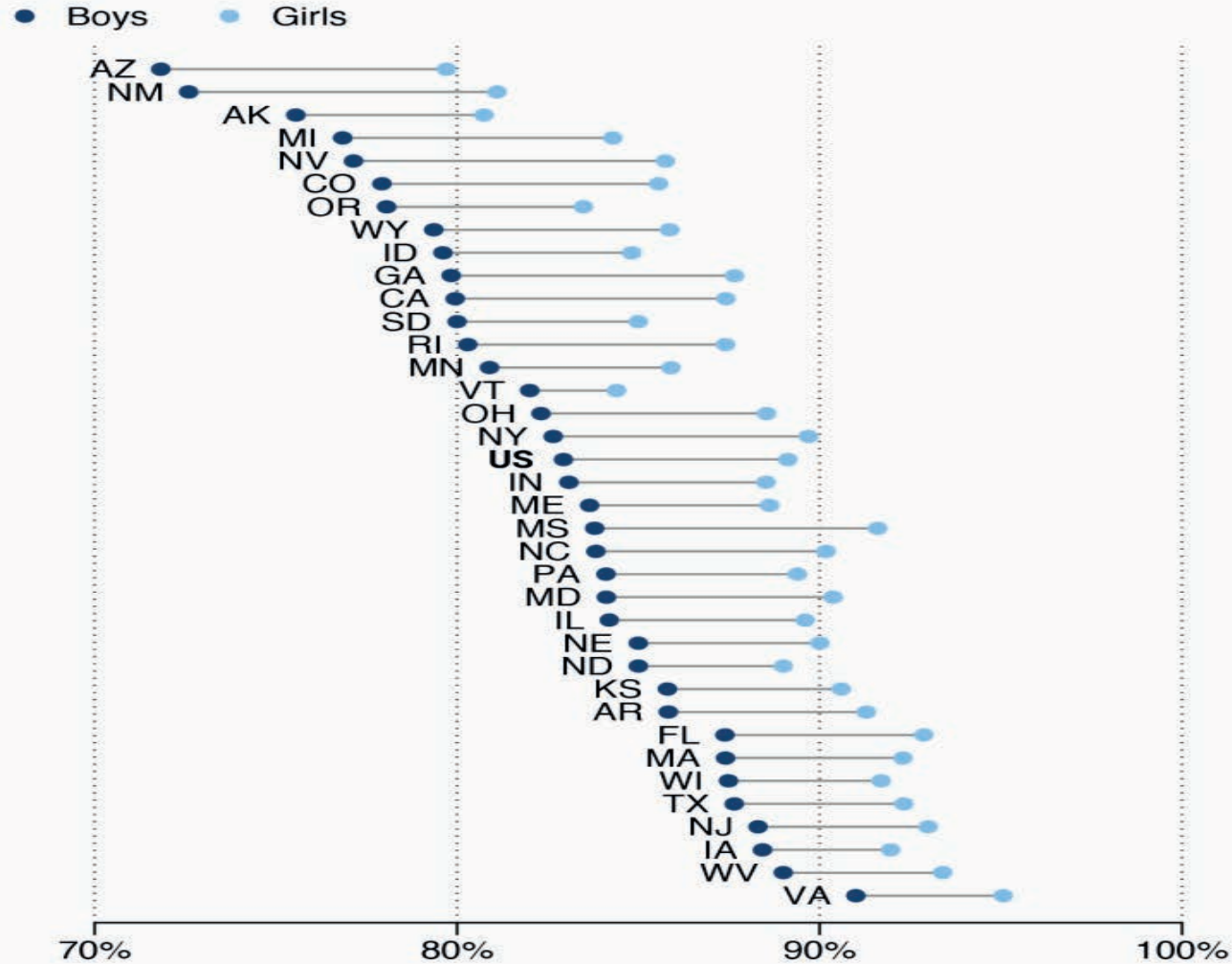


1) Undergraduate certificates grew through pandemic, but are counted as degree-seeking enrollments in IPEDS

# Gender Gap in High School Graduation Outcomes

FIGURE 1

## Girls more likely to graduate HS on time, 2021



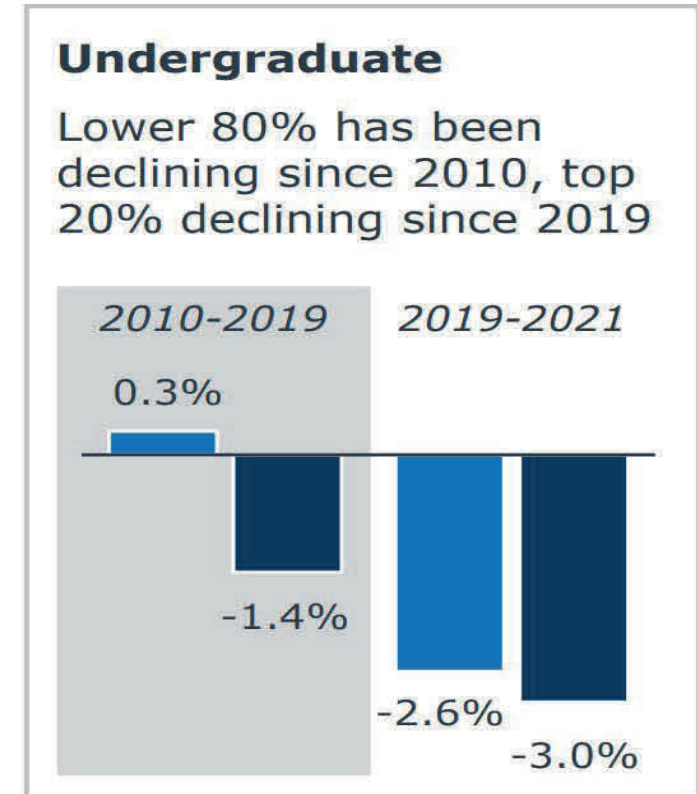
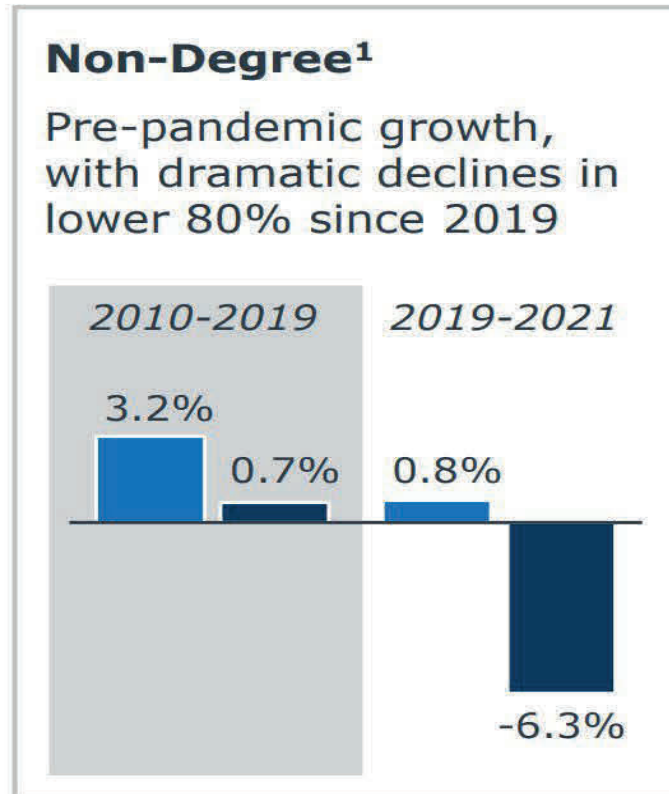
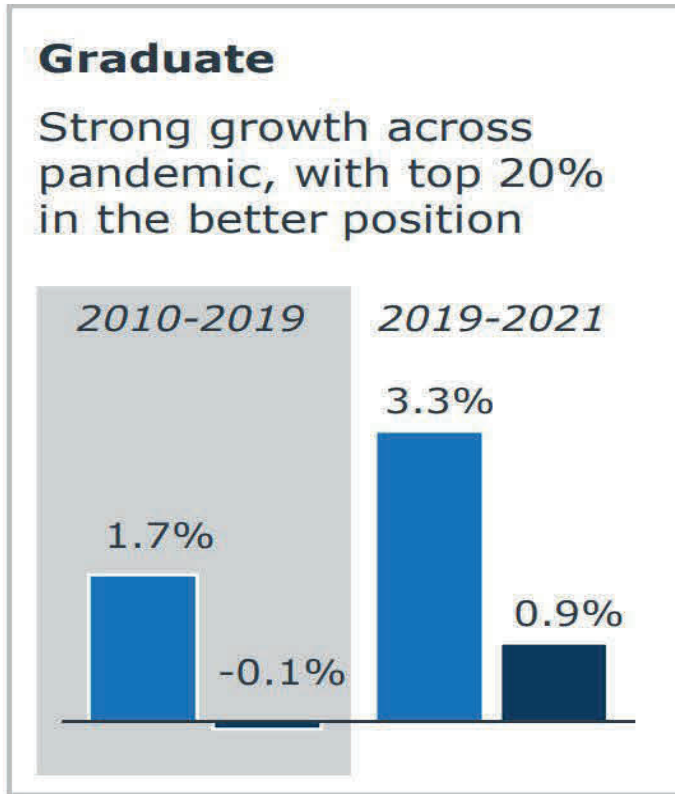
Note: Figure shows the 2021 adjusted cohort graduation rate in states with available data

Source: Data collected from individual state Departments of Education

BROOKINGS

# Average Percentage Change by Student Group

## Average annual percent change in enrollment, IPEDS 2010-2021



Top 20% of Market

Lower 80% of Market

*Top 20% and Lower 80% determined by top enrollment institutions in each category*

*Undergraduates account for **79%** of the \$203 billion in est. tuition revenue over AY21*

1) Undergraduate non-degree only.

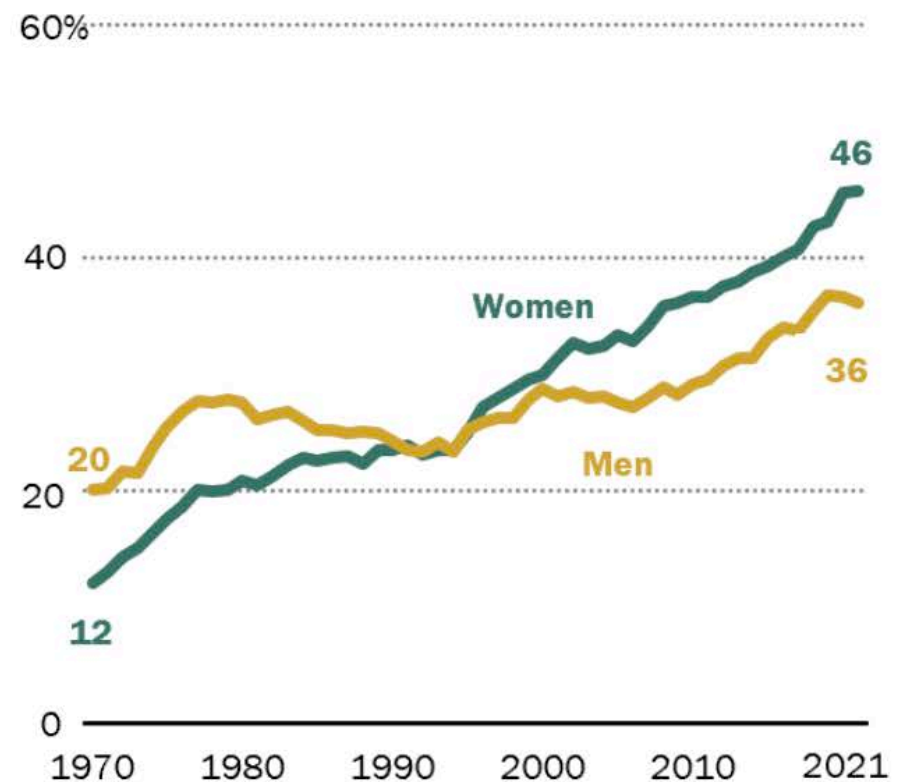
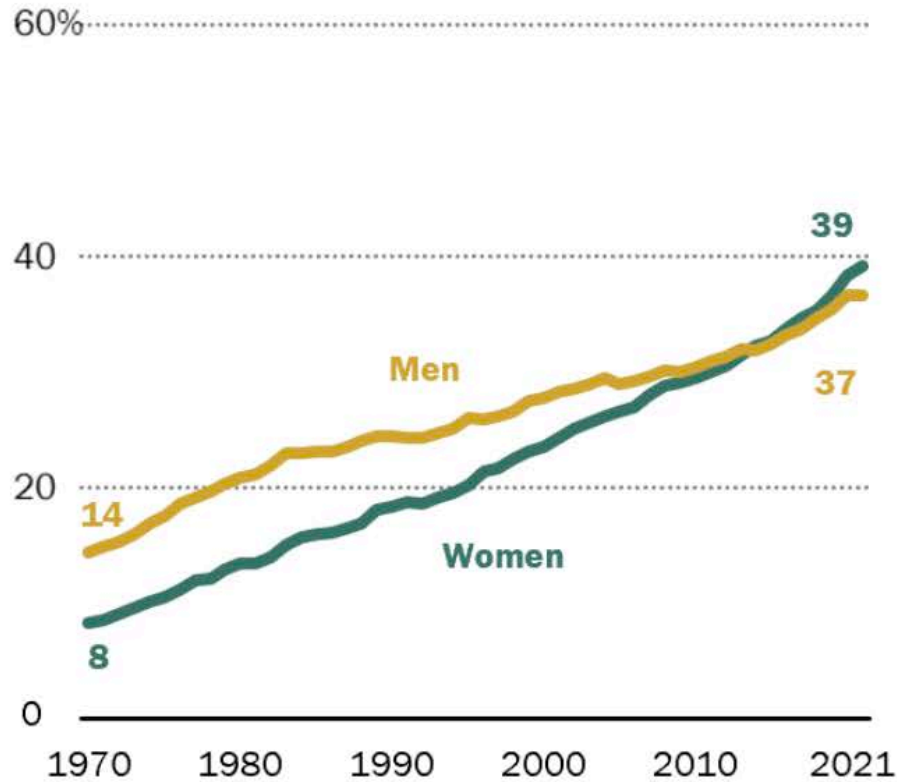


# National Trends

## Women in the U.S. are outpacing men in college graduation

% of adults **ages 25 and older** with a bachelor's degree

% of adults **ages 25 to 34** with a bachelor's degree

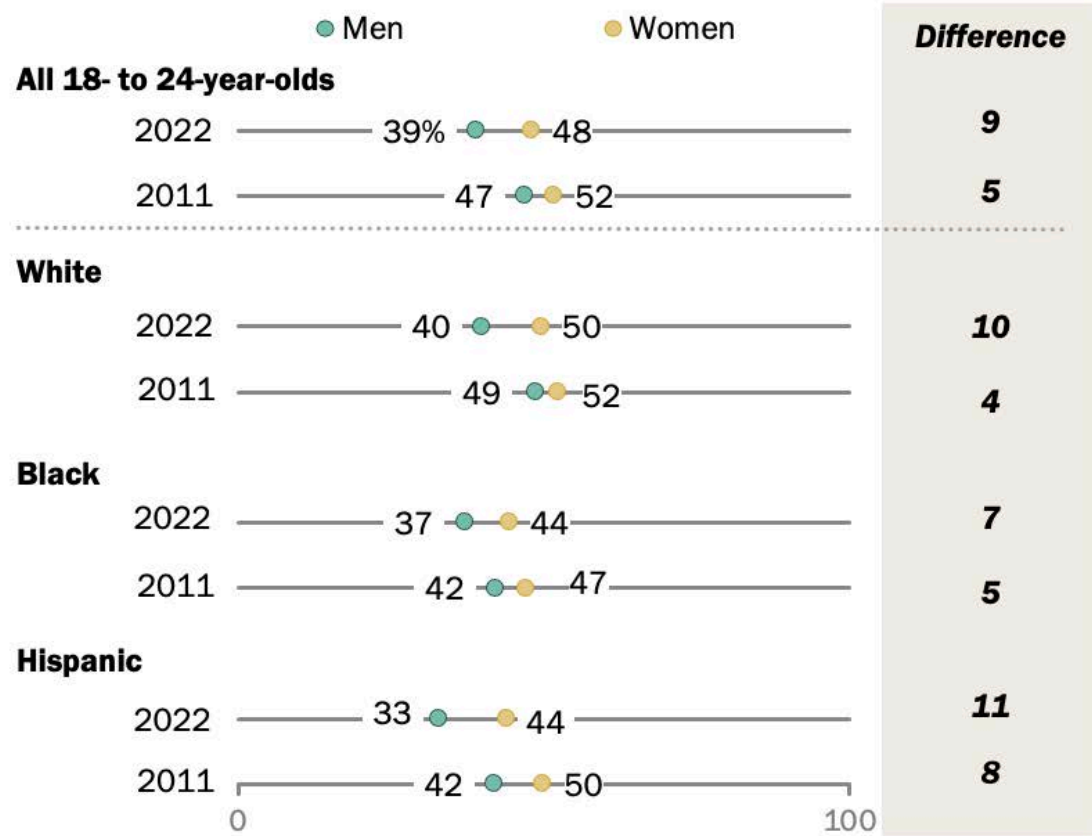


Source: Pew Research Center analysis of Current Population Survey Annual Social and Economic Supplement (IPUMS).

# National Trends

## The gender gap in college enrollment has widened significantly since 2011

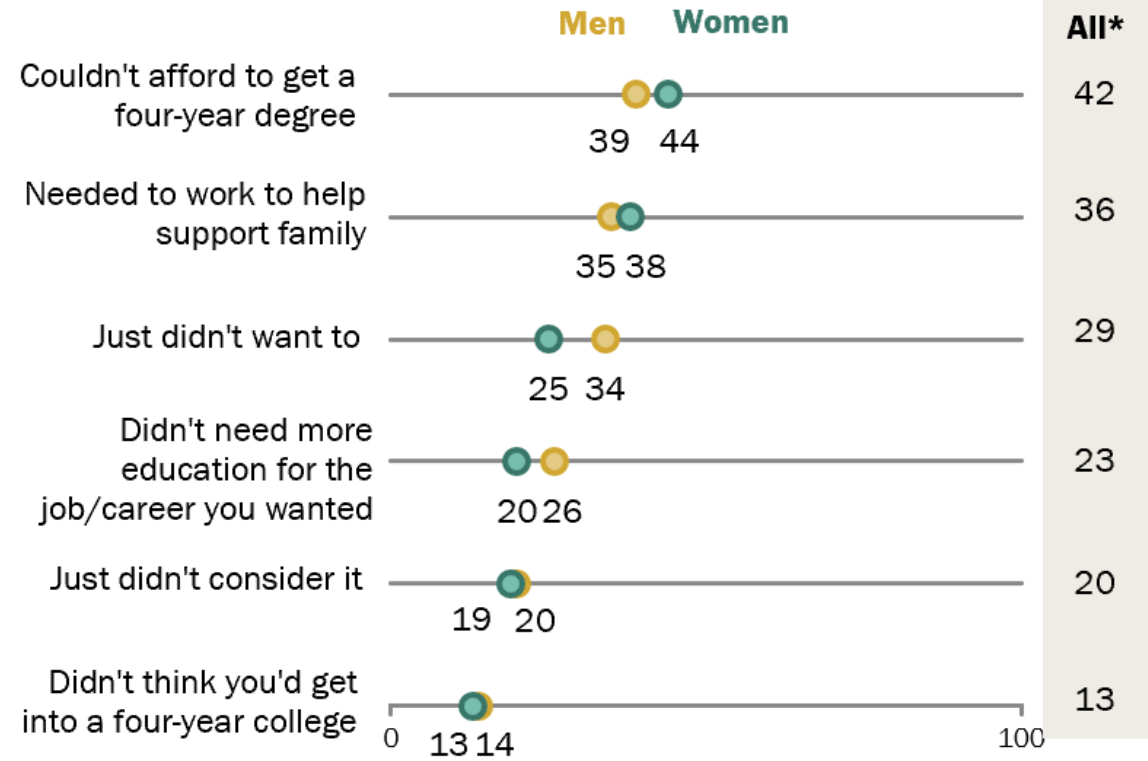
% of 18- to 24-year-old high school graduates who are enrolled in college



Note: White high school graduates include those who report being only one race and are not Hispanic. Black high school graduates include those who report being only one race. Hispanic high school graduates are of any race. Gaps are computed from unrounded rates. Source: U.S. Census Bureau historical time series tables on school enrollment.

## About a third of men who haven't completed four years of college say they 'just didn't want to' get a degree

Among adults who do not have a bachelor's degree and are not enrolled in school, % saying each is a **major** reason why they did not receive a four-year degree



\*All adults who don't have a bachelor's degree and are not enrolled in school.

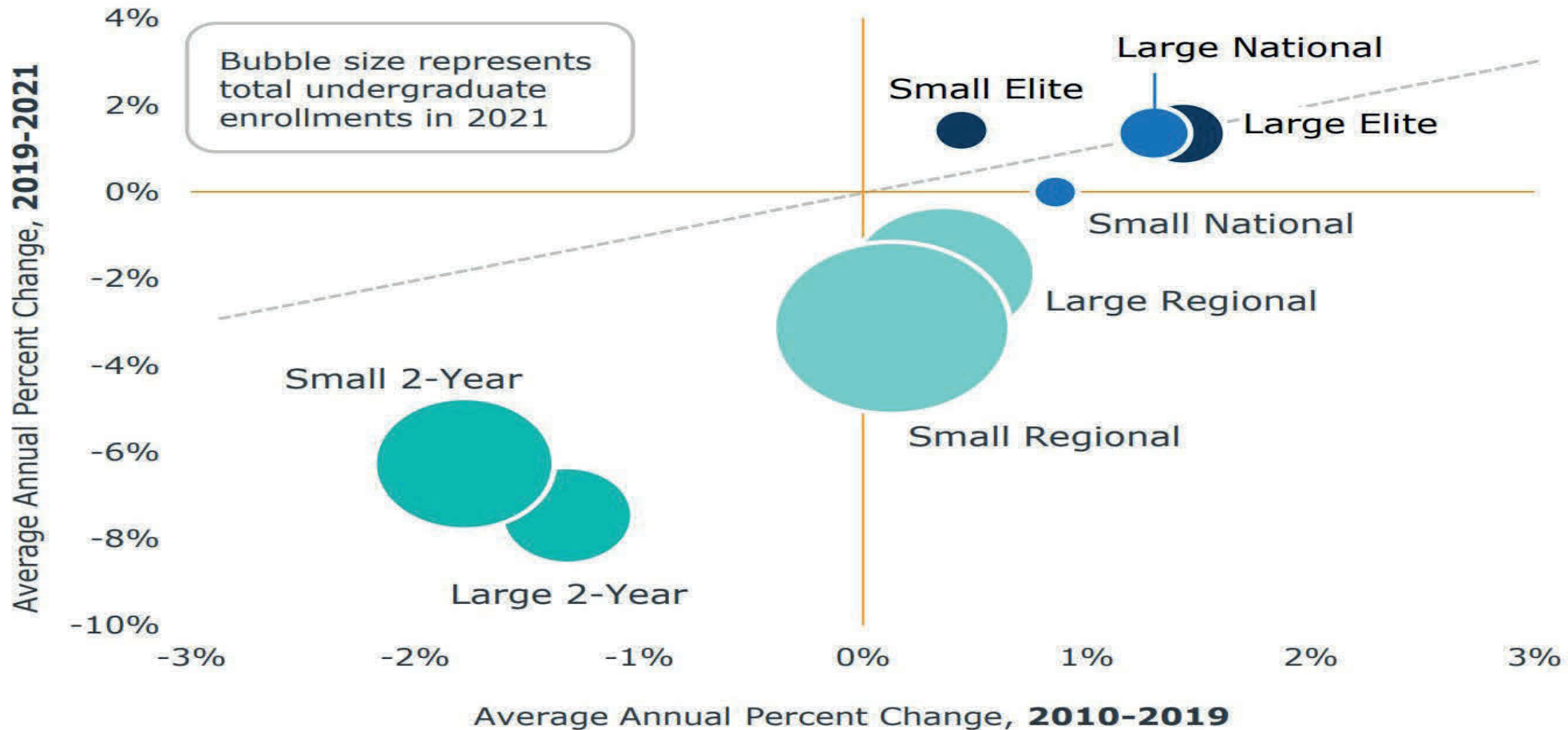
Source: Survey of U.S. adults conducted Oct. 18-24, 2021.

# Selectivity and Institutional Size

## Flight to Size and Selectivity Continues

### Undergraduate Enrollment Trends by Segment

Grawe and IPEDS Data, 2010-2021



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1) Large => 2500 first-time, first-year enrollments in 2010.  
 2) Elite (Top 50 from US News Rankings in 2019); National (Top 51-100); Regional (outside top 100).

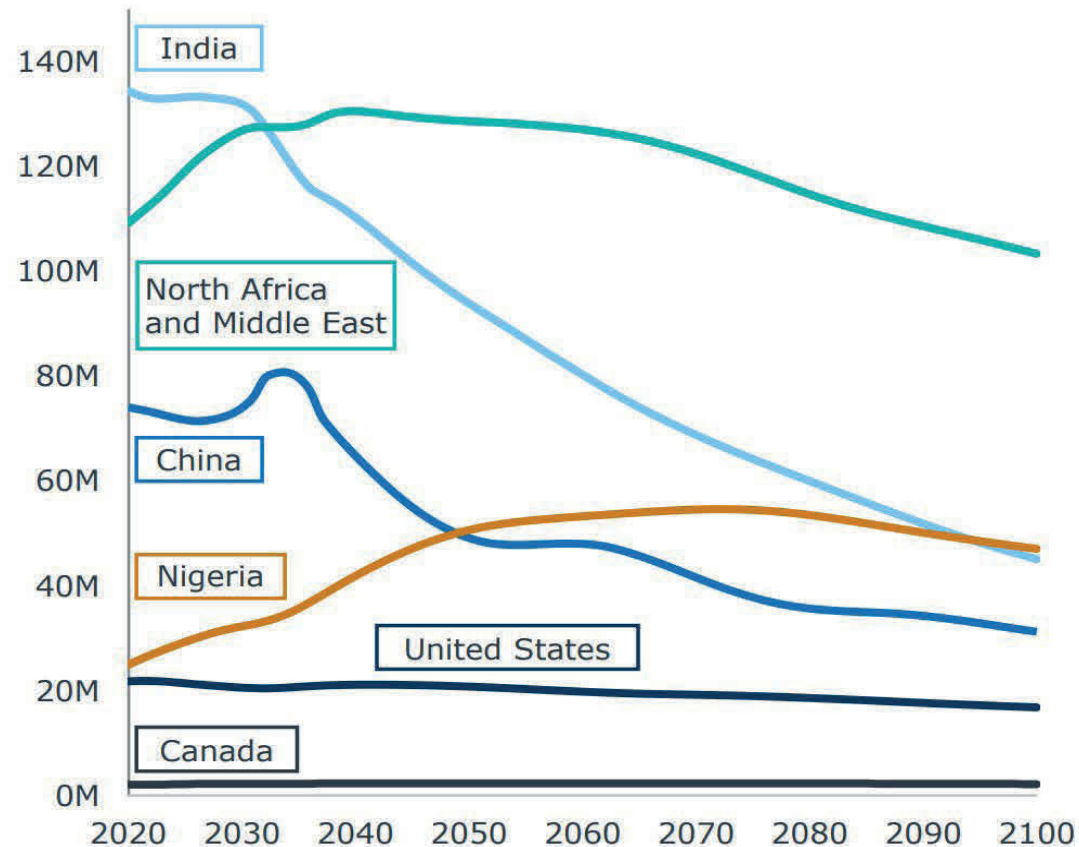
Source: [IPEDS](#), National Center for Education Statistics, Brand, "[Whitepaper Series](#)," Cornell College February 2019; EAB interviews and analysis.

# Emerging Global Markets

## International Student Market Reshuffling

More Students Set to Come from “Emerging Markets”

### 15-19-Year-Old Population, IHME Projection



- ▶ By 2030, young Africans are expected to make up **42% of the world's youth population**
- ▶ In last 2 years, US institutions saw 18% growth in students from Africa and **22% growth from Nigeria** specifically
- ▶ **International enrollments from China will peak in 2027**, declining through the 2030s
- ▶ In 2020, **64% of international student tuition and fees were covered by aid**, which is projected to increase as more students come from emerging markets

Source: "Africa's Future: Youth and the Data Defining Their Lives," Population Reference Bureau 2019; Cuthbert, "Danger! Beware of cliff edge; population numbers affecting int'l education," *The PIE News*, Feb. 16, 2023; "70% of 10-Year-Olds Now in Learning Poverty, Unable to Read and Understand a Simple Text," The World Bank, June 23, 2022; "Higher Education Institutions Awarding Financial Aid to International Undergraduate Students," College Board, 2020 EAB interviews and analysis.

- As national enrollments decline, colleges and universities must invest in exploring emerging global markets for sustained growth, new revenue streams, and diverse talent.

# Solutions to Declining Male College and Degree Attainment

- **Focus on Success Factors:** Our institutions should study successful male students to understand the factors enabling their enrollment and degree attainment and scale these strategies for broader use.
- **Gender-Specific Messaging:** While positive messages have successfully encouraged girls and women to enter STEM and business fields, similar efforts are needed to attract boys and men to female-dominated sectors like healthcare and education. Promoting gender diversity in these areas can help address the shortage of male professionals and increase college enrollment among men.
- **Work Opportunities and Perceptions:** Males often believe they don't need a degree for desired jobs and are lured away by work opportunities. Integrating work opportunities into admission and financial aid offers can help retain male students.
- **Pre-Collegiate and Comprehensive Initiatives:** Expand pre-collegiate programs to target rural and urban male students, boost high school male graduation rates, and increase targeted college recruitment efforts.



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# Key Insights and Solutions

Between 2000 and 2018, U.S. birthrates dropped by 8%, resulting in a smaller market size for colleges and universities. Regional public universities are now recalibrating to match this market size while also addressing regional labor market demands.

Strategies to adapt include:

- **Expanding and Diversifying Enrollment Portfolios:** This approach helps protect against market shortfalls in specific segments.
- **Increasing Competitiveness Beyond Local Areas:** Efforts are being made to attract students from more than 100 miles away from campus.
- **Engaging Emerging Global Markets:** Due to declining birthrates in the U.S., tapping into global markets is crucial for enrollment sustainability and growth.



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# Engineering Innovation with Artificial Intelligence

**Mo. Dehghani**

***Board of Curators Meeting***

**June 27, 2024**



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# Global Impact of AI-supported Research

- AI is widely accepted for use in accelerating many aspects of research, including literature and peer review:
  - Curating and summarizing data and information
  - Analyzing data sets
  - Offering feedback based on academic community standards
  - More rapid language translation for researchers
- It is rapidly expanding from machine learning algorithms to more transformative potential:
  - Medical research
  - Weather forecasting
  - Autonomous systems



Dr. Robin Verble, an associate professor of biological sciences at Missouri S&T, recently led a research survey for wildland dispatchers that gathered performance data.



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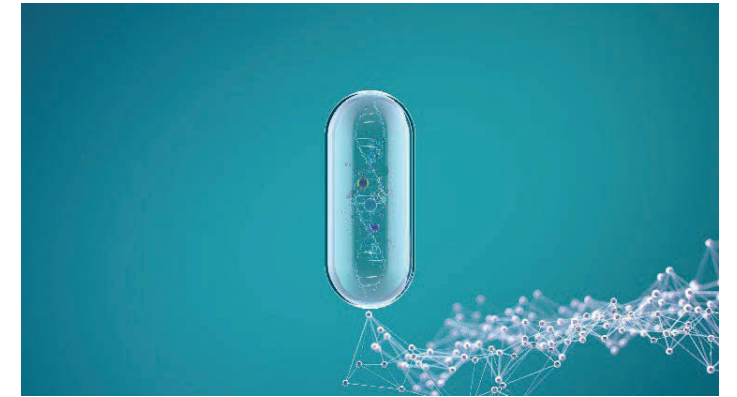
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# Health Care Advances Identified through AI

- MIT researchers have identified two new antibiotics using AI modeling.
- The model was trained on the chemical structures of known medications.
- It worked out links between the chemical structures and their efficacy in treating bacterial infections.
- At Cal Tech, scientists used an AI fluid simulation to develop a better catheter that helps prevent infections.



AI has accelerated identification of a new antibiotic for one of the world's most dangerous antibiotic-resistant bacteria.



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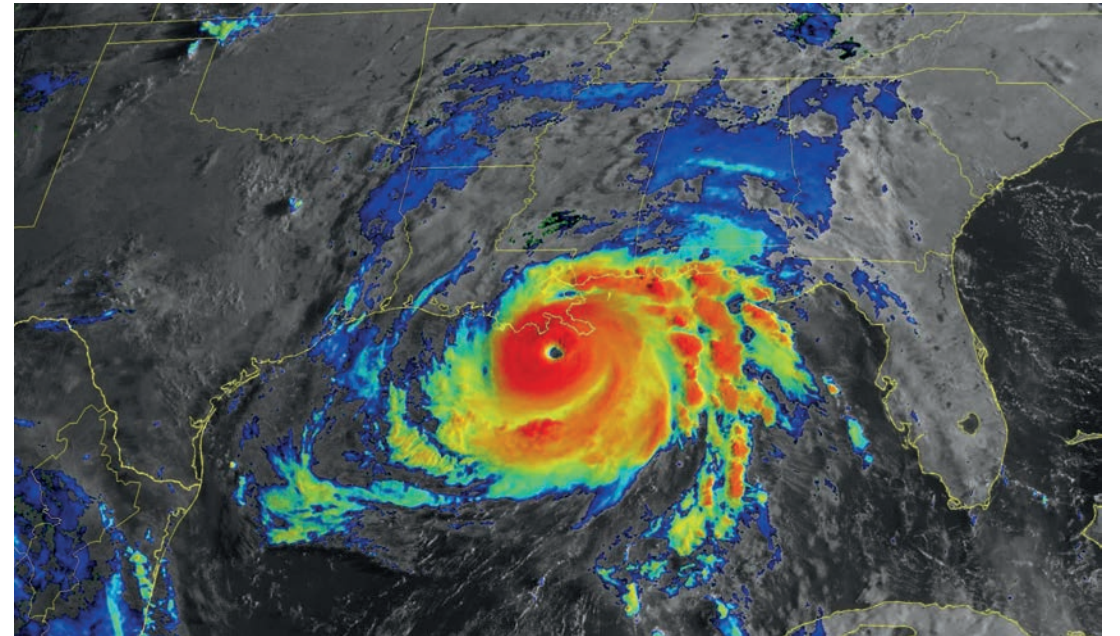
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# More Accurate Climate Modeling

- An AI-powered digital twin of the globe is being modeled to improve weather predictions
  - More accurate predictions
  - Tens of thousands times faster
  - Generates thousands of predictions rather than the 50 predictions of traditional models



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# AI Research Importance and Applications

## Defense and Security:

- Complex data analysis and decision support
- Cybersecurity measures

## Health Care:

- Explainable AI for complex disease partnerships

## Autonomous Systems:

- Smart sensing and control
- Applications in manufacturing, automotive, biosciences and aerospace



Dr. Jagannathan Sarangapani discusses leader-follower robot swarms and their applications using various remotely controlled vehicles.



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# Major Focus Areas of AI Research

## Kummer Institute Center for AI & Autonomous Systems

### Focus Areas to Prepare for Future Needs:

- **Robotics in Harsh Environments:** Autonomous systems for extreme conditions
- **Green AI:** Enhancing efficiency and reducing energy consumption
- **Bio AI:** Applications in human interfaces, medical fields and biotechnologies
- **Natural Language Processing:** Interpreting human intentions and values
- **Cybersecurity:** AI-integrated security frameworks
- **Machine Vision:** Improved real-world variability handling



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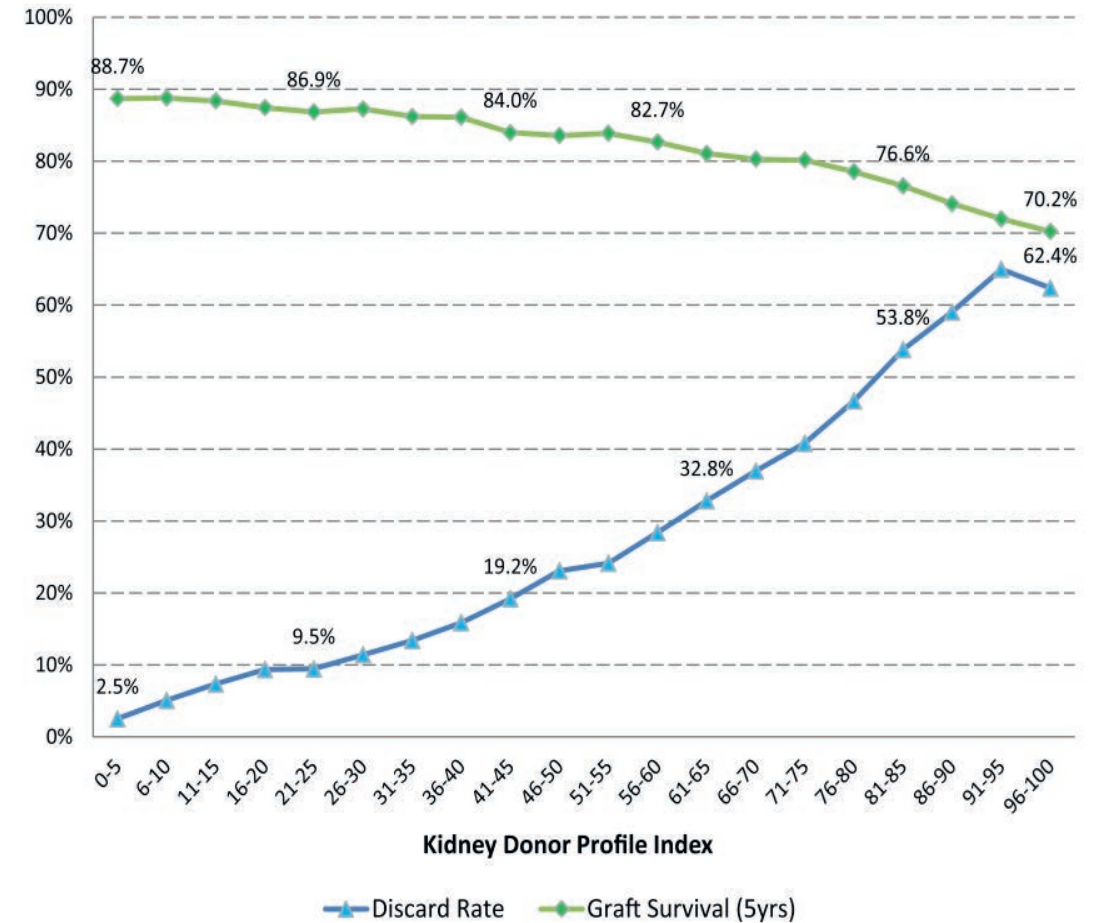
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# Case Study

## AI Decision Support for Kidney Transplant

### Kidney Transplant Demand:

- Every year, thousands of donated kidneys are not used due to donor network inefficiency
- AI to assist in accelerated placement decisions
- Working with Mid-America Transplant, which is the organ procurement organization headquartered in St. Louis, to be able to test this tool in real world operations



# AI and Kidney Transplant: Large Interdisciplinary Team



Casey Canfield (PI)  
Eng Mgt & Sys Eng



Cihan Dagli (Co-PI)  
Eng Mgt & Sys Eng



Daniel Shank (Co-PI)  
Psychology



Sid Nadendra  
Computer Science



Krista Lentine (Co-PI)  
Nephrology



Henry Randall  
Transplant Surgery



Jason Eberl  
Philosophy



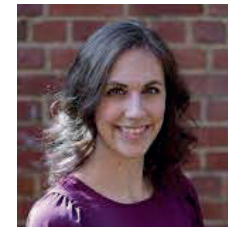
Michael Miller  
Philosophy



Mark Schnitzler (Co-PI)  
Health Economics



Laura Cartwright  
Behavioral Science



Samantha Noreen  
Data Science



Brendon Cumiskey  
Behavioral Science



Stephanie Rose  
UNOS Labs



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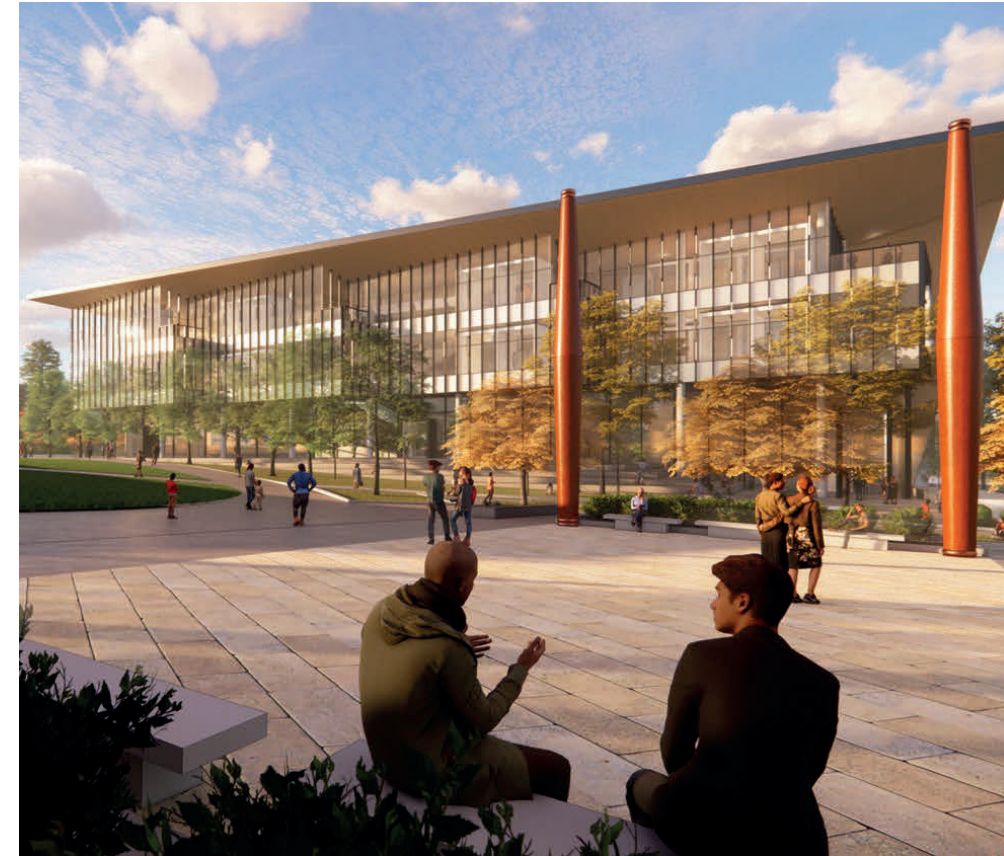
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# AI in Bio-Innovation at S&T

## Engaging Engineering Minds in Human Health

- Novel processes for saving human life
- Increasing gender and racial diversity in students, faculty and staff
- Providing training and resources to satisfy large demand for bio-centered degrees and graduates
- Creating success and impact in bio-related research and commercialization
- Successfully competing for the largest pool of federal and private foundation research funds



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# Preparing for the Future of AI



- Protoplex
  - AI in manufacturing
  - Training and resources for Missouri manufacturers
- Bioplex
  - Training and research opportunities in bioengineering, biomedicine
  - Addressing workforce needs with new degree programs



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# Data Analytics and AI in Higher Education



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# Artificial Intelligence

- **Generative AI learns from existing content and data to generate new content**
- **AI will play a significant role in higher education, but there are risks**
- **Presents opportunities for everyone:**
  - Students
  - Faculty
  - Staff
  - Administration



Ref: Hanover Research and Inside Higher Ed

# AI Benefits for Students

- **Drafting, summarizing, analyzing, idea generation**
- **Personalized student support: tutoring, adaptive advising, career advising**
- **Accessibility tools such as language translation**
- **Academic assistance for degree and course planning**
- **Assistance with answering questions at the course, unit and institutional levels**



Ref: Hanover Research and Inside Higher Ed



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# AI Benefits for Faculty, Staff, Admin

## Faculty

- Teaching: Curriculum development, assessment
- Research: Literature search and summary, data analysis, modeling, data visualization

## Staff

- Student application evaluation and real-time monitoring of advising, tutoring and financial aid
- Repetitive admin work reduction

## Administration

- Data-driven decision making



Ref: Hanover Research and Inside Higher Ed



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# Risks and Workforce of the Future

- **Risks**

- Blind trust in generative AI outputs
- Replacing human judgment and creativity
- Ethics: Plagiarism, ownership, IP, data privacy

- **Future Skills for graduates**

- Literacy in AI: fluent and creative, but ethical
- AI competencies complement core competencies (critical thinking, creativity, communication)
- Ability to adapt with evolving versions of AI



# Personalized Precision Education



- **One size does not fit all for learning and success**
- **Precision medicine tailors treatment to individuals**
- **Students' success linked to range of factors: HS rank, test scores, family education and income, etc.**
- **AI and data analytics support student success by:**
  - Assessing strengths and risk factors
  - Monitoring performance on a regular basis
  - Providing expedient personalized interventions and experiences

# Data Analytics: Georgia State and USF

- **Georgia State University**

- Pioneered predictive analytics and proactive advising
- Increased six-year graduation rate by 23% since 2003
- Reduced time to graduate by one semester
- Eliminated achievement gaps based on race, ethnicity, or income

- **University of South Florida**

- Increased six-year graduation rate by 20%
- Utilized early and continual data collection, real time analytics, and outreach by advocate



Data collection + predictive analytics  
+ human intervention  
= **Student Success**

<https://success.gsu.edu/>

<https://perspectives.usf.edu/humanizing-data>



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# Affordable Student Success at UMKC

- **Over last decade (2012-2022):**
  - Increased 6-yr graduation rate by 11%
  - Increased retention rate by 8%
- **Over last five years, average student debt at graduation *decreased* by ~18%**
- **Wall Street Journal: Education at public universities yields a positive return on investment (05/26/2024)**



[https://www.wsj.com/lifestyle/careers/public-college-value-salary-career-7dc157e5?mod=education\\_news\\_article\\_pos1](https://www.wsj.com/lifestyle/careers/public-college-value-salary-career-7dc157e5?mod=education_news_article_pos1)



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# Prime for AI Use at UMKC

## Professional Career Escalators

- Planning beyond the degree
- Connecting students early to careers
- Average first semester GPA: 3.61



Healthcare



Education



Law and Justice



Business and Engineering

## First Gen Roots

- Flagship initiative for student retention
- Helps identify personal plans and goals
- Unparalleled success:
  - First semester GPA 10% > all UMKC
  - First year retention 10% > all UMKC



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# Future of Analytics and AI at UMKC

## AI Interventions will include:

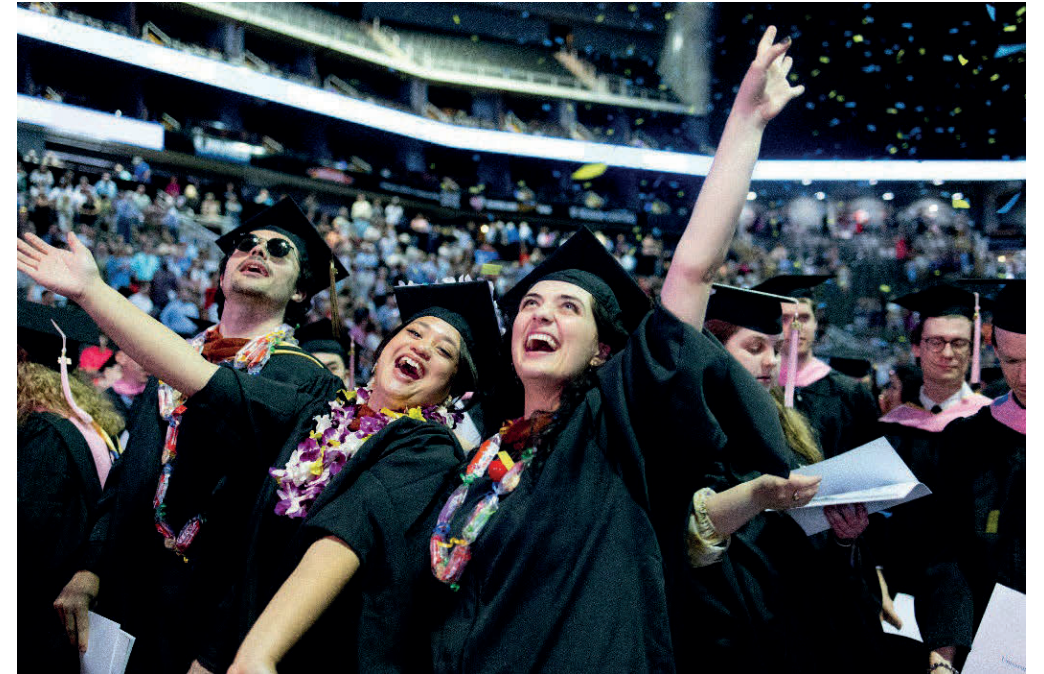
ChatBots, personalized learning paths, intelligent advising and tutoring systems, resource allocation optimization

## Current state:

Predictive Analytics → [Human Intervention](#)  
→ Student Success

## Future state?

Predictive Analytics → [AI Intervention](#)  
→ Student Success





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GOOD AND WELFARE  
OF THE BOARD

There are no materials for this information item.

No. 1

Recommended Action - Adjourn Board of Curators Meeting and Committee Meetings

It was moved by Curator \_\_\_\_\_ and seconded by Curator \_\_\_\_\_, that the Board of Curators meeting and committee meetings, June 27, 2024, be adjourned.

Roll call vote:	YES	NO
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Curator Blitz

Curator Fry

Curator Graves

Curator Holloway

Curator Krewson

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

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

Time: \_\_\_\_\_ Date: \_\_\_\_\_