

Board of Curators Meeting - Public Session

University of Missouri System

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

Jun 29, 2023 8:00 AM - 2:30 PM CDT

Table of Contents

I. PUBLIC SESSION - Call to Order 8:00 AM.....	4
II. GENERAL BUSINESS	
A. Action	
1. Resolution for Executive Session of the Board of Curators Meeting, June 29, 2023.....	6
III. BOARD OF CURATORS MEETING - EXECUTIVE SESSION	
IV. RECONVENE PUBLIC SESSION (10:00 AM, time is approximate)	
V. GENERAL BUSINESS	
A. Information	
1. University of Missouri Board Chair's Report (including an announcement of inaugural recipients of the Remington R. Williams Student Leader of the Year Awards).....	7
2. University of Missouri President's Report.....	8
3. Review Consent Agenda.....	31
VI. CONSENT AGENDA.....	32
A. Minutes, April 20, 2023 Board of Curators Meeting.....	33
B. Minutes, April 20, 2023 Board of Curators Committee Meetings	34
C. Minutes, May 18, 2023 Board of Curators Special Meeting and Committee Meeting.....	35
D. Minutes, May 24, 2023 Board of Curators Special Meeting	36
E. Degrees, Summer Semester 2023 for all universities.....	37
F. Amendment, Collected Rule and Regulation 300.030, Faculty Bylaws of the Missouri University of Science and Technology	38
VII. Finance Committee - 10:35 am (Curators Graves, Fry, Layman, Wenneker)	83
A. Action	
1. Fiscal Year 2024 Operating Budget, UM.....	85
2. State Appropriations Request for Operations - Fiscal Year 2025, UM.....	134
3. State Capital Appropriations Request - Fiscal Year 2025, UM.....	150

4. Amendments to Selected Collected Rules and Regulations Within Chapter 140: Investments, UM:.....	156
a. 140.011, Policy for Investment Manager Selection, Monitoring and Retention	
b. 140.012, Investment Policy for General Pool	
c. 140.013, Investment Policy for Endowment Pool	
d. 140.015, Investment Policy for Retirement, Disability and Death Plan....	1
e. 140.017, Policy for Allowable Investments	
VIII. Governance, Compensation and Human Resources Committee - 11:05 AM (Curators Holloway, Blitz, Brncic, Wenneker).....	212
A. Action	
1. Amendments, Collected Rules and Regulations 110.010, Regulations and 110.020, Service and Use Fees, UM.....	215
2. Resolution, Executive Session of the Governance, Compensation and Human Resources Committee June 29, 2023.....	231
IX. Academic, Student Affairs, Research and Economic Development Committee – 11:20 AM (Curators Layman, Blitz, Graves, Sinuefield).....	232
A. Action	
1. Amendments, Collected Rules and Regulations 200.010, Standard of Conduct and 200.020, Rules of Procedures in Student or Student Organization Conduct Matters.....	233
2. New Degree Program, Master of Legal Studies, UMKC.....	291
3. New Degree Program, Bachelor of Arts in Health Humanities, MU.....	341
4. Resolution, Executive Session for Academic, Student Affairs, Research and Economic Development Committee June 29, 2023.....	416
X. Audit, Compliance and Ethics Committee - 11:50 AM (Curators Williams, Brncic, Holloway, Sinuefield).....	417
A. Information	
1. Internal Audit, Compliance and Ethics Annual Report, UM.....	419
B. Action	
1. Fiscal Year 2024 Risk Assessment and Proposed Internal Audit and Compliance Plans, UM	443
2. Resolution, Executive Session for Audit, Compliance and Ethics Committee, June 29, 2023.....	475

XI. Luncheon by Invitation for the Board of Curators, President, University of Missouri System Leaders, University of Missouri - Columbia Faculty and Student Leaders (12:15 PM)	
XII. Health Affairs Committee Chair Report 1:00 PM (Curators Wenneker, Fry, Holloway, Layman and Mr. Ashworth, Mr. Devers, Dr. Whitaker)	476
A. Information	
1. Executive Vice Chancellor Report	478
XIII. General Business (1:15 PM, time is approximate)	
A. Information	
1. Strategic Theme Discussion – Beyond Enrollment: Strategies for Student Retention.....	503
2. Good and Welfare of the Board.....	528
XIV. Press Conference with Board of Curators Chair and UM President	
XV. GOVERNANCE, COMPENSATION AND HUMAN RESOURCES COMMITTEE – EXECUTIVE SESSION	
XVI. AUDIT, COMPLIANCE AND ETHICS COMMITTEE - EXECUTIVE SESSION	
XVII. ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE - EXECUTIVE SESSION	
XVIII. BOARD OF CURATORS MEETING - EXECUTIVE SESSION	



Vision

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

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 29, 2023

It was moved by Curator _____ and seconded by Curator _____, that
there shall be an executive session with a closed record and closed vote of the Board of
Curators meeting June 29, 2023 for consideration of:

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

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

Curator Blitz		
---------------	--	--

Curator Brncic		
----------------	--	--

Curator Fry		
-------------	--	--

Curator Graves		
----------------	--	--

Curator Holloway		
------------------	--	--

Curator Layman		
----------------	--	--

Curator Sinuefield		
--------------------	--	--

Curator Wenneker		
------------------	--	--

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 29, 2023



Congratulations, Graduates!

11,962 total degrees were awarded for Spring 2023.



HB3: Higher Education & Workforce

Core Appropriation: **\$492M (+\$32M)**

- University of Missouri System Core - **\$281M (+\$18.4M)**
 - Undergraduate Education
- Land Grant Core - **\$29M (+\$6.6M)**
 - Extension & Engagement
- First Professional Doctorate Degrees Core - **\$101M (+\$6.6M)**
 - Only MD, JD, VMD, DDS, PharmD, JD, OD, etc
- Research & Development Operations Core - **\$80M (+\$5.2M)**
 - Only AAU, Carnegie R1 and Carnegie R2

FY24 HB3, HB6, HB10, HB12

Total Appropriation (Core & Line Items): **\$589M (+127M compared to FY23)**

- MU Veterinary Medicine Diagnostics Laboratory and Hospital - **\$43M (CP)**
- MU Meat Laboratory Facility - **\$25M (CP)**
- MU eMINTS Program - **\$15M**
- MU Cures for Genetically-caused Autism - **\$10M (CP)**
- UMSL International Collaboration - **\$2.4M**
- MU Fisher Delta Research Center - **\$1.1M**
- MU School of Law Family Clinic - **\$400K**
- MU School of Law Veterans Clinic - **\$325K**
- MU Greenley Research Center - **\$275K**
- S&T Project Lead the Way - **\$250K**

American Rescue Plan Act (ARPA) Projects

- MU NextGen and MizzouForward - **\$52.3M**
- S&T STEM Education & Workforce - **\$25M**
- UMSL Campus of the Future - **\$20M**
- UMKC Health Sciences District - **\$20M**
- MU Fisher Delta Research Center - **\$1M**
- MU Missouri Foundation Seed program - **\$6.5M**

FTC Enrollment – Fall Census

	2017	2018	2019	2020	2021	2022	2023*
MU	4,134	4,673	5,431	5,315	4,843	4,983	5,298
UMKC	1,244	1,197	1,197	1,059	1,148	1,165	1,485
S&T	1,426	1,325	1,145	1,111	1,188	1,146	1,321
UMSL	482	485	447	417	296	443	522

*Net deposits as of June 26, 2023

Transfer Enrollment – Fall Census

	2017	2018	2019	2020	2021	2022	2023*
MU	916	973	1,113	1,270	1,348	1,261	1,050
UMKC	1,160	1,166	1,017	1,013	999	846	987
S&T	348	316	278	259	234	245	337
UMSL	1,425	1,365	1,164	1,170	1,045	1,024	904

*Net deposits as of June 26, 2023

Graduate/Professional Enrollment – Fall Census

	2017	2018	2019	2020	2021	2022	2023*
MU	7,045	7,359	7,425	7,706	7,705	7,559	N/A
UMKC	5,000	5,056	5,087	5,120	5,305	5,524	N/A
S&T	1,964	1,758	1,634	1,559	1,545	1,582	N/A
UMSL	2,928	2,981	2,962	2,901	2,842	2,766	N/A

Total Enrollment – Fall 2022 Census

	2017	2018	2019	2020	2021	2022	2023*
MU	30,844	29,843	30,014	31,089	31,401	31,304	N/A
UMKC	13,179	13,036	12,830	12,441	12,250	12,170	N/A
S&T	8,883	8,601	8,088	7,642	7,241	7,080	N/A
UMSL	10,565	10,432	9,942	9,626	8,850	8,412	N/A

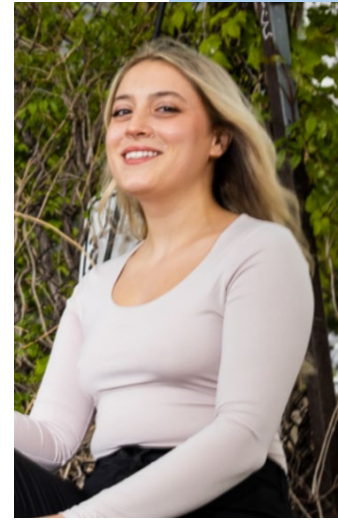
Student Success



UMSL

Charlotte Richards
Supply Chain Management

Great Lakes Valley Conference
2023 Richard F. Scharf Paragon
Award



UMKC

Shannon Moran
Creative Writing

Association of Writers & Writing
Programs Intro Award in poetry



2023 Fulbright
recipients



- **Maya Ganapathy**
- **Caitlin Kelleher**
- **Roselena Kristine Rodriguez**
- **Amber Spriggs**
- **Olivia Watson**



**MISSOURI
S&T**

- **Abby Knoesel**
- **Madison Husereau**
- **Aiden Armstrong**

1st Place Award at the Regnier Venture Creation
Challenge

Faculty Success



UMSL

Professor Alina Slapac
Educator Preparation and Leadership

Governor's Award for Excellence in Teaching



UMKC

Professor Candace Schlein
Education, Social Work and Psychological Sciences

Governor's Award for Excellence in Teaching



MU

Professor Earnest Perry
Associate Dean for Graduate Studies & Research, School of Journalism

Governor's Award for Excellence in Teaching



MISSOURI S&T

Professor Amy Belfi
Psychological Science

Named a Fellow of the Psychonomic Society

Dedicated Staff



UMSL

Ericka Grim has served in the UMSL Registration Office for 42 years.



UMKC

Maria DeSimio has served 40 years at UMKC in Information Services. She is one of the 2023 winners of the UMKC Living the Values Award.



MU

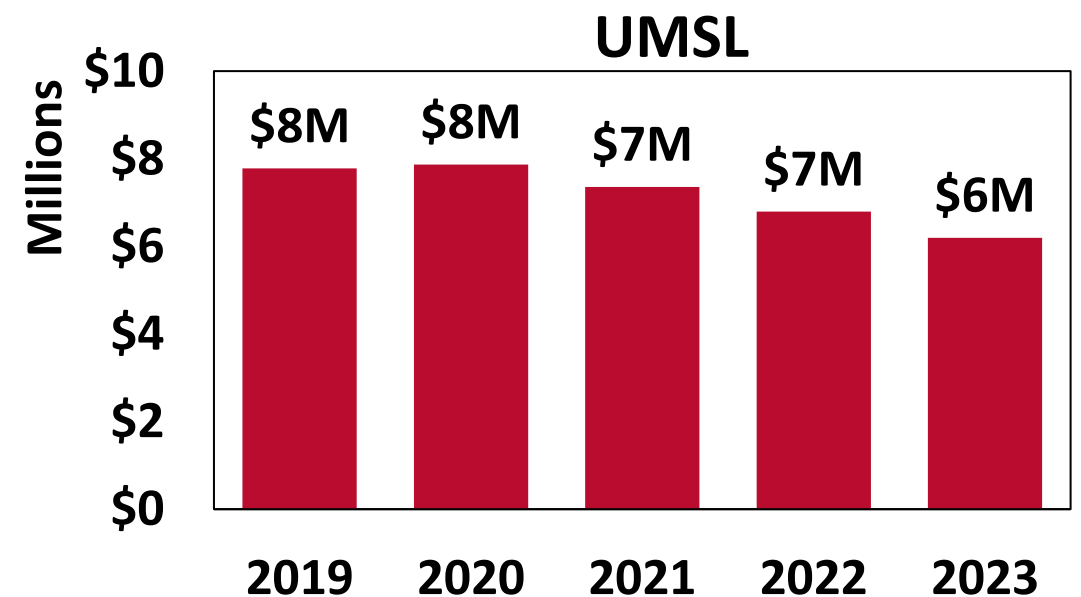
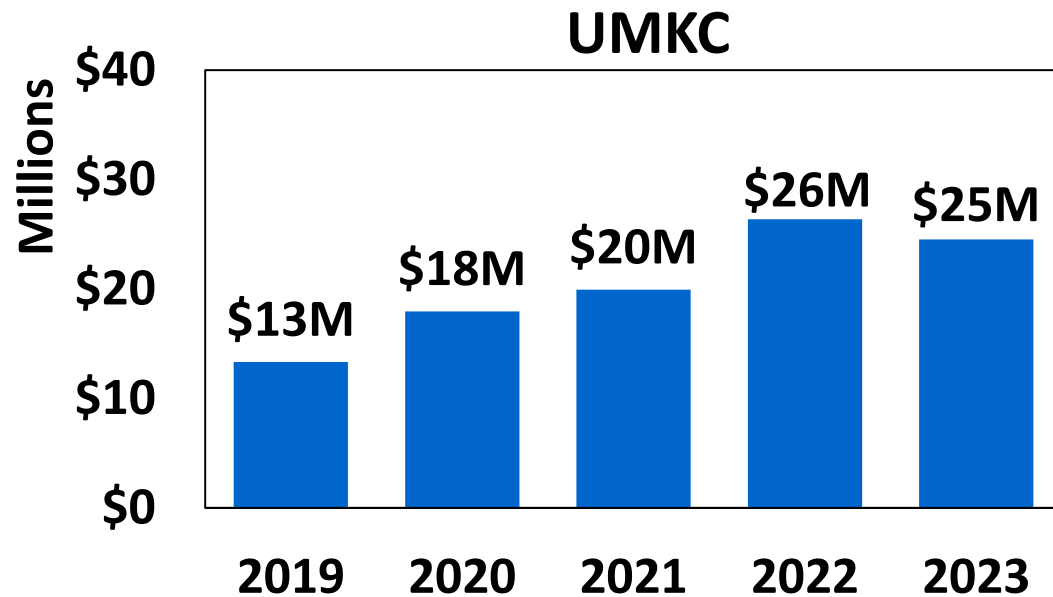
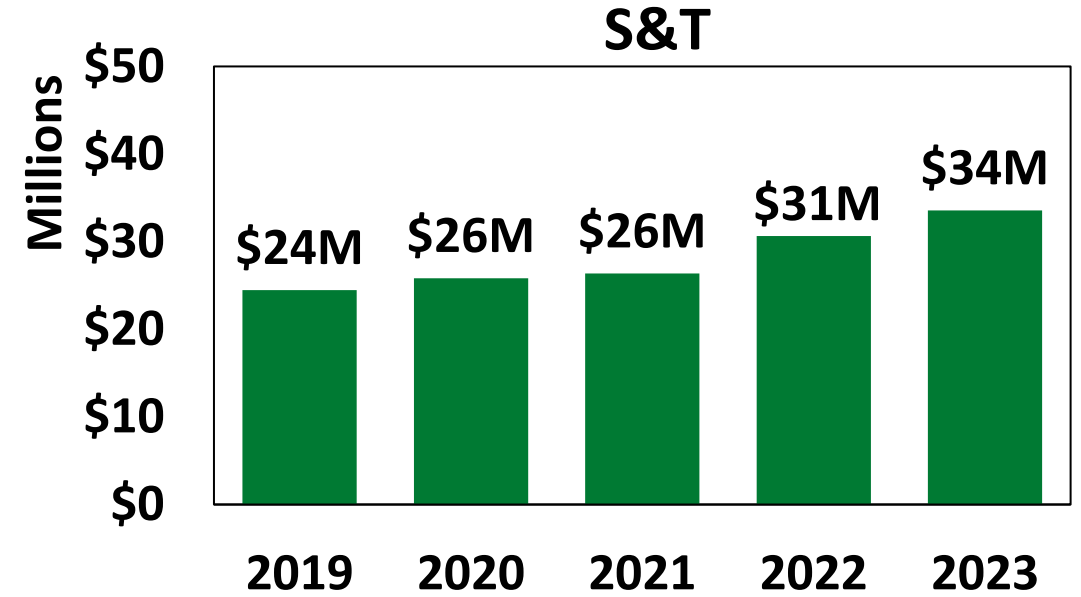
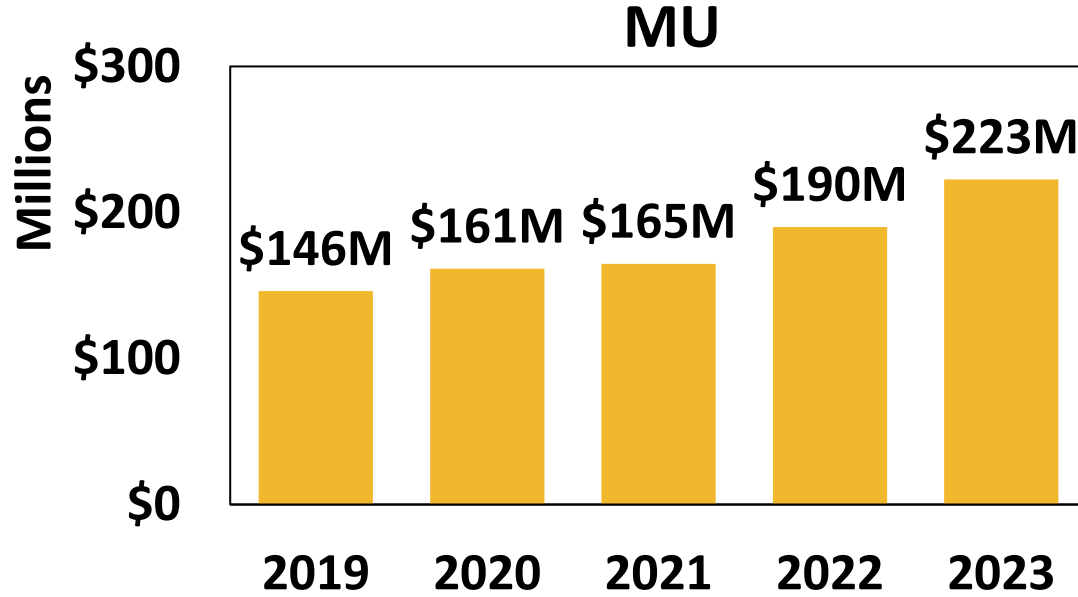
A multi-media specialist for CVM, Don Conner is Mizzou's longest-serving staff member with 55 years of service.



MISSOURI
S&T

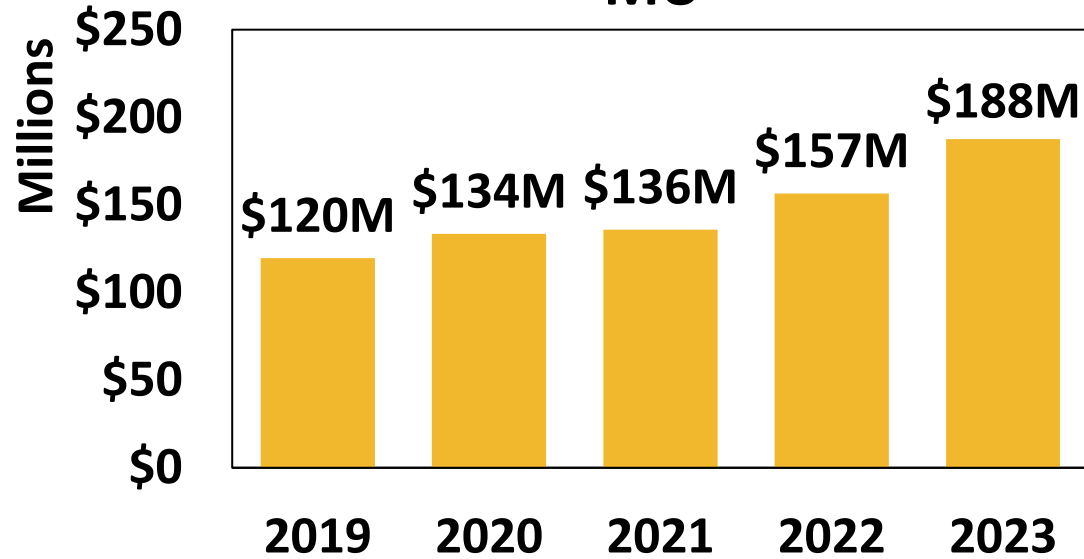
Charles "Jim" Duncan is the supervisor of custodial services and has served 45 years at Missouri S&T.

FYTD Total R&D Expenditures

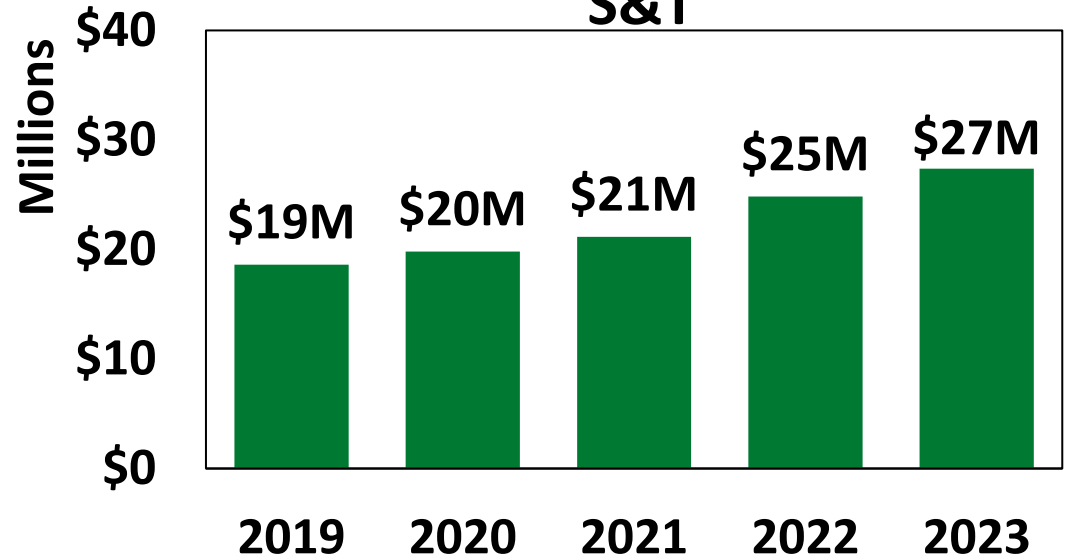


FYTD Federal R&D Expenditures

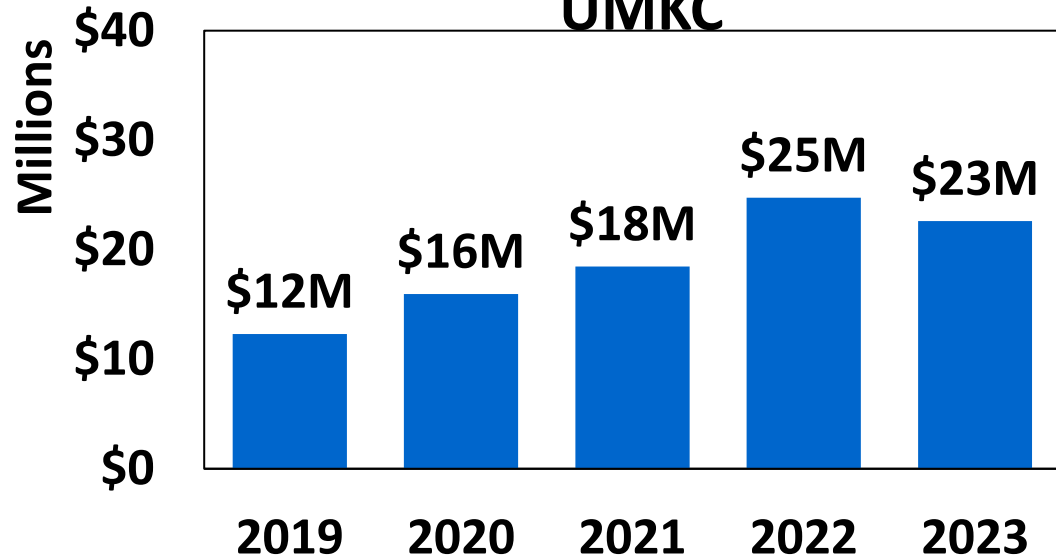
MU



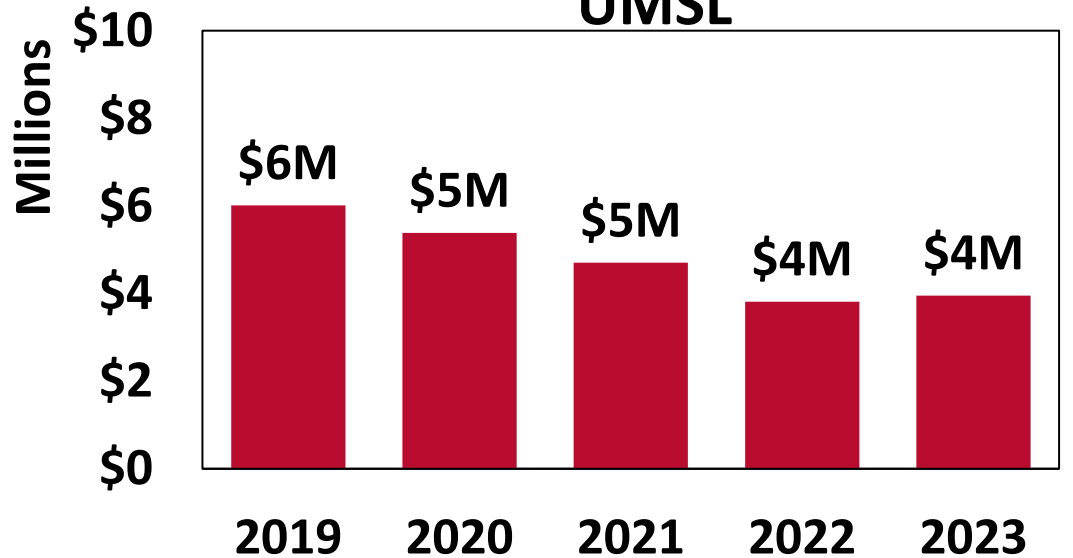
S&T



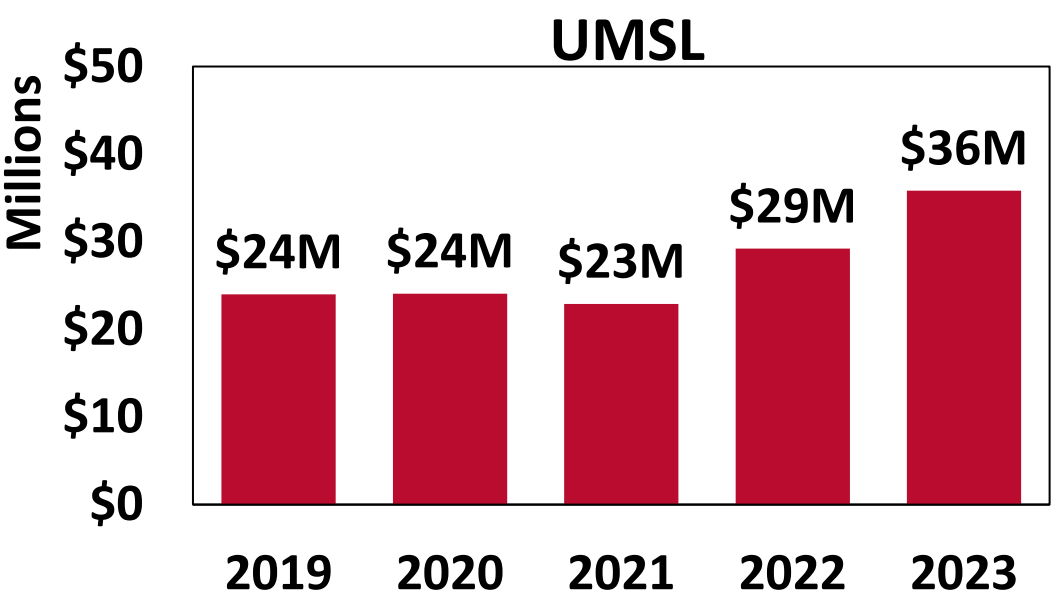
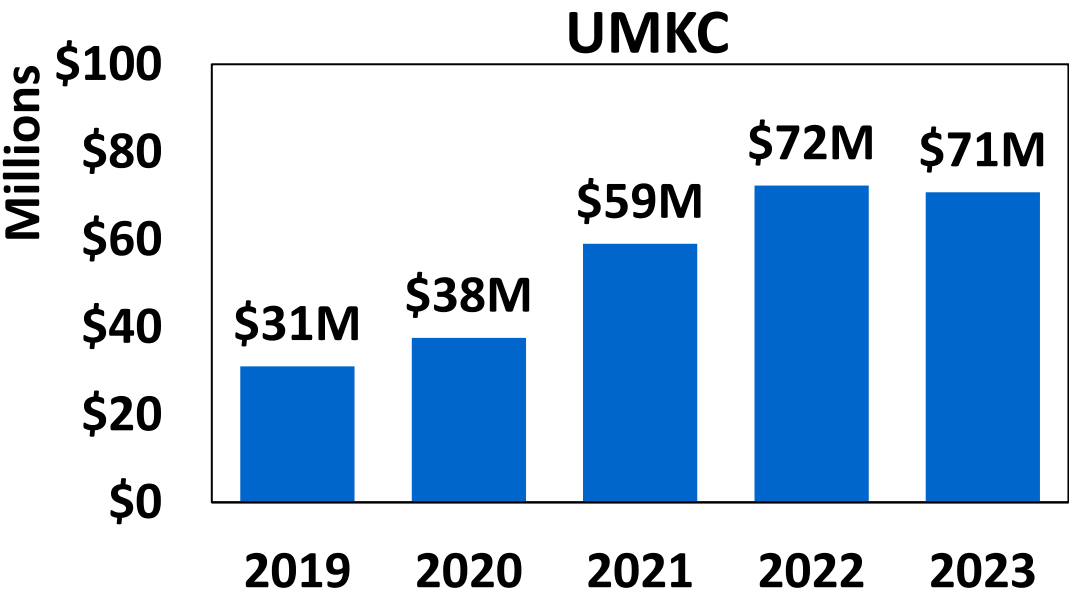
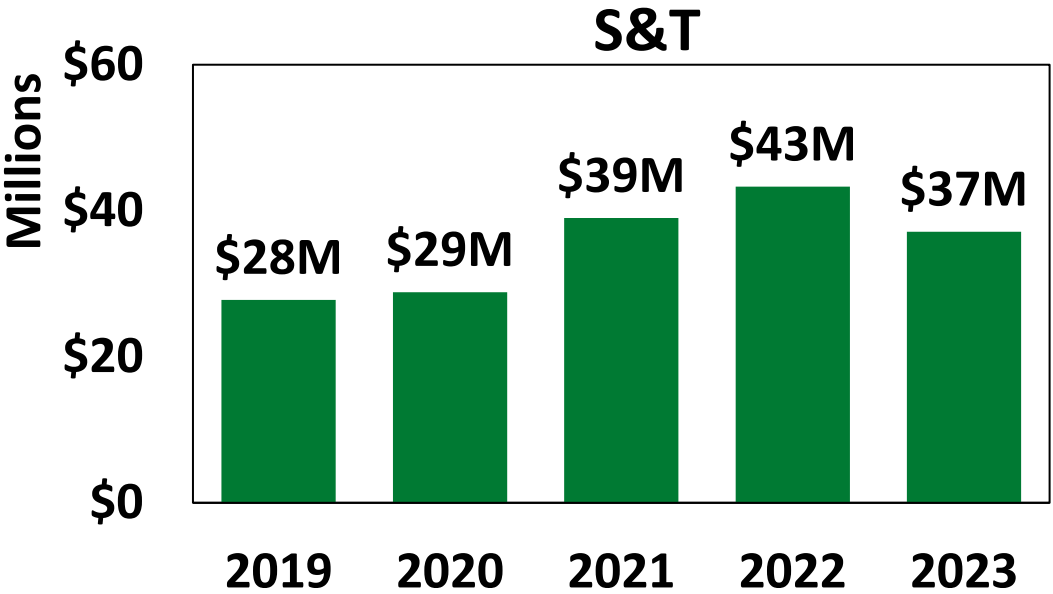
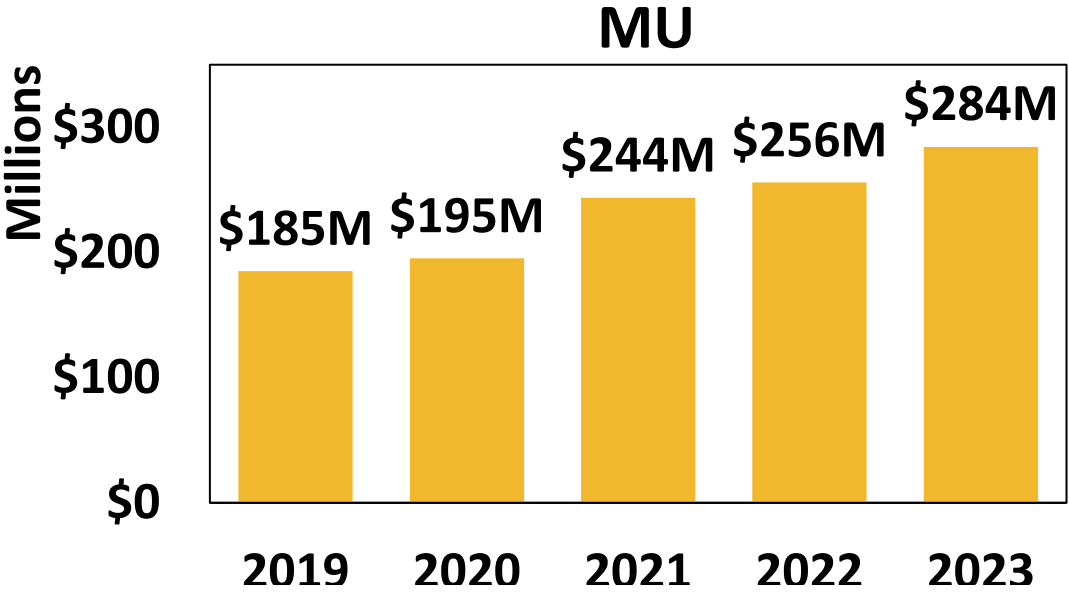
UMKC



UMSL



FYTD Total Sponsored Expenditures



S&T Major Grant



Electrified Processes for Industry Without Carbon (EPIXC) Institute

PI: Dr. Ronald O'Malley, *Materials Science and Engineering*

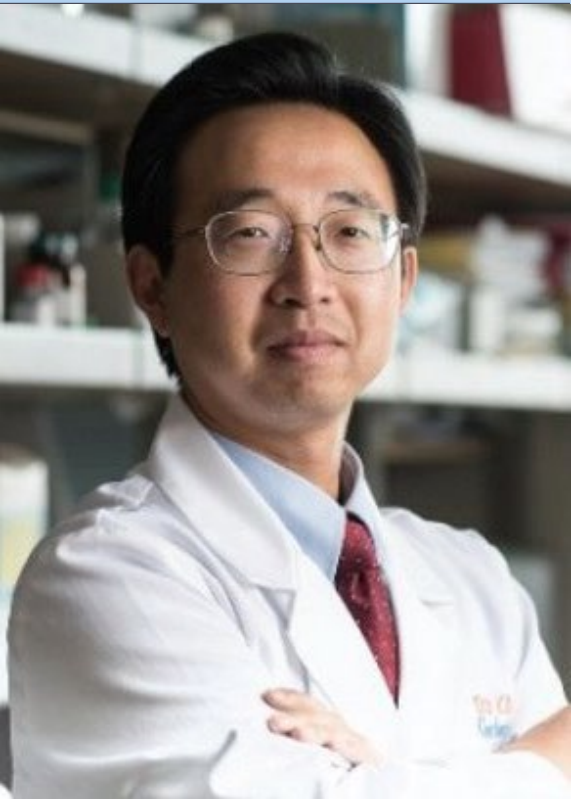
\$13.3M

Sponsor: U.S. Department of Energy

The vision of EPIXC Institute is to achieve net-zero CO₂ emissions for heating in the industrial sector using clean electricity with cost-effective, high-impact solutions. Missouri S&T will serve as a testbed for several potential electrified methods for iron and steel work and cement production.



UMKC Major Grant



Normalizing PDAC stroma with PCBP2 siRNA nanoparticles to improve the antitumor activity of chemotherapy and immunotherapy

PI: Dr. Kun Cheng, *UMKC School of Pharmacy*

Co-PIs: Drs. Guangfu Li, *MU School of Medicine*; XiaoLan Yao, *UMKC School of Science and Engineering*; Evanthia Omoscharka, *UMKC School of Medicine*

\$1.8M

Sponsor: National Institutes of Health

This project will investigate how PCBP2 siRNA enhances the anti-tumor activity of chemotherapy and immunotherapy to better kill tumor cells.

UMSL Major Grant

UMSL

An Integrated Geospatial and Community-based Model to Prevent Opioid Overdose among Black Americans

PI: Dr. Devin Banks, *Clinical Psychology*

\$806K

Sponsor: NIH

Missouri has second highest rate of OOD among Black individuals: 44 per 100,000 (relative to 16 per 100,000 nationally).

This project aims to create a digital tool designed to identify current social determinants of health that underlie opioid overdose death among Black individuals and provide data-driven targets to improve the efficacy of community-based outreach interventions.



MU Major Grant



Dual-mode Hybrid Two-phase Loop for Data Center Cooling

PI: Dr. Chanwoo Park, *College of Engineering*

\$1.6M

Sponsor: ARPA-E; COOLERCHIPS

The University of Missouri will develop a hybrid mechanical-capillary-drive two-phase loop that could serve as an ideal cooling solution for data centers. The proposed technology offers numerous advantages over existing phase-change processes such as flow boiling and condensation, including dual-mode operation, low thermal resistance, high heat flux, low pumping power consumption, high power density, reliable operation, and a fully scalable design.

MU Major Grant



Build it Green!: Enhancing Middle School Science Education through an Energy Efficient Building Design Curriculum

PI: Dr. Laura Zangori, *College of Education and Human Development*

Co-PIs: Dr. Danielle Oprean, *College of Education and Human Development*; Drs. Laura Cole and Jong Bum Kim, *College of Arts and Science*; Dr. Susan Kowalski, *Northwest Evaluation Association*

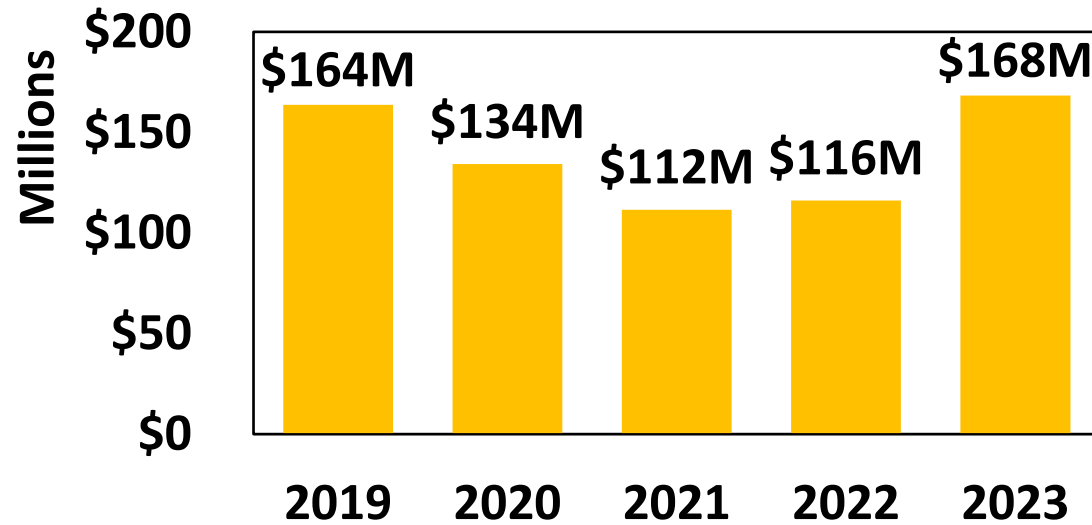
\$3.1M

Sponsor: National Science Foundation

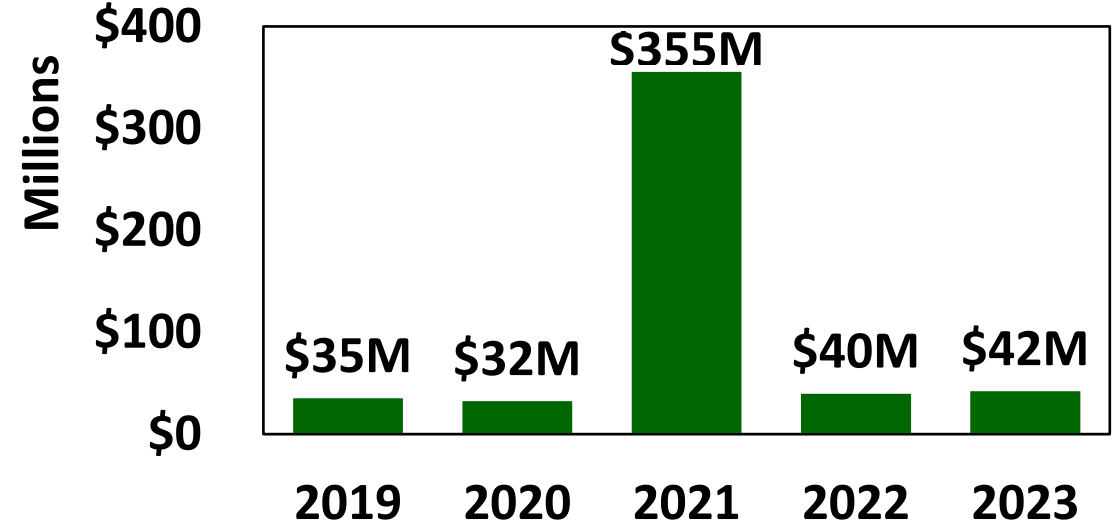
Build It Green! is a middle school curriculum blending classroom and digital learning materials. Researchers will work with rural Missouri schools to implement and test how following the story of energy flow in and out of a hypothetical school building enhances students' understanding of energy systems in the science of green buildings.

FYTD Philanthropy

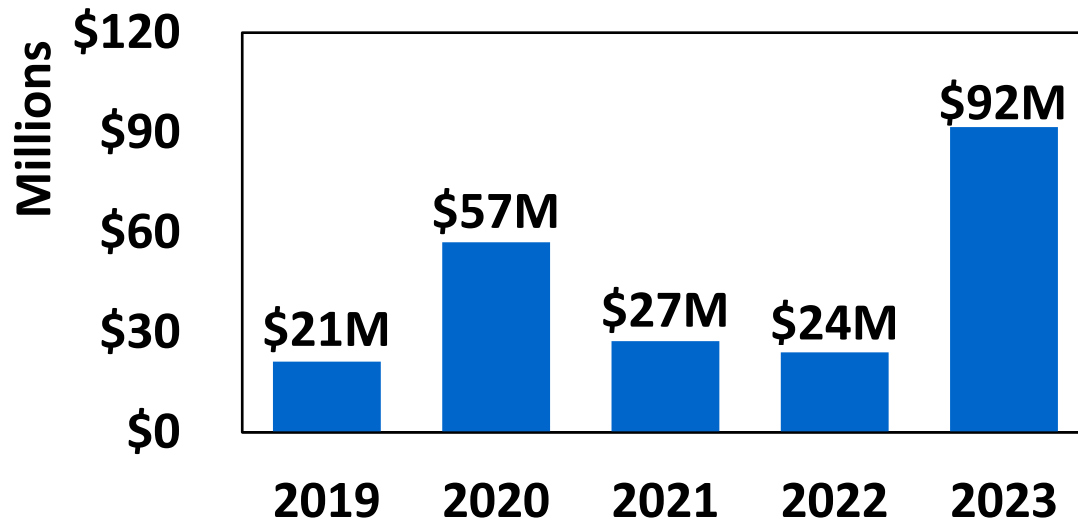
MU



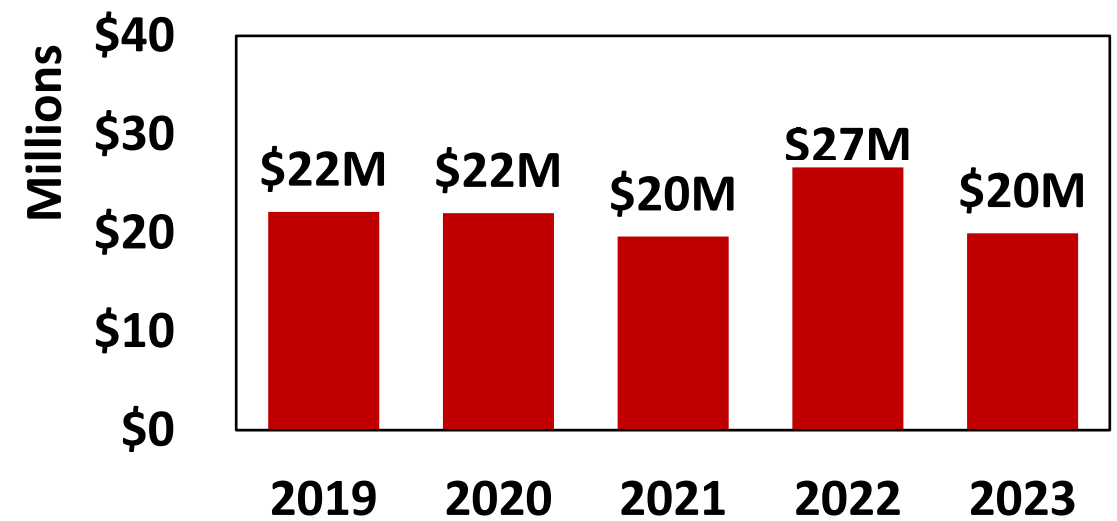
S&T



UMKC



UMSL



UM Leadership Appointments



Paul Litton

*Dean, School of Law and
R.B. Price Professor of Law*



Lori Popejoy

*Dean, Sinclair School of
Nursing*



Balaji Rajagopalan

*Dean, Robert J. Trulaske,
Sr. College of Business*



Sara Helfrich

*Dean, School of Education,
Social Work, and
Psychological Science*



Joy Roberts

*Dean, School of Nursing
& Health Sciences*



Daniel Reardon

*Vice Provost of
Undergraduate Education*



Judith Lewis

*Interim Dean,
College of Nursing*



Jessica Long-Pease

*Vice Provost for
Student Affairs*



University of Missouri System

COLUMBIA | KANSAS CITY | ROLLA | ST. LOUIS

REVIEW CONSENT AGENDA

There are no materials for this information item.

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 20, 2023 Board of Curators Meeting
- B. Minutes, April 20, 2023 Board of Curators Committee Meetings
- C. Minutes, May 18, 2023 Board of Curators Special Meeting and Committee Meetings
- D. Minutes, May 24, 2023 Board of Curators Special Meeting
- E. Degrees, Summer Semester 2023 for all campuses
- F. Amendment, Collected Rule and Regulation 300.030, Faculty Bylaws of Missouri University of Science and Technology

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

Curator Blitz
Curator Brncic
Curator Fry
Curator Graves
Curator Holloway
Curator Layman
Curator Sinuefield
Curator Wenneker
Curator Williams

The motion _____.

Consent A

Recommended Action - Minutes, April 20, 2023 Board of Curators Meeting

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the April 20, 2023 Board of Curators meeting be approved as presented.

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

Curator Blitz

Curator Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

The motion _____.

June 29, 2023

Consent B

Recommended Action - Minutes, April 20, 2023 Board of Curators Committee Meetings

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the April 20, 2023 Board of Curators committee meetings be approved as presented.

Roll call vote:

YES

NO

Curator Blitz

Curator Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

The motion _____.

June 29, 2023

Consent C

Recommended Action - Minutes, May 18, 2023 Board of Curators Special Meeting

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the May 18, 2023 Board of Curators special meeting and committee meeting be approved as presented.

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

Curator Blitz

Curator Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

The motion _____.

June 29, 2023

Consent D

Recommended Action - Minutes, May 24, 2023 Board of Curators Special Meeting Minutes

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the May 24, 2023 Board of Curators Special meeting be approved as presented.

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

Curator Blitz

Curator Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

The motion _____.

June 29, 2023

Consent E

Recommended Action – Approval of Degrees, Summer Semester 2023, 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 2023, 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 Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

The motion_____.

Executive Summary

Corrective Amendments to CRR 300.030, Faculty Bylaws of the Missouri University of Science and Technology

The proposed modifications to the Missouri S&T Faculty Bylaws (CRR 300.030) are intended to correct the version of the rule approved at the April 20, 2023 Board of Curators meeting to align with the language of the bylaws as adopted by the S&T Faculty Senate. The corrective amendment includes:

- Modifications to Section D.1.b to clarify the processes and procedures related to the reorganization of academic departments.
- Modifications to Section D.2.e to clarify the scope of special interdisciplinary academic programs.
- Minor corrections to provisions related to the Public Occasions Committee; the Rules, Procedures and Agenda Committee; the Student Affairs Committee; and the Tenure Policy Committee.

These corrections have been reviewed and approved by Missouri S&T faculty Senate leaders and the S&T Provost and Chancellor. Members of the Academic, Student Affairs, Research and Economic Development Committee were briefed on the corrections and agreed to have the item placed on the consent agenda.

Consent F

Recommended Action – Revisions to Collected Rules and Regulations 300.030,
Faculty Bylaws of the Missouri University of Science and
Technology

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

that Collected Rules and Regulations, Section 300.030, Faculty Bylaws of the
Missouri University of Science and Technology, be revised as attached.

Roll call vote of Board:

YES

NO

Curator Blitz

Curator Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

The motion _____.

Chapter 300: Faculty Bylaws

300.030 Faculty Bylaws of the Missouri University of Science and Technology

Bd. Min. 6-25-71, p. 35,936; Amended Bd. Min. 10-12-73, p. 36,845; Bd. Min. 10-31-75, p. 37,462; Bd. Min. 11-13-81, 5-7-82 & 6-22-84; Bd. Min. 6-13-86; Bd. Min. 6-24-88; Bd. Min. 6-23-89; Bd. Min. 10-13-89; Bd. Min. 8-3-90, 7-30-92; Amended Bd. Min. 3-20-97; Bd. Min. 3-22-02; Bd. Min. 10-16-03; Bd. Min. 11-29-07; Bd. Min. 1-29-10; Bd. Min. 4.11.19; Amended Bd. Min. 4-20-23; Amended Bd. Min. 6-29-23

- A. **Preamble** The faculty of the Missouri University of Science and Technology in order to facilitate communications and to provide for effective academic governance, for participation in decision making, and for shared responsibility in academic affairs, do establish and subscribe to these Bylaws.
- B. **Executive Authority**
 - 1. **University**—The President of the University of Missouri is its chief executive and academic officer.
 - 2. **Campus**—The Chancellor of the Missouri University of Science and Technology is the chief executive and academic officer of the campus. The Provost is the executive officer for academic affairs.
- C. **General Faculty**
 - 1. **Membership**—The General Faculty of the Missouri University of Science and Technology consists of all tenured, tenure-track, and ranked non-tenure track full-time faculty members, the President, the Chancellor, the Vice-Chancellor of Graduate Studies and Research, the Provost, the Vice-Provost and Dean of each college, the Registrar, the Dean of the Library, and any other person who may be elected by a two-thirds majority vote of the General Faculty. Voting members of the General Faculty are the full time tenured and tenure-track faculty of the Missouri University of Science and Technology. All members of the General Faculty have the right to participate in discussions.
 - 2. **Duties, Powers, Responsibilities & Privileges**—The primary functions of the faculty are education, research, and service. The responsibilities and duties of the faculty are those derived from its authority to organize as granted by the Board of Curators. It shall have such other authority as delegated to it by the President and/or the Chancellor. The General Faculty is responsible for academic programs concerning the Missouri University of Science and Technology or those involving more than one Department, and for matters affecting the welfare of the institution, including but not limited to: academic standards and courses of instruction; and general standards to be met by educational, research, and service programs. Participatory authority and functions of the faculty are expressed through faculty involvement in the campus committee structure including those committees which govern academic and administrative matters affecting the campus, faculty and

students. The faculty participates in the selection of administrative officers. The faculty participates in the monitoring of administrative and academic operating procedures. The faculty may make recommendations to the Chancellor on: institutional facilities, personnel and resources, professional standards, employment qualifications, tenure, promotion, salary, retirement, and other factors affecting faculty morale and welfare; and student affairs including health, welfare, conduct, and morale of the students.

3. **Faculty Rights**

- a) **Academic Rights**—Each faculty member has the right to freedom of inquiry, discourse, teaching, research and publication, as well as the responsibilities correlative with this right (as prescribed by The University of Missouri Board of Curators Collected Rules and Regulations).
- b) **Civil Rights**—Faculty members are not required to relinquish any of their constitutional rights (as prescribed by The University of Missouri Board of Curators Collected Rules and Regulations).
- c) **Employment Rights**—Faculty members shall have rights consistent with their continuous appointment or term appointment (during the term), except for cause, retirement or financial exigencies (as stated in The Curators of the University of Missouri Collected Rules and Regulations).
- d) **Notification of Appointment**—Faculty members shall be notified of their appointments promptly (as stated in The Curators of the University of Missouri Collected Rules and Regulations).
- e) **Right to be Kept Informed**—The faculty shall be kept informed of actions and activities of committees and the executive officers of the General Faculty, and of other occurrences that pertain to the Missouri University of Science and Technology. Where possible such information shall be made available to the faculty before being made available to the general public.

4. **Officers of the General Faculty**—The officers of the General Faculty shall consist of the President of the University, the Chancellor, the President of the Faculty Senate, a Secretary, and a Parliamentarian.

- a) **Chancellor**—The Chancellor of the Missouri University of Science and Technology is the presiding officer of the General Faculty. The Chancellor presides at meetings of the General Faculty but may extend this right to the President of the University when present.
- b) **President**—The President of the Faculty Senate presides at meetings of the General Faculty in the absence of or at the discretion of the Chancellor.
- c) **Secretary**—The Secretary is appointed by the Chancellor and need not be a member of the General Faculty. The Secretary keeps minutes of the proceedings of the General Faculty meetings. The Secretary is

- required to distribute an agenda prior to each meeting, and the minutes after each meeting, to all members of the General Faculty.
- d) **Parliamentarian**—The Parliamentarian is appointed by the Chancellor and must be a member of the General Faculty.
5. **Meetings**—All meetings are called by the Chancellor. A quorum shall consist of ten (10) percent of the voting members when business described in the published agenda is being considered and fifty (50) percent of the voting members when other items of business are being considered.
- a) **Regular Meetings**—There shall be at least three (3) regular meetings of the General Faculty each academic year.
 - b) **Special Meetings**
 - (1) Special meetings are called upon the request of the President of the University; of the Chancellor; of the Faculty Senate; and by written petition of five (5) percent of the members of the General Faculty.
 - (2) All Special Meetings shall be called within ten (10) school days after the request is presented to the Chancellor.
 - (3) Only topics designated in the call for a Special Meeting may be discussed or acted upon at said meeting.
 - c) **Notice of Meetings**—Notice of all meetings of the General Faculty shall be sent to each member of the General Faculty at least five (5) school days prior to the meeting. Such notice includes the agenda for the meeting.
 - d) **Restriction on Voting at Regular Meetings**—In general, business coming before the General Faculty for action at a regular meeting shall be placed on the agenda before coming to a vote. Any other matters may be placed before the General Faculty and acted upon at a regular meeting without being placed on the agenda, unless five (5) voting members of the General Faculty request a delay. If such a request for delay is presented, the presiding officer shall delay the vote until the next regular meeting of the General Faculty at which time the matter will automatically be placed on the agenda, unless the matter has been acted upon at a special meeting before the next regular meeting is held.
 - e) **Minutes of Meetings**—Minutes of all General Faculty meetings will be distributed by the Secretary to all members of the General Faculty within ten (10) school days after the meeting.
 - f) **Rules of Order**—Unless otherwise addressed in these bylaws, meetings of the General Faculty are conducted in accordance with Robert's Rules of Order.
- D. **Faculty Organizations**—The primary functional unit of the faculty is the Department. For its governing purposes the faculty is further organized into the General Faculty, the Graduate Faculty, the Faculty Senate, Standing Committees, Judicial Committees, and Special Programs.

1. Departments

a) **Organization and Membership**

(1) Departments are the primary functional units of the campus. The program of a department is conducted by its faculty through the chairperson, who has general responsibility over the department. The chairperson shall act as the administrative representative of the department in its official relations with the University.

(2) Members of the department are those members of the faculty who hold the rank of Instructor or above in the department, and such other persons who teach in or conduct research in the department structure and are accepted by a majority vote of the department members.

(3) Academic departments are those that are responsible to conduct teaching, research, and service on behalf of the University.

b) **Academic Department Reorganization**

(1) There shall be a process followed for academic unit reorganization. Unit(s) in this document shall refer to college, department, program, or special programs as defined in the Missouri University of Science and Technology Faculty Bylaws. (2) Affected unit(s) shall refer to the academic department(s) considered in a reorganization, which could vary in number and that would be reorganized as a result of this process.

(3) There shall be separate procedures for reorganization of departments as defined in b(1) above where the Faculty/Units or the Administration are the impetus for the change. Administration refers to Chancellor, Provost, or Vice-Provost and Dean.

(4) The process shall be agreed upon by the Chancellor, Provost, Vice-Provost and Deans, and Faculty Senate.

c) **Operation and Meetings**

(1) Department meetings are held throughout the academic year and are conducted according to democratic procedures. All matters concerning the department are open to discussion.

(2) When a department position is to be filled, knowledge of the qualifications of the applicants is to be made available to the department members. Their opinions on the choice of candidates shall be sought by the chair before final recommendations for appointment are submitted.

d) **Responsibility and Authority**

(1) Faculty members direct and perform the work of instruction, coordinate and conduct research within the department, and provide service within the University, to the academic community, and to the public.

(2) Faculty members are also concerned about the internal administration of the department and should be kept fully informed

consistent with Section 20.110 of The Curators of the University of Missouri Collected Rules and Regulations about all matters related to the department excepting only matters that are explicitly protected by written university policy, or confidentiality, or privacy laws that prevent disclosure.

(3) Proposals for changes in curriculum or courses may be initiated by the department and submitted to the Curricula Committee.

(4) Each department, acting in accordance with the Collected Rules and Regulations established by the Board of Curators and Campus Policies, shall have delegated directly to it by the General Faculty jurisdiction over matters primarily of interest only to that department. This includes but is not limited to: entrance requirements for degree programs; the curricula of the department; action concerning petitions for changes in prescribed courses of study presented by individual students enrolled in the department; decisions concerning the scholastic standing of students enrolled in the department; recommendations to the General Faculty concerning the granting of degrees to students enrolled in the department; and primary responsibility for maintaining and improving the academic excellence of the department.

(5) All academic coursework shall be offered by departments, with the exception of courses offered through Special Programs.

2. **Special Programs**

- a) **Definition of Special Programs.** Special Programs are academic programs that are highly interdisciplinary, or for some other reason may not readily conform to the Department structure.
- b) **Creation of Special Programs.** The Provost may propose, with the appropriate academic rationale and suggested structure, that a Special Program be formed or an existing Special Program be changed. The Provost forwards the proposed program, or changes to an existing program, with his/her recommendations, and the suggested constituencies from which the Program Representatives will be drawn, to the Faculty Senate for approval.
- c) **Governance of Special Programs.** Each Special Program will be governed by a Board of Program Representatives. The mechanism for selection of the Program Representatives must be delineated in the Special Program proposal from full time, ranked, faculty – to be elected by and from the faculty of the participating Academic Departments. The election of Program Representatives shall be conducted by the Provost, or his/her designee. The Provost will inform the Faculty Senate of the composition of the Program Representatives upon initial creation of the Program, and annually thereafter.

- d) **Program Leader.** The Program Representatives shall normally select a Program Leader from their ranks. The Program Leader is authorized, upon a vote of the Program Representatives, to submit curricula changes to the Provost, then the Campus Curricula Committee and then the Faculty Senate for approval. The Program Leader may act as the approval authority for items within the purview of the Program.
- e) **Scope of Special Programs.** Special Programs shall not duplicate, or infringe, on Academic Department responsibilities. Special Programs shall not offer Bachelors, Masters, Ph.D., or Eng.D. degrees, but may offer Certificates, Minors, or other acknowledgements of a student's participation in a Special Program.
- f) **Modification and Deletion of Special Programs.** Requests to alter the number of Program Representatives, method of selection of Program Representatives, or the Academic Departments that they represent, must be approved by both the Provost and the Faculty Senate. Elimination of a Special Program also requires the approval of the Provost and Faculty Senate.

3. Graduate Faculty

- a) **Responsibility and Authority**—The Graduate Faculty is responsible for maintaining an environment that will encourage the pursuit of scholarly work beyond the Bachelor's degree and for implementing the policies of the Board of Curators in the administration of graduate studies at Missouri S&T.
- b) **Membership and Activities**—Rules regarding membership, activities, and subcommittees of the Graduate Faculty are established by the Rules and Regulations of the Graduate Faculty.

4. Faculty Senate

- a) **Authority and Responsibility**—The Faculty Senate is the legislative and policy-making body of the General Faculty. It carries out the responsibilities of the Faculty (see above: §C.2) not specifically reserved to the General Faculty and shall consider all matters referred to it by the Board of Curators, the President of the University, the Chancellor, and the individual faculty members. The Faculty Senate, as the primary representative faculty voice, shall advise the administration and the faculty on the implementation of policies concerning the educational and research operations of the campus and other matters affecting the welfare of the campus, the faculty and the students.
- b) **Membership and Voting Rights**
 - (1) Members of the Faculty Senate are elected during the second semester of the academic year, and serve from August 1 until the end of their term.
 - (2) Faculty representatives are elected from and by each department as follows: each department elects one representative for the first

ten (10), or fraction thereof, full-time faculty members in that department, and an additional representative for each additional ten (10) full-time faculty members in that department, rounded off to the nearest ten (10) faculty members, with five (5) being rounded upward.

(3) Ex officio non-voting members of the Faculty Senate consist of the Officers of the Faculty Senate (as described in in §D.4.c. below) as described elsewhere in these Bylaws, the President of the University, the Chancellor, the Provost, the Vice Provost and Dean of the Colleges, the Registrar, the Staff Council President, the Student Council President and Vice President, and the Council of Graduate Students President. Faculty Senate officers who are also elected departmental representatives will retain their voting rights. However, the chairperson of the Faculty Senate meeting normally does not vote at meetings unless required to break a tie.

(4) All members of the General Faculty are eligible to vote for, be elected to, and serve on the Faculty Senate.

(5) Terms of Office

(a) Departmental representatives serve two-year (2-year) terms. Any departmental representative unable to serve during a given semester may be replaced by special election in the department. The elected replacement either finishes the original term or serves for the semester in question, at the discretion of the department.

(b) Departmental representatives are permitted to allow a proxy member of their department to serve in their stead should they need to miss a meeting.

(c) Student members are selected to a 1-year term.

- c) **Officers of the Faculty Senate**—The officers of the Faculty Senate consist of a Past President, the President, the President-Elect, the Parliamentarian, and the Secretary, all of whom must be members of the General Faculty. Department chairs and other persons who devote 50% or more of their time to administrative duties shall not be eligible to serve as Faculty Senate Officers. The new officers are elected annually. The election is held during the last regular meeting of the second semester of the academic year, and officers begin their duties August 1.

(1) The President presides at the meetings of the Faculty Senate. The President is the official spokesperson of the Faculty Senate and maintains open communications with the faculty, administration, staff, and students. The President is responsible for supervising all authority delegated by the Faculty Senate and for executing the decisions made by the Faculty Senate.

(2) The President-Elect serves in the capacity of the President during the latter's absence, or upon the President's request.

The President-Elect is also an assistant to the President.

(3) The Parliamentarian makes recommendations to the President (or his/her/their delegate) on questions of parliamentary procedure for the Faculty Senate.

(4) The Secretary is responsible for all records, minutes, resolutions, and correspondence of the Faculty Senate. The Secretary supervises the publications of the agenda and the minutes of the meetings. The minutes shall be distributed by the Secretary of the Faculty Senate to all members of the General Faculty within ten (10) school days after the meeting.

d) **Meetings and Rules of Order**

(1) The Faculty Senate meets on Thursdays (determined by the Faculty Senate) at 2:00 p.m., at least three times each semester and once during the summer term. Faculty Senate members shall be relieved from other time-conflicting duties, and this time is considered to be a part of their full-time effort.

(2) The agenda of the Faculty Senate meetings is distributed to all faculty members no later than 5 school days in advance of the meetings.

(3) Meetings of the Faculty Senate are conducted in accordance with Robert's Rules of Order. Should a conflict arise among Robert's Rules of Order, the Faculty Bylaws of the General Faculty, and the Procedural and general Resolutions for the Faculty Senate and General Faculty, the order of precedence shall be firstly The Curators of the University of Missouri Collected Rules and Regulations, secondly the Faculty Bylaws, thirdly the Procedural and general Resolutions for the Faculty Senate and General Faculty, and finally Robert's Rules of Order.

(4) Faculty Senate meetings are open to the public except as prohibited by law, but only the Senators are entitled to vote.

(5) Two-thirds of the voting membership of the Faculty Senate constitutes a quorum.

(6) A session of the Faculty Senate is defined as meetings occurring between 1 August and 31 July of the academic year.

(7) The effective date of all actions is thirty (30) days after the action has been communicated to the faculty, unless four-fifths of the Faculty Senate members approve a motion that an action become effective immediately or unless action to veto or amend is initiated by the General Faculty within the thirty (30) day period. No action taken by the Faculty Senate shall be implemented prior to its certification at a meeting of the General Faculty if a petition to veto or to amend such action is submitted to the Chancellor by more than ten (10) percent of the members of the General Faculty.

- e) **Special Meetings**—Special Meetings are to be called upon the request of the President of the University; the Chancellor; the President of the Faculty Senate; or, by written petition of five percent (5%) of the Senators of the Faculty Senate. (1) All special meetings shall be called within ten (10) school days after the request is presented to the President of the Faculty Senate. (2) Only topics designated in the call for a special meeting may be discussed or acted upon at said meeting.
- f) **Electronic Voting**— Electronic voting on issues that do not require significant discussion is permitted by the approval of a majority of the Faculty Senate officers. Voting may be done by E-mail, online survey, or other tool deemed appropriate by the officers and these actions are to be included in the minutes of the next scheduled meeting. All electronic ballots shall keep voting open for at least one (1) week or until a majority decision of all Senators is obtained. If within that time, ten percent (10%) of the Senators object to the electronic vote to the President of the Faculty Senate, the electronic vote shall be cancelled and the issue referred to an in-person faculty senate meeting.
- g) **Delegation of Authority**
 - (1) Since the authority of the Faculty Senate is delegated to it by the General Faculty, the actions and policies enacted by the Senate are subject to over-rule by the General Faculty.
 - (2) All authority delegated by the Faculty Senate to committees or individuals is subject to change or over-rule by the Faculty Senate.
 - (3) Standing Committees of the General Faculty shall report to the Faculty Senate at regular meetings upon one week's notification by the President or President-Elect of the Faculty Senate.

5. Standing Committees:

- a) Each standing Committee formulates and recommends actions and policies related to the scope of their mandated areas. Authority to act is limited to the specific mandates for which this power is delegated in the following sections of these Bylaws or by the functions prescribed by The Curators of the University of Missouri Collected Rules and Regulations.
- b) Standing committees report to and through the Faculty Senate unless otherwise provided for in these Bylaws.
- c) A faculty member shall concurrently serve on no more than two (2) Standing Committees, excluding the Rules, Procedures and Agenda (RP&A) Committee. If any department lacks sufficient faculty members for representation on all Faculty Senate committees, that department may select representatives to serve on committees of its choice until such time as the number of faculty members increases to the point where the department can be represented on all committees.

- d) All full- or part-time students in good standing are eligible to serve on standing committees that include one (1) or more student members.
- e) The Chancellor may appoint one non-voting member to any standing committee, for a one-year (1-year) term.
- f) Chairs of standing committees shall be tenured faculty. Department chairs, and other persons who devote 50% or more of their time to administrative duties shall not be eligible to serve as standing committee chairs. Standing committee chairpersons shall be elected annually, from and by the membership of the standing committee, unless otherwise provided for in these Bylaws.
- g) For each academic year, the membership and chair of each standing committee should be finalized by April 30 of the previous academic year. Standing Committees will be responsible for their duties from August 1 through July 31 of the following year.
- h) The Rules, Procedures and Agenda (RP&A) Committee has the authority to call a meeting of any standing committee. Upon a determination by the RP&A that a standing committee is not acting in a timely manner to resolve an issue to which it has been referred to address, the RP&A can call a meeting of the committee and appoint an ad hoc chair for that meeting.
- i) Judicial Committees are not subject to the provisions applicable to Standing Committees.

6. Faculty Standing Committees

- a) **Academic Freedom and Standards Committee (AF&SC)**
 - (1) This committee is concerned with the academic freedom of faculty and promoting academic excellence. It recommends and reviews policies concerning requirements for admission, graduation and academic standards.
 - (2) Each department may nominate one faculty member for service on the Academic Freedom and Standards Committee. The Faculty Senate will select from these nominees eight (8) faculty members to serve on the committee. Faculty members serve a two-year (2-year) term with approximately one half elected each year.
- b) **Administrative Review Committee (ARC)**
 - (1) This committee sets policies and procedures for reviews of campus administrators ranking from Chancellor to Department Chair. The committee recommends the evaluation questionnaires and a plan/schedule for conducting reviews to the Faculty Senate. The committee conducts the reviews; oversees the sending of the evaluation forms to the evaluating persons; oversees the collection and collation of the resulting evaluations; and, along with the officers of the Faculty Senate, reviews and forwards the results of the evaluation to the Faculty Senate and the supervisors of the individual evaluated.

(2) The committee consists of six (6) representatives nominated by the Rules, Procedures and Agenda Committee (with the possibility of nominations from the floor) and elected by a vote of the Faculty Senate. Committee members serve for two (2) years, terms to be staggered with the election of three (3) faculty members each year, and shall be full-time, tenured faculty members with an administrative component of 50% or less.

c) **Budgetary Affairs Committee (BAC)**

(1) This committee makes recommendations to the Faculty Senate, the Chancellor and the Vice-Chancellor of Finance and Operations or the equivalent administrative office on matters concerning the long-range vision of the campus; plans to fulfill this vision; and budgetary matters as a consequence of the vision. These recommendations include, but are not limited to: all matters of a budgetary nature; and policies and priorities for strategic and tactical plans with goals of teamwork, fiscal transparency and shared governance. The committee studies the Campus budget, keeps informed of its preparation and status, and consults with and advises the Chancellor on all matters pertaining to budgetary affairs.

(2) Each department may nominate one faculty member for service on the Budgetary Affairs Committee. The committee consists of two (2) faculty members elected from and by the Faculty Senate, four (4) elected by the Faculty Senate from the Department nominations, two from and by the Graduate Faculty, one (1) student chosen by the Student Council, and one (1) administrative member appointed by the Chancellor. Elected members serve for a two-year (2-year) term, one half being elected each year.

d) **Campus Curricula Committee (CCC)**

(1) This committee acts as an advisor and coordinator in regard to the disciplinary appropriateness and quality of curricular proposals, policies, and all course offerings. Proposals for curricula and course changes shall be submitted to the CCC via the Discipline-Specific Curricula Committee (DSCC) associated with the proposal. The DSCC recommendations shall be submitted with the proposal. Special Programs are not normally associated with a DSCC, and may submit proposals directly to the Campus Curricula Committee. Within 10 school days after receipt of the proposal, the CCC shall distribute copies to all departments via their DSCC representatives. Counter proposals submitted to the committee by the departmental representative of the concerned department should be considered when the original proposals are discussed. The recommendation of the committee shall be forwarded to the Faculty Senate for appropriate action.

(2) The CCC will submit proposals for new graduate programs or any

changes to existing graduate programs to the Graduate Faculty committee for approval prior to being considered by the Faculty Senate.

(3) The committee consists of representatives from the Faculty Senate, Graduate Faculty committee and DSCC committees. Two (2) faculty members will be elected from and by the Faculty Senate, each serving a two-year (2-year) term. The Senate will attempt to stagger the terms of the representatives. The Curricula Committee of the Graduate Faculty Committee will elect one (1) representative to serve a two-year (2-year) term. The program leader of each DSCC will be an ex-officio, voting, member of the CCC.

e) **Committee for Effective Teaching (CET)**

(1) This committee makes recommendations to the Faculty Senate and the Provost, regarding the instruments to be used for evaluations of teaching, the procedures for conducting these evaluations, and policies related to the public disclosure of the evaluation results. The scope of the committee's responsibilities includes evaluation of all aspects of teaching in courses providing academic credit.

(2) In addition to student evaluations, the committee is to consider alternate methods of evaluating teaching, may suggest methods and programs for improving teaching, and makes recommendations on the selection process and criteria for campus-wide teaching awards.

(3) The committee consists of one (1) faculty member, elected from, and by, each department desiring representation, one (1) student selected by the Student Council, and one (1) graduate student selected by the Council of Graduate Students. Faculty representatives serve three-year (3-year) terms, and students serve a one (1) year term. In addition, the Provost may appoint up to three (3) non-voting members to this committee.

f) **Discipline-Specific Curricula Committee (DSCC)**

(1) A DSCCs assists in coordinating curricular proposals generated by the degree programs as specified in the charter of that DSCC.

(2) The Provost may propose, with appropriate academic rationale and suggested structure, changes to the DSCC(s). The Provost forwards the proposals with his/her recommendations, and the suggested constituencies from which the committee members will be drawn by the following rules, to the Faculty Senate for approval.

(a) Every DSCC shall be identified by a discipline name.

(b) Every degree program shall be associated with one, and only one, DSCC. These associations will be stated in the charter of each DSCC, and may be altered only with the approval of the Provost and the Faculty Senate.

(c) Each DSCC program leader shall serve a (1) one-year term, and

be elected from, and by, its members. Each DSCC program leader shall serve as a voting member of the CCC.

g) **Environmental Health, Safety, and Security Committee (EHSS)**

(1) This committee reviews and makes recommendations to the Faculty Senate, the Chief of Police, and appropriate administrative officials concerning policies, priorities, and training related to environmental health, safety, and physical security on campus.

(2) The voting members of the committee consist of one (1) person elected from each academic department desiring representation, two (2) representatives of the Department of Environmental Health and Safety, the Chief of Campus Police or his/her appointee, one (1) administrative member appointed by the Vice Chancellor for Finance and Operations, one (1) student selected by the Student Council, one (1) graduate student selected by the Council of Graduate Students, and one (1) representative of Staff Council. In addition, the Provost may appoint one (1) non-voting member to this committee. Department representatives serve for a two-year (2-year) term with approximately one third elected each year. The remaining committee members shall be elected, or appointed, annually.

(3) The chairperson of the committee is elected by and from the committee's voting membership. The chairperson should work closely with the Environmental Health and Safety and Campus Police departments to keep the committee and campus constituents abreast of both acute and long-term issues facing the university.

h) **Facilities Planning Committee (FPC)**

(1) This committee studies and makes recommendations to the Faculty Senate and appropriate administrative official(s) concerning policies and priorities for physical facilities, including buildings, equipment, and land acquisition and use. The committee also makes recommendations to the Faculty Senate on policies pertaining to parking, security, traffic and matters affecting campus safety.

(2) Each Department may nominate one (1) faculty member for service on the Facilities Planning Committee. The committee shall consist of three (3) faculty members elected from and by the Faculty Senate; four (4) members elected by the Faculty Senate from a list of departmental nominees; one (1) administrative member appointed by the Chancellor, one (1) student selected by the Student Council, one (1) graduate student selected by the Council of Graduate Students, and one (1) non-voting member selected by the Chief Information Officer. Each faculty member shall serve for a two-year (2-year) term with approximately one-half of the faculty membership to be selected each year. The remaining committee members shall be elected, or appointed, annually.

i) **Honorary Degrees Committee (HDC)**

(1) This committee meets at least annually, and reviews current and previous recommendations from the Campus for honorary degrees. The committee shall submit its recommendations first to the Faculty Senate and then to the Chancellor. After appropriate review by the Chancellor, recommendations are forwarded to the University of Missouri (UM) System Honors Committee. All names shall be held in strict confidence, with public announcements to be made only by the University of Missouri Board of Curators or the Chancellor.

(2) Each Department may nominate one (1) faculty member for service on the Honorary Degrees committee. The committee consists of the Provost and four (4) members elected by the Faculty Senate from the list of department nominees. Elected committee members serve one-year (1-year) terms.

j) **Information Technology / Computing Committee (ITCC)**

(1) This committee advises the Provost and the Chief Information Officer on the formulation and implementation of information technology (IT) and computing activities on campus. These activities include but are not limited to networking, email, academic computing, electronic data bases, web publishing, distance learning, electronic classrooms, academic software and procurement of equipment for faculty, student and staff desktops and campus IT/computing facilities.

(2) The voting members of the committee consist of one (1) person elected from each academic department desiring representation, the Director of the Library or his/her appointee, two students selected by the Student Council, and one graduate student selected by the Council of Graduate Students. The non-voting members of the committee include the Provost, the Vice Chancellor for Finance and Operations and the Chief Information Officer. Department representatives serve for a three-year (3-year) term with approximately one third elected each year. The representative of the library serves for a three-year (3-year) term, while students serve for one year.

k) **Intellectual Property Committee (IPC)**

(1) This committee, in conjunction with Technology Transfer and Economic Development, is concerned with the formulation and implementation of policies and procedures related to intellectual property. It reviews and makes recommendations to the Faculty Senate, Chancellor and Provost on patent and copyright matters.

(2) The committee consists of seven (7) members of which six (6) are faculty members elected by the Faculty Senate and one (1) is an administrative member appointed annually by the Provost, which can be the Director of Technology Transfer and Economic

Development or its proxy. The faculty members shall serve for two (2) years with three (3) members elected each year. The committee shall be chaired by a faculty member. Priority for nominated members should be those with patent and/or copyright experience and appropriate representation from engineering, liberal arts, management and science academic departments.

l) **Intercampus Faculty Cabinet**

(1) IFC is a University of Missouri System Faculty Cabinet comprised of faculty representatives from each of the U.M. System campuses that serves as a liaison committee between the President and his staff and the four campus faculties.

(2) Membership of this committee is comprised of the Past President, President, and President-Elect of the Faculty Senate. In the event that one of these officers cannot serve on the IFC, the Faculty Senate will elect the replacement campus representative for a one (1) year term.

m) **Library and Learning Resources Committee (LLRC)**

(1) This committee makes recommendations to the Faculty Senate and appropriate administrative officials with respect to the administration of the Library and Learning Resources facilities and on rules governing use by students, faculty, and others. It shall consider all problems concerning the operation of the Library and its facilities.

(2) Each Department may nominate one (1) faculty member for service on the Library and Learning Resources Committee. The committee consists of eight (8) elected by the Faculty Senate from the list of department nominees with each faculty member serving a two-year (2-year) term with approximately one half to be elected each year; one graduate student selected by the Council of Graduate Students and one undergraduate student to be selected by the Student Council and the Dean of the Library.

n) **Personnel Committee (PC)**

(1) This committee recommends to the Faculty Senate general policies on the conditions of appointment, employment, compensation, and retirement of faculty and administrative officers. It also recommends reporting schemes and procedures regarding the annual salary and wage raise pool.

(2) Each Department may nominate one faculty member for service on the Personnel Committee. The committee consists of two faculty members elected from and by the Faculty Senate, four (4) elected by the Faculty Senate from the list of department nominees, one (1) faculty member elected from and by the Graduate Faculty, one (1) faculty member selected by the Staff Council, and one (1) administrative member appointed by the Chancellor. Elected

members serve a two-year (2-year) term with approximately one half elected each year.

o) **Public Occasions Committee (POC)**

(1) This committee makes general plans for University-sponsored assemblies, programs and public occasions such as Open House Days, Homecoming, and Commencement. It recommends policy for faculty and student programs, guest speakers and ad hoc events. It also supervises the academic calendar.

(2) The committee consists of six (6) faculty members elected from and by the General Faculty, one administrator appointed by the Chancellor, three (3) students selected by the Student Council, and one (1) student selected by the Council of Graduate Students. Faculty members shall serve for a two-year (2-year) term with one half elected each year.

(3) The Commencement subcommittee of the POC is charged with planning and overseeing the implementation of plans for Commencement ceremonies and other events related to Commencement. This subcommittee is appointed with the authority of the Faculty Senate, given that its activities require assistance from individuals outside the POC. The subcommittee will report to the POC, and not directly to Faculty Senate. An annual report of activities of the Commencement subcommittee will be included in the annual report submitted by the POC.

(4) Two (2) members elected by and from the POC are to serve on the Commencement subcommittee. As is the norm for events within the jurisdiction of the POC, changes deemed significant, as determined by the two subcommittee members, to the form or function of the Commencement ceremonies are subject to approval by Faculty Senate.

p) **Rules, Procedures and Agenda Committee (RP&A)**

(1) This committee oversees the application of these Bylaws, any Rules and Regulations of bodies established by them, and the process of Bylaw amendment as described elsewhere in these Bylaws. It may investigate and make recommendations on procedure to the Faculty Senate.

(2) The committee is responsible for the conduct and supervision of Faculty Senate and General Faculty elections. It shall receive nominations from the faculty for elections, adding, but not deleting, names as necessary to provide candidates for all offices and committees and shall obtain the consent of all nominees. The committee shall also be responsible for submitting slates of candidates nominated for serving on the standing committees for Faculty Senate elections, appropriately distributed among the disciplines. In the event that nominations for committees from

departments are fewer than the number of positions to be filled, RP&A may add additional departmental nominees to fill the positions which would otherwise become vacant.

(3) It is the responsibility of this committee to prepare the agenda for Faculty Senate meetings and to assist the Secretary of the General Faculty in the preparation of the agenda for General Faculty meetings.

(4) The voting members of the committee consists of the Past President, the President, President-Elect, Secretary, and Parliamentarian of the Faculty Senate; one graduate student selected by the Council of Graduate Students; one student selected by the Student Council; and the chairs of the following standing committees: Academic Freedom and Standards, Budgetary Affairs, Curricula, Facilities Planning, Personnel, Student Affairs, and Tenure Policy. Other Faculty Standing Committee chairs are ex-officio non-voting members.

(5) The Past President officer of the Faculty Senate is the chairperson of RP&A. If the Past President is unable to serve, the Faculty Senate will elect a chairperson.

q) **Student Affairs Committee (SAC)**

(1) This committee makes recommendations to the Faculty Senate regarding relationships between students and Missouri S&T, including, but not limited to, the following: student-teacher relationships; student-administration relationships; scheduling of classes and examinations; budgeting and distribution of funds paid by students for student activities; rules and regulations pertaining to student housing, health and services for students, University counseling services, departmental advisement practices; rules and regulations pertaining to student organizations, including varsity and intramural athletics; oversight and discipline of student organizations, including review of all sanctions, withdrawals or denials; operations of the University Center; student publications; and civil rights of all students.

(2) Each department may nominate one (1) faculty member for service on the Student Affairs committee. The committee consists of four (4) faculty members elected by the Faculty Senate from the list of departmental nominees, one (1) faculty member elected by and from the Faculty Senate; four (4) students selected by the Student Council; and one (1) student selected by the Council of Graduate Students. The Director of Student Life, the Vice Chancellor for Student Affairs, and the Registrar are ex-officio non-voting members of the committee.

r) **Student Awards and Financial Aids Committee (SA&FAC)**

(1) This committee recommends policies regarding the administration of student awards and financial aids, including loans and scholarships, consistent with specifications of the respective donors and grantors. It shall be the duty of the committee to consider and rule on appeals that may be submitted by students regarding awards and financial aids.

(2) The committee consists of three (3) faculty members elected from and by the Faculty Senate, two (2) faculty members elected from and by the General Faculty, two (2) undergraduates selected by the Student Council, one (1) graduate student selected by the Council of Graduate Students, the Provost, the Director of Student Financial Aid, and such other appointees as the Chancellor names. Each member has voice and vote when considering new or revised policy. When considering student appeals, only the elected faculty members, the Provost and the Director of Student Financial Aid have voice and vote. At the request of the appealing student, the undergraduate members—for an undergraduate—or graduate student member—for graduate students—may participate with voice and vote. Faculty members are elected for two-year (2-year) terms; students are selected annually.

s) **Tenure Policy Committee (TPC)**

(1) This committee is concerned with the tenure rights of faculty. It functions according to the principles stated in the Academic Tenure Regulations adopted by the University of Missouri Board of Curators. It may also make recommendations for policy changes through the Faculty Senate to the Board of Curators. It also serves as the judicial hearing committee for cases of research dishonesty and make recommendations of Dismissal for Cause (section 310.060 of The Curators of the University of Missouri Collected Rules and Regulations) to the Provost.

(2) This committee consists of one (1) faculty member from each academic department whose faculty is eligible for tenure. The faculty of each academic department shall, during the second semester of each academic year, elect one of its eligible faculty members to membership on the TPC to serve for the following academic year, and also elect an alternate faculty member who shall serve whenever the regular committee member is unable to serve.

(3) Faculty members shall be elected from the eligible Professors on continuous appointment. If there are no eligible Professors within a department, then faculty members shall be elected from the eligible Associate Professors. Vice Provosts, department chairs, and other persons who devote 50% or more of their time to administrative duties shall not be eligible for membership on the TPC.

7. Judicial Committees

a) **Equity Resolution Hearing Panel (ERHP)**

(1) Per Chapter 600 of The Curators of the University of Missouri Collected Rules and Regulations, the Faculty Senate shall annually propose a list of twenty (20) faculty members to the Chancellor, from which ten (10) are selected by the Chancellor to serve in the panelist pool. The Chancellor also selects staff members to serve in the panelist pool. The University thereby creates and will annually train a pool of not less than ten (10) faculty and ten (10) administrators and/or staff to serve as hearing panel members in the Hearing Panel Resolution Process. Service in the panelist pool is a renewable one-year term.

(2) Hearing Panels at Missouri S&T will include at least one faculty member and one administrator or staff member. Up to two (2) alternates from the pool may be designated to observe the process and to serve as a panel member if a panel member becomes unavailable.

b) **Grievance Hearing Panel (GHP)**

(1) This panel is concerned with the fair and equitable resolutions of faculty grievances with the University. It functions according to the principles stated in the Academic Grievance Procedure (section 370.010) adopted by the University of Missouri Board of Curators. It may also make recommendations for policy changes through the Faculty Senate to the Board of Curators.

(2) The GRP is not involved in Equity Resolution Processes, which are covered under section 600 of The Curators of the University of Missouri Collected Rules and Regulations.

(3) One (1) panel or two (2) panels of two (2) faculty members are elected by the Faculty Senate from nominations from academic departments to three years renewable terms on a rotational schedule. Whether one (1) or two (2) panels are populated is subject to determination by majority vote of the Faculty Senate. .

c) **Grievance Oversight Committee (OC)**

(1) A member of the OC will be appointed to each grievance case following receipt of a Grievance Filing Form by the GRP. The OC representatives are observers of the confidential grievance processes: The OC representative may not participate in the deliberations or rendering of findings and recommendations by the GRP but provides a summative, evaluative report of each grievance process without conveying substantive information. The representatives also monitor the implementation of remedies that result from a grievance process.

(2) Three (3) members are elected to three year terms on a yearly, staggered basis by the Faculty Senate from departmental nominees.

(3) One (1) member is elected to OC from and by the Faculty Senate not as an oversight representative but rather to serve as the chairperson for the committee, who assigns members to grievances and who prepares the annual report to Faculty Senate as required by section 370.010 of The Curators of the University of Missouri Collected Rules and Regulations.

d) **Parking, Security and Traffic Committee (PS&T)**

(1) The committee oversees application of rules and regulations concerning parking and traffic. It functions according to the principles stated in The Curators of the University of Missouri Collected Rules and Regulations.

(2) Each Department may nominate one (1) faculty member for service on the Parking, Security and Traffic committee. The committee shall be composed of twelve (12) faculty members elected by the Faculty Senate from the list of department nominees for a two-year (2-year) term with one-half being elected each year, two (2) undergraduate students selected by the Student Council, one (1) graduate student selected by the Council of Graduate Students, one (1) member selected by the Staff Council, and one (1) member selected the Director of the Physical Plant. Student terms shall be for one (1) year. The Director of the University Police shall be a member ex-officio. Two (2) additional committee members may be appointed by the Chancellor.

(3) The PS&T shall elect one of the faculty committee members as chairperson for a one (1) year term.

e) **Student Conduct Committee (SCC)**

(1) This committee conducts hearings and makes dispositions under the Rules and Procedures in Student Conduct Matters as provided in Section 200.020 of The Curators of the University of Missouri Collected Rules and Regulations. It may also provide aggregate information regarding its decisions to the Faculty Senate, and make recommendations on policies relating to student discipline to the Faculty Senate for forwarding to the Board of Curators.

(2) The committee consists of members as prescribed by the Board of Curators. All members of the committee shall have the same voting privileges and responsibilities. Faculty members serve two-year (2-year) terms with approximately one half elected each year.

f) **Student Scholastic Appeals Committee (SSA)**

(1) This committee establishes procedures for individual student scholastic appeals. The committee shall consider and rule on all individual cases of appeal relating to student scholastic performance, including but not limited to: graduation with honors, probation and dropping from school, readmission after being dropped for scholastic reasons, scholastic deficiencies and

evaluation of credit and transfer of credits, grades and honor points from other campuses to Missouri S&T. It serves as an appeals board for cases of students on scholastic probation who are involved in the activities of organizations. (2) The committee shall consist of eight (8) members: three (3) faculty members are elected from and by the Faculty Senate; two (2) members are elected from and by the General Faculty; two (2) student members are selected by the Student Council; and one (1) student member is selected by the Council of Graduate Students. Faculty members serve a two-year (2-year) term with approximately one-half elected each year. Student members serve a one-year (1-year) term.

g) **Tuition and Residence Committee (TRC)**

(1) This committee assists the Cashier, when requested, in determining the residence status of a student relative to the required non-resident tuition fees established under the applicable regulations of the Board of Curators. The committee also considers properly filed appeals by students taking exception to the Cashier's ruling relative to their residence or tuition status. (2) This committee consists of three (3) faculty members and three (3) administrative members appointed for a one-year (1-year) term by the Chancellor, who shall designate one member as Chairperson.

8. Special Committees

- a) Special Committees addressing issues not presently in the purview of the Faculty Standing Committees or Judicial Committees may be authorized as needed by the Chancellor, the General Faculty, the Faculty Senate, the colleges, or departments. However, when the faculty or the administration establishes any committee having campus-wide responsibilities or authority, they shall file with the Secretary of the Faculty Senate a statement specifying the responsibilities, authority, and composition of the committee, timeline of authority for the committee, together with a list of current members.
- b) When deemed appropriate by the Chancellor, by the General Faculty, or by the Faculty Senate, reports of Special Committees shall be distributed to all members of the General Faculty. Each Special Committee shall prepare an annual report to be made available to all faculty members.
- c) Whenever possible, Special Committees shall be organized prior to September 1 and be responsible for their duties from August 1 through July 31 of the following year.

E. Student Regulations

1. The Student Council is the official voice for the undergraduate students to the Faculty; the Council of Graduate Students of the Missouri University of Science and Technology is the official voice for the graduate students.
2. Rules and disciplinary regulations, which apply to students, and the “University of Missouri Rules of Procedure in Student Disciplinary Matters” shall be printed in the “Manual of Information” and distributed to all students.
3. Student Participation in Academic Governance
 - a) Students shall be eligible to serve on the Faculty Senate and/or on committees as designated by these Bylaws.
 - b) Individual students and student organizations may recommend changes in policies governing students to the appropriate committee. These recommendations, when submitted in writing, must be considered promptly by the committee or referred to the RP&A for proper assignment, and the students kept informed in writing of the disposition of the recommendations.

F. Rules and Regulations—All committees and any other permanent body established by these Bylaws, shall make rules and regulations necessary for the successful operation of their organizations by at least a simple majority of the body. Copies shall be filed with the Secretary of the General Faculty for general availability.

G. Amending the Bylaws—Amendments may be proposed by twenty (20) faculty members of the General Faculty by submitting them to the Rules, Procedures, and Agenda Committee. This committee must transmit the proposal to the General Faculty within fifteen (15) school days and then include the proposal in the agenda of the next General Faculty meeting. Voting on the proposed amendment shall be by a mail ballot and shall take place within fifteen (15) school days after completion of its consideration at a meeting of the General Faculty. A two-thirds (2/3) majority of those voting shall be required for the adoption of the proposed amendment. If adopted, the amendment is presented by the Chancellor to the Board of Curators at their next meeting for consideration and will become effective immediately upon approval by the Board of Curators.

H. Publication of the Bylaws and Committee Membership—The Secretary of the General Faculty shall maintain, on a publicly accessible, open location (such as a world-wide web site), the current edition of these Bylaws, a list of the officers of the General Faculty, a list of the officers and members of the Faculty Senate, and the membership of all Standing and Judicial committees defined elsewhere in these Bylaws. The name, responsibilities, authority and current members of all other committees which have campus-wide responsibilities or authority will be similarly posted. The information shall be updated within thirty (30) days of any change in committee status.

Chapter 300: Faculty Bylaws

300.030 Faculty Bylaws of the Missouri University of Science and Technology

Bd. Min. 6-25-71, p. 35,936; Amended Bd. Min. 10-12-73, p. 36,845; Bd. Min. 10-31-75, p. 37,462; Bd. Min. 11-13-81, 5-7-82 & 6-22-84; Bd. Min. 6-13-86; Bd. Min. 6-24-88; Bd. Min. 6-23-89; Bd. Min. 10-13-89; Bd. Min. 8-3-90, 7-30-92; Amended Bd. Min. 3-20-97; Bd. Min. 3-22-02; Bd. Min. 10-16-03; Bd. Min. 11-29-07; Bd. Min. 1-29-10; Bd. Min. 4.11.19; Amended Bd. Min. 4-20-23; [Amended Bd. Min. 6-29-23](#)

- A. **Preamble** The faculty of the Missouri University of Science and Technology in order to facilitate communications and to provide for effective academic governance, for participation in decision making, and for shared responsibility in academic affairs, do establish and subscribe to these Bylaws.
- B. **Executive Authority**
 - 1. **University**—The President of the University of Missouri is its chief executive and academic officer.
 - 2. **Campus**—The Chancellor of the Missouri University of Science and Technology is the chief executive and academic officer of the campus. The Provost is the executive officer for academic affairs.
- C. **General Faculty**
 - 1. **Membership**—The General Faculty of the Missouri University of Science and Technology consists of all tenured, tenure-track, and ranked non-tenure track full-time faculty members, the President, the Chancellor, the Vice-Chancellor of Graduate Studies and Research, the Provost, the Vice-Provost and Dean of each college, the Registrar, the Dean of the Library, and any other person who may be elected by a two-thirds majority vote of the General Faculty. Voting members of the General Faculty are the full time tenured and tenure-track faculty of the Missouri University of Science and Technology. All members of the General Faculty have the right to participate in discussions.
 - 2. **Duties, Powers, Responsibilities & Privileges**—The primary functions of the faculty are education, research, and service. The responsibilities and duties of the faculty are those derived from its authority to organize as granted by the Board of Curators. It shall have such other authority as delegated to it by the President and/or the Chancellor. The General Faculty is responsible for academic programs concerning the Missouri University of Science and Technology or those involving more than one Department, and for matters affecting the welfare of the institution, including but not limited to: academic standards and courses of instruction; and general standards to be met by educational, research, and service programs. Participatory authority and functions of the faculty are expressed through faculty involvement in the campus committee structure including those committees which govern academic and administrative matters affecting the campus, faculty and students. The faculty participates in the selection of administrative officers. The faculty participates in the monitoring of

administrative and academic operating procedures. The faculty may make recommendations to the Chancellor on: institutional facilities, personnel and resources, professional standards, employment qualifications, tenure, promotion, salary, retirement, and other factors affecting faculty morale and welfare; and student affairs including health, welfare, conduct, and morale of the students.

3. Faculty Rights

- a) **Academic Rights**—Each faculty member has the right to freedom of inquiry, discourse, teaching, research and publication, as well as the responsibilities correlative with this right (as prescribed by The University of Missouri Board of Curators Collected Rules and Regulations).
- b) **Civil Rights**—Faculty members are not required to relinquish any of their constitutional rights (as prescribed by The University of Missouri Board of Curators Collected Rules and Regulations).
- c) **Employment Rights**—Faculty members shall have rights consistent with their continuous appointment or term appointment (during the term), except for cause, retirement or financial exigencies (as stated in The Curators of the University of Missouri Collected Rules and Regulations).
- d) **Notification of Appointment**—Faculty members shall be notified of their appointments promptly (as stated in The Curators of the University of Missouri Collected Rules and Regulations).
- e) **Right to be Kept Informed**—The faculty shall be kept informed of actions and activities of committees and the executive officers of the General Faculty, and of other occurrences that pertain to the Missouri University of Science and Technology. Where possible such information shall be made available to the faculty before being made available to the general public.

4. Officers of the General Faculty—The officers of the General Faculty shall consist of the President of the University, the Chancellor, the President of the Faculty Senate, a Secretary, and a Parliamentarian.

- a) **Chancellor**—The Chancellor of the Missouri University of Science and Technology is the presiding officer of the General Faculty. The Chancellor presides at meetings of the General Faculty but may extend this right to the President of the University when present.
- b) **President**—The President of the Faculty Senate presides at meetings of the General Faculty in the absence of or at the discretion of the Chancellor.
- c) **Secretary**—The Secretary is appointed by the Chancellor and need not be a member of the General Faculty. The Secretary keeps minutes of the proceedings of the General Faculty meetings. The Secretary is required to distribute an agenda prior to each meeting, and the minutes after each meeting, to all members of the General Faculty.
- d) **Parliamentarian**—The Parliamentarian is appointed by the Chancellor and must be a member of the General Faculty.

5. Meetings—All meetings are called by the Chancellor. A quorum shall consist of ten (10) percent of the voting members when business described in the published

agenda is being considered and fifty (50) percent of the voting members when other items of business are being considered.

- a) **Regular Meetings**—There shall be at least three (3) regular meetings of the General Faculty each academic year.
- b) **Special Meetings**
 - (1) Special meetings are called upon the request of the President of the University; of the Chancellor; of the Faculty Senate; and by written petition of five (5) percent of the members of the General Faculty.
 - (2) All Special Meetings shall be called within ten (10) school days after the request is presented to the Chancellor.
 - (3) Only topics designated in the call for a Special Meeting may be discussed or acted upon at said meeting.
- c) **Notice of Meetings**—Notice of all meetings of the General Faculty shall be sent to each member of the General Faculty at least five (5) school days prior to the meeting. Such notice includes the agenda for the meeting.
- d) **Restriction on Voting at Regular Meetings**—In general, business coming before the General Faculty for action at a regular meeting shall be placed on the agenda before coming to a vote. Any other matters may be placed before the General Faculty and acted upon at a regular meeting without being placed on the agenda, unless five (5) voting members of the General Faculty request a delay. If such a request for delay is presented, the presiding officer shall delay the vote until the next regular meeting of the General Faculty at which time the matter will automatically be placed on the agenda, unless the matter has been acted upon at a special meeting before the next regular meeting is held.
- e) **Minutes of Meetings**—Minutes of all General Faculty meetings will be distributed by the Secretary to all members of the General Faculty within ten (10) school days after the meeting.
- f) **Rules of Order**—Unless otherwise addressed in these bylaws, meetings of the General Faculty are conducted in accordance with Robert's Rules of Order.

D. **Faculty Organizations**—The primary functional unit of the faculty is the Department. For its governing purposes the faculty is further organized into the General Faculty, the Graduate Faculty, the Faculty Senate, Standing Committees, Judicial Committees, and Special Programs.

1. **Departments**

- a) **Organization and Membership**
 - (1) Departments are the primary functional units of the campus. The program of a department is conducted by its faculty through the chairperson, who has general responsibility over the department. The chairperson shall act as the administrative representative of the department in its official relations with the University.
 - (2) Members of the department are those members of the faculty who hold the rank of Instructor or above in the department, and such other

persons who teach in or conduct research in the department structure and are accepted by a majority vote of the department members.

(3) Academic departments are those that are responsible to conduct teaching, research, and service on behalf of the University.

b) **Academic Department Reorganization**

(1) There shall be a process followed for academic unit reorganization.

Unit(s) in this document shall refer to college, department, program, or

special programs as defined in the Missouri University of Science and

Technology Faculty Bylaws. (2) Affected unit(s) shall refer to the academic

department(s) considered in a reorganization, which could vary in number and that would be reorganized as a result of this process.

~~(3) Reorganization of academic units may occur at the impetus of the faculty or the chancellor and his/her designates. In the case of department-initiated recommendations, there shall be a process agreed to by the the chancellor or his/her delegates and the faculty senate. In the case of administratively initiated reorganizations, the chancellor must explain the reasons, consult in good faith with the faculty, and provide ample time for deliberation.~~

(3) There shall be separate procedures for reorganization of departments as defined in b(1) above where the Faculty/Units or the Administration are the impetus for the change. Administration refers to Chancellor, Provost, or Vice-Provost and Dean.

(4) The process shall be agreed upon by the Chancellor, Provost, Vice-Provost and Deans, and Faculty Senate.

c) **Operation and Meetings**

(1) Department meetings are held throughout the academic year and are conducted according to democratic procedures. All matters concerning the department are open to discussion.

(2) When a department position is to be filled, knowledge of the qualifications of the applicants is to be made available to the department members. Their opinions on the choice of candidates shall be sought by the chair before final recommendations for appointment are submitted.

d) **Responsibility and Authority**

(1) Faculty members direct and perform the work of instruction, coordinate and conduct research within the department, and provide service within the University, to the academic community, and to the public.

(2) Faculty members are also concerned about the internal administration of the department and should be kept fully informed consistent with Section 20.110 of The Curators of the University of Missouri Collected Rules and Regulations about all matters related to the department excepting only matters that are explicitly protected by written university policy, or confidentiality, or privacy laws that prevent disclosure.

(3) Proposals for changes in curriculum or courses may be initiated by the department and submitted to the Curricula Committee.

(4) Each department, acting in accordance with the Collected Rules and Regulations established by the Board of Curators and Campus Policies, shall have delegated directly to it by the General Faculty jurisdiction over matters primarily of interest only to that department. This includes but is not limited to: entrance requirements for degree programs; the curricula of the department; action concerning petitions for changes in prescribed courses of study presented by individual students enrolled in the department; decisions concerning the scholastic standing of students enrolled in the department; recommendations to the General Faculty concerning the granting of degrees to students enrolled in the department; and primary responsibility for maintaining and improving the academic excellence of the department.

(5) All academic coursework shall be offered by departments, with the exception of courses offered through Special Programs.

2. Special Programs

- a) **Definition of Special Programs.** Special Programs are academic programs that are highly interdisciplinary, or for some other reason may not readily conform to the Department structure.
- b) **Creation of Special Programs.** The Provost may propose, with the appropriate academic rationale and suggested structure, that a Special Program be formed or an existing Special Program be changed. The Provost forwards the proposed program, or changes to an existing program, with his/her recommendations, and the suggested constituencies from which the Program Representatives will be drawn, to the Faculty Senate for approval.
- c) **Governance of Special Programs.** Each Special Program will be governed by a Board of Program Representatives. The mechanism for selection of the Program Representatives must be delineated in the Special Program proposal from full time, ranked, faculty – to be elected by and from the faculty of the participating Academic Departments. The election of Program Representatives shall be conducted by the Provost, or his/her designee. The Provost will inform the Faculty Senate of the composition of the Program Representatives upon initial creation of the Program, and annually thereafter.
- d) **Program Leader.** The Program Representatives shall normally select a Program Leader from their ranks. The Program Leader is authorized, upon a vote of the Program Representatives, to submit curricula changes to the Provost, then the Campus Curricula Committee and then the Faculty Senate for approval. The Program Leader may act as the approval authority for items within the purview of the Program.
- e) **Scope of Special Programs.** Special Programs shall not duplicate, or infringe, on Academic Department responsibilities. - [Special Programs shall not offer Bachelors, Masters, Ph.D., or Eng.D. degrees, but may offer](#)

[Certificates, Minors, or other acknowledgements of a student's participation in a Special Program.](#)

- f) **Modification and Deletion of Special Programs.** Requests to alter the number of Program Representatives, method of selection of Program Representatives, or the Academic Departments that they represent, must be approved by both the Provost and the Faculty Senate. Elimination of a Special Program also requires the approval of the Provost and Faculty Senate.

3. Graduate Faculty

- a) **Responsibility and Authority**—The Graduate Faculty is responsible for maintaining an environment that will encourage the pursuit of scholarly work beyond the Bachelor's degree and for implementing the policies of the Board of Curators in the administration of graduate studies at Missouri S&T.
- b) **Membership and Activities**—Rules regarding membership, activities, and subcommittees of the Graduate Faculty are established by the Rules and Regulations of the Graduate Faculty.

4. Faculty Senate

- a) **Authority and Responsibility**—The Faculty Senate is the legislative and policy-making body of the General Faculty. It carries out the responsibilities of the Faculty (see above: §C.2) not specifically reserved to the General Faculty and shall consider all matters referred to it by the Board of Curators, the President of the University, the Chancellor, and the individual faculty members. The Faculty Senate, as the primary representative faculty voice, shall advise the administration and the faculty on the implementation of policies concerning the educational and research operations of the campus and other matters affecting the welfare of the campus, the faculty and the students.
- b) **Membership and Voting Rights**
 - (1) Members of the Faculty Senate are elected during the second semester of the academic year, and serve from August 1 until the end of their term.
 - (2) Faculty representatives are elected from and by each department as follows: each department elects one representative for the first ten (10), or fraction thereof, full-time faculty members in that department, and an additional representative for each additional ten (10) full-time faculty members in that department, rounded off to the nearest ten (10) faculty members, with five (5) being rounded upward.
 - (3) Ex officio non-voting members of the Faculty Senate consist of the Officers of the Faculty Senate (as described in in §D.4.c. below) as described elsewhere in these Bylaws, the President of the University, the Chancellor, the Provost, the Vice Provost and Dean of the Colleges, the Registrar, the Staff Council President, the Student Council President and Vice President, and the Council of Graduate Students President. Faculty Senate officers who are also elected departmental representatives will

retain their voting rights. However, the chairperson of the Faculty Senate meeting normally does not vote at meetings unless required to break a tie.
(4) All members of the General Faculty are eligible to vote for, be elected to, and serve on the Faculty Senate.

(5) Terms of Office

(a) Departmental representatives serve two-year (2-year) terms. Any departmental representative unable to serve during a given semester may be replaced by special election in the department. The elected replacement either finishes the original term or serves for the semester in question, at the discretion of the department.

(b) Departmental representatives are permitted to allow a proxy member of their department to serve in their stead should they need to miss a meeting.

(c) Student members are selected to a 1-year term.

- c) **Officers of the Faculty Senate**—The officers of the Faculty Senate consist of a Past President, the President, the President-Elect, the Parliamentarian, and the Secretary, all of whom must be members of the General Faculty. Department chairs and other persons who devote 50% or more of their time to administrative duties shall not be eligible to serve as Faculty Senate Officers. The new officers are elected annually. The election is held during the last regular meeting of the second semester of the academic year, and officers begin their duties August 1.

(1) The President presides at the meetings of the Faculty Senate. The President is the official spokesperson of the Faculty Senate and maintains open communications with the faculty, administration, staff, and students. The President is responsible for supervising all authority delegated by the Faculty Senate and for executing the decisions made by the Faculty Senate.

(2) The President-Elect serves in the capacity of the President during the latter's absence, or upon the President's request. The President-Elect is also an assistant to the President.

(3) The Parliamentarian makes recommendations to the President (or his/her/their delegate) on questions of parliamentary procedure for the Faculty Senate.

(4) The Secretary is responsible for all records, minutes, resolutions, and correspondence of the Faculty Senate. The Secretary supervises the publications of the agenda and the minutes of the meetings. The minutes shall be distributed by the Secretary of the Faculty Senate to all members of the General Faculty within ten (10) school days after the meeting.

- d) **Meetings and Rules of Order**

(1) The Faculty Senate meets on Thursdays (determined by the Faculty Senate) at 2:00 p.m., at least three times each semester and once during the summer term. Faculty Senate members shall be relieved from other time-conflicting duties, and this time is considered to be a part of their full-time effort.

(2) The agenda of the Faculty Senate meetings is distributed to all faculty members no later than 5 school days in advance of the meetings.

(3) Meetings of the Faculty Senate are conducted in accordance with Robert's Rules of Order. Should a conflict arise among Robert's Rules of Order, the Faculty Bylaws of the General Faculty, and the Procedural and general Resolutions for the Faculty Senate and General Faculty, the order of precedence shall be firstly The Curators of the University of Missouri Collected Rules and Regulations, secondly the Faculty Bylaws, thirdly the Procedural and general Resolutions for the Faculty Senate and General Faculty, and finally Robert's Rules of Order.

(4) Faculty Senate meetings are open to the public except as prohibited by law, but only the Senators are entitled to vote.

(5) Two-thirds of the voting membership of the Faculty Senate constitutes a quorum.

(6) A session of the Faculty Senate is defined as meetings occurring between 1 August and 31 July of the academic year.

(7) The effective date of all actions is thirty (30) days after the action has been communicated to the faculty, unless four-fifths of the Faculty Senate members approve a motion that an action become effective immediately or unless action to veto or amend is initiated by the General Faculty within the thirty (30) day period. No action taken by the Faculty Senate shall be implemented prior to its certification at a meeting of the General Faculty if a petition to veto or to amend such action is submitted to the Chancellor by more than ten (10) percent of the members of the General Faculty.

e) **Special Meetings**—Special Meetings are to be called upon the request of the President of the University; the Chancellor; the President of the Faculty Senate; or, by written petition of five percent (5%) of the Senators of the Faculty Senate.

(1) All special meetings shall be called within ten (10) school days after the request is presented to the President of the Faculty Senate.

(2) Only topics designated in the call for a special meeting may be discussed or acted upon at said meeting.

f) **Electronic Voting**— Electronic voting on issues that do not require significant discussion is permitted by the approval of a majority of the Faculty Senate officers. Voting may be done by E-mail, online survey, or other tool deemed appropriate by the officers and these actions are to be included in the minutes of the next scheduled meeting. All electronic ballots shall keep voting open for at least one (1) week or until a majority decision of all Senators is obtained. If within that time, ten percent (10%) of the Senators object to the electronic vote to the President of the Faculty Senate, the electronic vote shall be cancelled and the issue referred to an in-person faculty senate meeting.

g) **Delegation of Authority**

(1) Since the authority of the Faculty Senate is delegated to it by the General Faculty, the actions and policies enacted by the Senate are subject to over-rule by the General Faculty.

(2) All authority delegated by the Faculty Senate to committees or individuals is subject to change or over-rule by the Faculty Senate.

(3) Standing Committees of the General Faculty shall report to the Faculty Senate at regular meetings upon one week's notification by the President or President-Elect of the Faculty Senate.

5. **Standing Committees:**

- a) Each standing Committee formulates and recommends actions and policies related to the scope of their mandated areas. Authority to act is limited to the specific mandates for which this power is delegated in the following sections of these Bylaws or by the functions prescribed by The Curators of the University of Missouri Collected Rules and Regulations.
- b) Standing committees report to and through the Faculty Senate unless otherwise provided for in these Bylaws.
- c) A faculty member shall concurrently serve on no more than two (2) Standing Committees, excluding the Rules, Procedures and Agenda (RP&A) Committee. If any department lacks sufficient faculty members for representation on all Faculty Senate committees, that department may select representatives to serve on committees of its choice until such time as the number of faculty members increases to the point where the department can be represented on all committees.
- d) All full- or part-time students in good standing are eligible to serve on standing committees that include one (1) or more student members.
- e) The Chancellor may appoint one non-voting member to any standing committee, for a one-year (1-year) term.
- f) Chairs of standing committees shall be tenured faculty. Department chairs, and other persons who devote 50% or more of their time to administrative duties shall not be eligible to serve as standing committee chairs. Standing committee chairpersons shall be elected annually, from and by the membership of the standing committee, unless otherwise provided for in these Bylaws.
- g) For each academic year, the membership and chair of each standing committee should be finalized by April 30 of the previous academic year. Standing Committees will be responsible for their duties from August 1 through July 31 of the following year.
- h) The Rules, Procedures and Agenda (RP&A) Committee has the authority to call a meeting of any standing committee. Upon a determination by the RP&A that a standing committee is not acting in a timely manner to resolve an issue to which it has been referred to address, the RP&A can call a meeting of the committee and appoint an ad hoc chair for that meeting.

- i) Judicial Committees are not subject to the provisions applicable to Standing Committees.

6. Faculty Standing Committees

- a) **Academic Freedom and Standards Committee (AF&SC)**

(1) This committee is concerned with the academic freedom of faculty and promoting academic excellence. It recommends and reviews policies concerning requirements for admission, graduation and academic standards.

(2) Each department may nominate one faculty member for service on the Academic Freedom and Standards Committee. The Faculty Senate will select from these nominees eight (8) faculty members to serve on the committee. Faculty members serve a two-year (2-year) term with approximately one half elected each year.

- b) **Administrative Review Committee (ARC)**

(1) This committee sets policies and procedures for reviews of campus administrators ranking from Chancellor to Department Chair. The committee recommends the evaluation questionnaires and a plan/schedule for conducting reviews to the Faculty Senate. The committee conducts the reviews; oversees the sending of the evaluation forms to the evaluating persons; oversees the collection and collation of the resulting evaluations; and, along with the officers of the Faculty Senate, reviews and forwards the results of the evaluation to the Faculty Senate and the supervisors of the individual evaluated.

(2) The committee consists of six (6) representatives nominated by the Rules, Procedures and Agenda Committee (with the possibility of nominations from the floor) and elected by a vote of the Faculty Senate. Committee members serve for two (2) years, terms to be staggered with the election of three (3) faculty members each year, and shall be full-time, tenured faculty members with an administrative component of 50% or less.

- c) **Budgetary Affairs Committee (BAC)**

(1) This committee makes recommendations to the Faculty Senate, the Chancellor and the Vice-Chancellor of Finance and Operations or the equivalent administrative office on matters concerning the long-range vision of the campus; plans to fulfill this vision; and budgetary matters as a consequence of the vision. These recommendations include, but are not limited to: all matters of a budgetary nature; and policies and priorities for strategic and tactical plans with goals of teamwork, fiscal transparency and shared governance. The committee studies the Campus budget, keeps informed of its preparation and status, and consults with and advises the Chancellor on all matters pertaining to budgetary affairs.

(2) Each department may nominate one faculty member for service on the Budgetary Affairs Committee. The committee consists of two (2) faculty members elected from and by the Faculty Senate, four (4) elected by the

Faculty Senate from the Department nominations, two from and by the Graduate Faculty, one (1) student chosen by the Student Council, and one (1) administrative member appointed by the Chancellor. Elected members serve for a two-year (2-year) term, one half being elected each year.

d) **Campus Curricula Committee (CCC)**

(1) This committee acts as an advisor and coordinator in regard to the disciplinary appropriateness and quality of curricular proposals, policies, and all course offerings. Proposals for curricula and course changes shall be submitted to the CCC via the Discipline-Specific Curricula Committee (DSCC) associated with the proposal. The DSCC recommendations shall be submitted with the proposal. Special Programs are not normally associated with a DSCC, and may submit proposals directly to the Campus Curricula Committee. Within 10 school days after receipt of the proposal, the CCC shall distribute copies to all departments via their DSCC representatives. Counter proposals submitted to the committee by the departmental representative of the concerned department should be considered when the original proposals are discussed. The recommendation of the committee shall be forwarded to the Faculty Senate for appropriate action.

(2) The CCC will submit proposals for new graduate programs or any changes to existing graduate programs to the Graduate Faculty committee for approval prior to being considered by the Faculty Senate.

(3) The committee consists of representatives from the Faculty Senate, Graduate Faculty committee and DSCC committees. Two (2) faculty members will be elected from and by the Faculty Senate, each serving a two-year (2-year) term. The Senate will attempt to stagger the terms of the representatives. The Curricula Committee of the Graduate Faculty Committee will elect one (1) representative to serve a two-year (2-year) term. The program leader of each DSCC will be an ex-officio, voting, member of the CCC.

e) **Committee for Effective Teaching (CET)**

(1) This committee makes recommendations to the Faculty Senate and the Provost, regarding the instruments to be used for evaluations of teaching, the procedures for conducting these evaluations, and policies related to the public disclosure of the evaluation results. The scope of the committee's responsibilities includes evaluation of all aspects of teaching in courses providing academic credit.

(2) In addition to student evaluations, the committee is to consider alternate methods of evaluating teaching, may suggest methods and programs for improving teaching, and makes recommendations on the selection process and criteria for campus-wide teaching awards.

(3) The committee consists of one (1) faculty member, elected from, and by, each department desiring representation, one (1) student selected by the Student Council, and one (1) graduate student selected by the Council of Graduate Students. Faculty representatives serve three-year (3-year)

terms, and students serve a one (1) year term. In addition, the Provost may appoint up to three (3) non-voting members to this committee.

f) **Discipline-Specific Curricula Committee (DSCC)**

(1) A DSCC assists in coordinating curricular proposals generated by the degree programs as specified in the charter of that DSCC.

(2) The Provost may propose, with appropriate academic rationale and suggested structure, changes to the DSCC(s). The Provost forwards the proposals with his/her recommendations, and the suggested constituencies from which the committee members will be drawn by the following rules, to the Faculty Senate for approval.

(a) Every DSCC shall be identified by a discipline name.

(b) Every degree program shall be associated with one, and only one, DSCC. These associations will be stated in the charter of each DSCC, and may be altered only with the approval of the Provost and the Faculty Senate.

(c) Each DSCC program leader shall serve a (1) one-year term, and be elected from, and by, its members. Each DSCC program leader shall serve as a voting member of the CCC.

g) **Environmental Health, Safety, and Security Committee (EHSS)**

(1) This committee reviews and makes recommendations to the Faculty Senate, the Chief of Police, and appropriate administrative officials concerning policies, priorities, and training related to environmental health, safety, and physical security on campus.

(2) The voting members of the committee consist of one (1) person elected from each academic department desiring representation, two (2) representatives of the Department of Environmental Health and Safety, the Chief of Campus Police or his/her appointee, one (1) administrative member appointed by the Vice Chancellor for Finance and Operations, one (1) student selected by the Student Council, one (1) graduate student selected by the Council of Graduate Students, and one (1) representative of Staff Council. In addition, the Provost may appoint one (1) non-voting member to this committee. Department representatives serve for a two-year (2-year) term with approximately one third elected each year. The remaining committee members shall be elected, or appointed, annually.

(3) The chairperson of the committee is elected by and from the committee's voting membership. The chairperson should work closely with the Environmental Health and Safety and Campus Police departments to keep the committee and campus constituents abreast of both acute and long-term issues facing the university.

h) **Facilities Planning Committee (FPC)**

(1) This committee studies and makes recommendations to the Faculty Senate and appropriate administrative official(s) concerning policies and priorities for physical facilities, including buildings, equipment, and land acquisition and use. The committee also makes recommendations to the

Faculty Senate on policies pertaining to parking, security, traffic and matters affecting campus safety.

(2) Each Department may nominate one (1) faculty member for service on the Facilities Planning Committee. The committee shall consist of three (3) faculty members elected from and by the Faculty Senate; four (4) members elected by the Faculty Senate from a list of departmental nominees; one (1) administrative member appointed by the Chancellor, one (1) student selected by the Student Council, one (1) graduate student selected by the Council of Graduate Students, and one (1) non-voting member selected by the Chief Information Officer. Each faculty member shall serve for a two-year (2-year) term with approximately one-half of the faculty membership to be selected each year. The remaining committee members shall be elected, or appointed, annually.

i) **Honorary Degrees Committee (HDC)**

(1) This committee meets at least annually, and reviews current and previous recommendations from the Campus for honorary degrees. The committee shall submit its recommendations first to the Faculty Senate and then to the Chancellor. After appropriate review by the Chancellor, recommendations are forwarded to the University of Missouri (UM) System Honors Committee. All names shall be held in strict confidence, with public announcements to be made only by the University of Missouri Board of Curators or the Chancellor.

(2) Each Department may nominate one (1) faculty member for service on the Honorary Degrees committee. The committee consists of the Provost and four (4) members elected by the Faculty Senate from the list of department nominees. Elected committee members serve one-year (1-year) terms.

j) **Information Technology / Computing Committee (ITCC)**

(1) This committee advises the Provost and the Chief Information Officer on the formulation and implementation of information technology (IT) and computing activities on campus. These activities include but are not limited to networking, email, academic computing, electronic data bases, web publishing, distance learning, electronic classrooms, academic software and procurement of equipment for faculty, student and staff desktops and campus IT/computing facilities.

(2) The voting members of the committee consist of one (1) person elected from each academic department desiring representation, the Director of the Library or his/her appointee, two students selected by the Student Council, and one graduate student selected by the Council of Graduate Students. The non-voting members of the committee include the Provost, the Vice Chancellor for Finance and Operations and the Chief Information Officer. Department representatives serve for a three-year (3-year) term with approximately one third elected each year. The

representative of the library serves for a three-year (3-year) term, while students serve for one year.

k) **Intellectual Property Committee (IPC)**

(1) This committee, in conjunction with Technology Transfer and Economic Development, is concerned with the formulation and implementation of policies and procedures related to intellectual property. It reviews and makes recommendations to the Faculty Senate, Chancellor and Provost on patent and copyright matters.

(2) The committee consists of seven (7) members of which six (6) are faculty members elected by the Faculty Senate and one (1) is an administrative member appointed annually by the Provost, which can be the Director of Technology Transfer and Economic Development or its proxy. The faculty members shall serve for two (2) years with three (3) members elected each year. The committee shall be chaired by a faculty member. Priority for nominated members should be those with patent and/or copyright experience and appropriate representation from engineering, liberal arts, management and science academic departments.

l) **Intercampus Faculty Cabinet**

(1) IFC is a University of Missouri System Faculty Cabinet comprised of faculty representatives from each of the U.M. System campuses that serves as a liaison committee between the President and his staff and the four campus faculties.

(2) Membership of this committee is comprised of the Past President, President, and President-Elect of the Faculty Senate. In the event that one of these officers cannot serve on the IFC, the Faculty Senate will elect the replacement campus representative for a one (1) year term.

m) **Library and Learning Resources Committee (LLRC)**

(1) This committee makes recommendations to the Faculty Senate and appropriate administrative officials with respect to the administration of the Library and Learning Resources facilities and on rules governing use by students, faculty, and others. It shall consider all problems concerning the operation of the Library and its facilities.

(2) Each Department may nominate one (1) faculty member for service on the Library and Learning Resources Committee. The committee consists of eight (8) elected by the Faculty Senate from the list of department nominees with each faculty member serving a two-year (2-year) term with approximately one half to be elected each year; one graduate student selected by the Council of Graduate Students and one undergraduate student to be selected by the Student Council and the Dean of the Library.

n) **Personnel Committee (PC)**

(1) This committee recommends to the Faculty Senate general policies on the conditions of appointment, employment, compensation, and

retirement of faculty and administrative officers. It also recommends reporting schemes and procedures regarding the annual salary and wage raise pool.

(2) Each Department may nominate one faculty member for service on the Personnel Committee. The committee consists of two faculty members elected from and by the Faculty Senate, four (4) elected by the Faculty Senate from the list of department nominees, one (1) faculty member elected from and by the Graduate Faculty, one (1) faculty member selected by the Staff Council, and one (1) administrative member appointed by the Chancellor. Elected members serve a two-year (2-year) term with approximately one half elected each year.

o) **Public Occasions Committee (POC)**

(1) This committee makes general plans for University-sponsored assemblies, programs and public occasions such as Open House Days, Homecoming, and Commencement. It recommends policy for faculty and student programs, guest speakers and ad hoc events, ~~and makes recommendations to the chancellor on.~~ It also supervises the academic calendar ~~at least one and no more than three years in advance.~~

(2) The committee consists of six (6) faculty members elected from and by the General Faculty, one administrator appointed by the Chancellor, three (3) students selected by the Student Council, and one (1) student selected by the Council of Graduate Students. Faculty members shall serve for a two-year (2-year) term with one half elected each year.

(3) The Commencement subcommittee of the POC is charged with planning and overseeing the implementation of plans for Commencement ceremonies and other events related to Commencement. This subcommittee is appointed with the authority of the Faculty Senate, given that its activities require assistance from individuals outside the POC. The subcommittee will report to the POC, and not directly to Faculty Senate. An annual report of activities of the Commencement subcommittee will be included in the annual report submitted by the POC.

(4) Two (2) members elected by and from the POC are to serve on the Commencement subcommittee. As is the norm for events within the jurisdiction of the POC, changes deemed significant, as determined by the two subcommittee members, to the form or function of the Commencement ceremonies are subject to approval by Faculty Senate.

p) **Rules, Procedures and Agenda Committee (RP&A)**

(1) This committee oversees the application of these Bylaws, any Rules and Regulations of bodies established by them, and the process of Bylaw amendment as described elsewhere in these Bylaws. It may investigate and make recommendations on procedure to the Faculty Senate.

(2) The committee is responsible for the conduct and supervision of Faculty Senate, and General Faculty, ~~and Graduate Faculty~~ elections. It

shall receive nominations from the faculty for elections, adding, but not deleting, names as necessary to provide candidates for all offices and committees and shall obtain the consent of all nominees. The committee shall also be responsible for submitting slates of candidates nominated for serving on the standing committees for Faculty Senate elections, appropriately distributed among the disciplines. In the event that nominations for committees from departments are fewer than the number of positions to be filled, RP&A may add additional departmental nominees to fill the positions which would otherwise become vacant.

(3) It is the responsibility of this committee to prepare the agenda for Faculty Senate meetings and to assist the Secretary of the General Faculty in the preparation of the agenda for General Faculty meetings.

(4) The voting members of the committee consists of the Past President, the President, President-Elect, Secretary, and Parliamentarian of the Faculty Senate; one graduate student selected by the Council of Graduate Students; one student selected by the Student Council; and the chairs of the following standing committees: Academic Freedom and Standards, Budgetary Affairs, Curricula, Facilities Planning, Personnel, Student Affairs, and Tenure Policy. Other Faculty Standing Committee chairs are ex-officio non-voting members.

(5) The Past President officer of the Faculty Senate is the chairperson of RP&A. If the Past President is unable to serve, the Faculty Senate will elect a chairperson.

q) **Student Affairs Committee (SAC)**

(1) This committee makes recommendations to the Faculty Senate regarding relationships between students and Missouri S&T, including, but not limited to, the following: student-teacher relationships; student-administration relationships; scheduling of classes and examinations; budgeting and distribution of funds paid by students for student activities; rules and regulations pertaining to student housing, health and services for students, University counseling services, departmental advisement practices; rules and regulations pertaining to student organizations, including varsity and intramural athletics; oversight and discipline of student organizations, including review of all sanctions, withdrawals or denials; operations of the University Center; student publications; and civil rights of all students.

(2) Each department may nominate one (1) faculty member for service on the Student Affairs committee. The committee consists of four (4) faculty members elected by the Faculty Senate from the list of departmental nominees, one (1) faculty member elected by and from the Faculty Senate; four (4) students selected by the Student Council; and one (1) student selected by the Council of Graduate Students. The Director of Student Life, the Vice Chancellor for Student Affairs, ~~the Dean of~~

~~Students,~~ and the Registrar are ex-officio non-voting members of the committee.

r) **Student Awards and Financial Aids Committee (SA&FAC)**

(1) This committee recommends policies regarding the administration of student awards and financial aids, including loans and scholarships, consistent with specifications of the respective donors and grantors. It shall be the duty of the committee to consider and rule on appeals that may be submitted by students regarding awards and financial aids.

(2) The committee consists of three (3) faculty members elected from and by the Faculty Senate, two (2) faculty members elected from and by the General Faculty, two (2) undergraduates selected by the Student Council, one (1) graduate student selected by the Council of Graduate Students, the Provost, the Director of Student Financial Aid, and such other appointees as the Chancellor names. Each member has voice and vote when considering new or revised policy. When considering student appeals, only the elected faculty members, the Provost and the Director of Student Financial Aid have voice and vote. At the request of the appealing student, the undergraduate members—for an undergraduate—or graduate student member—for graduate students—may participate with voice and vote. Faculty members are elected for two-year (2-year) terms; students are selected annually.

s) **Tenure Policy Committee (TPC)**

(1) This committee is concerned with the tenure rights of faculty. It functions according to the principles stated in the Academic Tenure Regulations adopted by the University of Missouri Board of Curators. It may also make recommendations for policy changes through the Faculty Senate to the Board of Curators. It also serves as the judicial hearing committee for cases of research dishonesty and make recommendations of Dismissal for Cause (section 310.060 of The Curators of the University of Missouri Collected Rules and Regulations) to the Provost.

(2) This committee consists of one (1) faculty member from each academic department whose faculty is eligible for tenure. The faculty of each academic department shall, during the second semester of each academic year, elect one of its eligible faculty members to membership on the TPC to serve for the following academic year, and also elect an alternate faculty member who shall serve whenever the regular committee member is unable to serve.

(3) Faculty members shall be elected from the eligible Professors on continuous appointment. If there are no eligible Professors within a department, then faculty members shall be elected from the eligible Associate Professors. Vice Provosts, department chairs, and other persons who devote ~~49~~50% or more of their time to administrative duties shall not be eligible for membership on the TPC.

7. Judicial Committees

a) **Equity Resolution Hearing Panel (ERHP)**

(1) Per Chapter 600 of The Curators of the University of Missouri Collected Rules and Regulations, the Faculty Senate shall annually propose a list of twenty (20) faculty members to the Chancellor, from which ten (10) are selected by the Chancellor to serve in the panelist pool. The Chancellor also selects staff members to serve in the panelist pool. The University thereby creates and will annually train a pool of not less than ten (10) faculty and ten (10) administrators and/or staff to serve as hearing panel members in the Hearing Panel Resolution Process. Service in the panelist pool is a renewable one-year term.

(2) Hearing Panels at Missouri S&T will include at least one faculty member and one administrator or staff member. Up to two (2) alternates from the pool may be designated to observe the process and to serve as a panel member if a panel member becomes unavailable.

b) **Grievance Hearing Panel (GHP)**

(1) This panel is concerned with the fair and equitable resolutions of faculty grievances with the University. It functions according to the principles stated in the Academic Grievance Procedure (section 370.010) adopted by the University of Missouri Board of Curators. It may also make recommendations for policy changes through the Faculty Senate to the Board of Curators.

(2) The GRP is not involved in Equity Resolution Processes, which are covered under section 600 of The Curators of the University of Missouri Collected Rules and Regulations.

(3) One (1) panel or two (2) panels of two (2) faculty members are elected by the Faculty Senate from nominations from academic departments to three years renewable terms on a rotational schedule. Whether one (1) or two (2) panels are populated is subject to determination by majority vote of the Faculty Senate. .

c) **Grievance Oversight Committee (OC)**

(1) A member of the OC will be appointed to each grievance case following receipt of a Grievance Filing Form by the GRP. The OC representatives are observers of the confidential grievance processes: The OC representative may not participate in the deliberations or rendering of findings and recommendations by the GRP but provides a summative, evaluative report of each grievance process without conveying substantive information. The representatives also monitor the implementation of remedies that result from a grievance process.

(2) Three (3) members are elected to three year terms on a yearly, staggered basis by the Faculty Senate from departmental nominees.

(3) One (1) member is elected to OC from and by the Faculty Senate not as an oversight representative but rather to serve as the chairperson for the committee, who assigns members to grievances and who prepares

the annual report to Faculty Senate as required by section 370.010 of The Curators of the University of Missouri Collected Rules and Regulations.

d) **Parking, Security and Traffic Committee (PS&T)**

(1) The committee oversees application of rules and regulations concerning parking and traffic. It functions according to the principles stated in The Curators of the University of Missouri Collected Rules and Regulations.

(2) Each Department may nominate one (1) faculty member for service on the Parking, Security and Traffic committee. The committee shall be composed of twelve (12) faculty members elected by the Faculty Senate from the list of department nominees for a two-year (2-year) term with one-half being elected each year, two (2) undergraduate students selected by the Student Council, one (1) graduate student selected by the Council of Graduate Students, one (1) member selected by the Staff Council, and one (1) member selected the Director of the Physical Plant. Student terms shall be for one (1) year. The Director of the University Police shall be a member ex-officio. Two (2) additional committee members may be appointed by the Chancellor.

(3) The PS&T shall elect one of the faculty committee members as chairperson for a one (1) year term.

e) **Student Conduct Committee (SCC)**

(1) This committee conducts hearings and makes dispositions under the Rules and Procedures in Student Conduct Matters as provided in Section 200.020 of The Curators of the University of Missouri Collected Rules and Regulations. It may also provide aggregate information regarding its decisions to the Faculty Senate, and make recommendations on policies relating to student discipline to the Faculty Senate for forwarding to the Board of Curators.

(2) The committee consists of members as prescribed by the Board of Curators. All members of the committee shall have the same voting privileges and responsibilities. Faculty members serve two-year (2-year) terms with approximately one half elected each year.

f) **Student Scholastic Appeals Committee (SSA)**

(1) This committee establishes procedures for individual student scholastic appeals. The committee shall consider and rule on all individual cases of appeal relating to student scholastic performance, including but not limited to: graduation with honors, probation and dropping from school, readmission after being dropped for scholastic reasons, scholastic deficiencies and evaluation of credit and transfer of credits, grades and honor points from other campuses to Missouri S&T. It serves as an appeals board for cases of students on scholastic probation who are involved in the activities of organizations.

(2) The committee shall consist of eight (8) members: three (3) faculty members are elected from and by the Faculty Senate; two (2) members

are elected from and by the General Faculty; two (2) student members are selected by the Student Council; and one (1) student member is selected by the Council of Graduate Students. Faculty members serve a two-year (2-year) term with approximately one-half elected each year. Student members serve a one-year (1-year) term.

g) **Tuition and Residence Committee (TRC)**

(1) This committee assists the Cashier, when requested, in determining the residence status of a student relative to the required non-resident tuition fees established under the applicable regulations of the Board of Curators. The committee also considers properly filed appeals by students taking exception to the Cashier's ruling relative to their residence or tuition status.

(2) This committee consists of three (3) faculty members and three (3) administrative members appointed for a one-year (1-year) term by the Chancellor, who shall designate one member as Chairperson.

8. Special Committees

- a) Special Committees addressing issues not presently in the purview of the Faculty Standing Committees or Judicial Committees may be authorized as needed by the Chancellor, the General Faculty, the Faculty Senate, the colleges, or departments. However, when the faculty or the administration establishes any committee having campus-wide responsibilities or authority, they shall file with the Secretary of the Faculty Senate a statement specifying the responsibilities, authority, and composition of the committee, timeline of authority for the committee, together with a list of current members.
- b) When deemed appropriate by the Chancellor, by the General Faculty, or by the Faculty Senate, reports of Special Committees shall be distributed to all members of the General Faculty. Each Special Committee shall prepare an annual report to be made available to all faculty members.
- c) Whenever possible, Special Committees shall be organized prior to September 1 and be responsible for their duties from August 1 through July 31 of the following year.

E. Student Regulations

1. The Student Council is the official voice for the undergraduate students to the Faculty; the Council of Graduate Students of the Missouri University of Science and Technology is the official voice for the graduate students.
2. Rules and disciplinary regulations, which apply to students, and the "University of Missouri Rules of Procedure in Student Disciplinary Matters" shall be printed in the "Manual of Information" and distributed to all students.
3. Student Participation in Academic Governance
 - a) Students shall be eligible to serve on the Faculty Senate and/or on committees as designated by these Bylaws.
 - b) Individual students and student organizations may recommend changes in policies governing students to the appropriate committee. These

recommendations, when submitted in writing, must be considered promptly by the committee or referred to the RP&A for proper assignment, and the students kept informed in writing of the disposition of the recommendations.

- F. **Rules and Regulations**—All committees and any other permanent body established by these Bylaws, shall make rules and regulations necessary for the successful operation of their organizations by at least a simple majority of the body. Copies shall be filed with the Secretary of the General Faculty for general availability.
- G. **Amending the Bylaws**—Amendments may be proposed by twenty (20) faculty members of the General Faculty by submitting them to the Rules, Procedures, and Agenda Committee. This committee must transmit the proposal to the General Faculty within fifteen (15) school days and then include the proposal in the agenda of the next General Faculty meeting. Voting on the proposed amendment shall be by a mail ballot and shall take place within fifteen (15) school days after completion of its consideration at a meeting of the General Faculty. A two-thirds (2/3) majority of those voting shall be required for the adoption of the proposed amendment. If adopted, the amendment is presented by the Chancellor to the Board of Curators at their next meeting for consideration and will become effective immediately upon approval by the Board of Curators.
- H. **Publication of the Bylaws and Committee Membership**—The Secretary of the General Faculty shall maintain, on a publicly accessible, open location (such as a world-wide web site), the current edition of these Bylaws, a list of the officers of the General Faculty, a list of the officers and members of the Faculty Senate, and the membership of all Standing and Judicial committees defined elsewhere in these Bylaws. The name, responsibilities, authority and current members of all other committees which have campus-wide responsibilities or authority will be similarly posted. The information shall be updated within thirty (30) days of any change in committee status.

FINANCE COMMITTEE

Todd P. Graves, Chair

Robert W. Fry

Jeff L. Layman

Robin R. Wenneker

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.

Fiscal Year 2024 Operating Budget UM

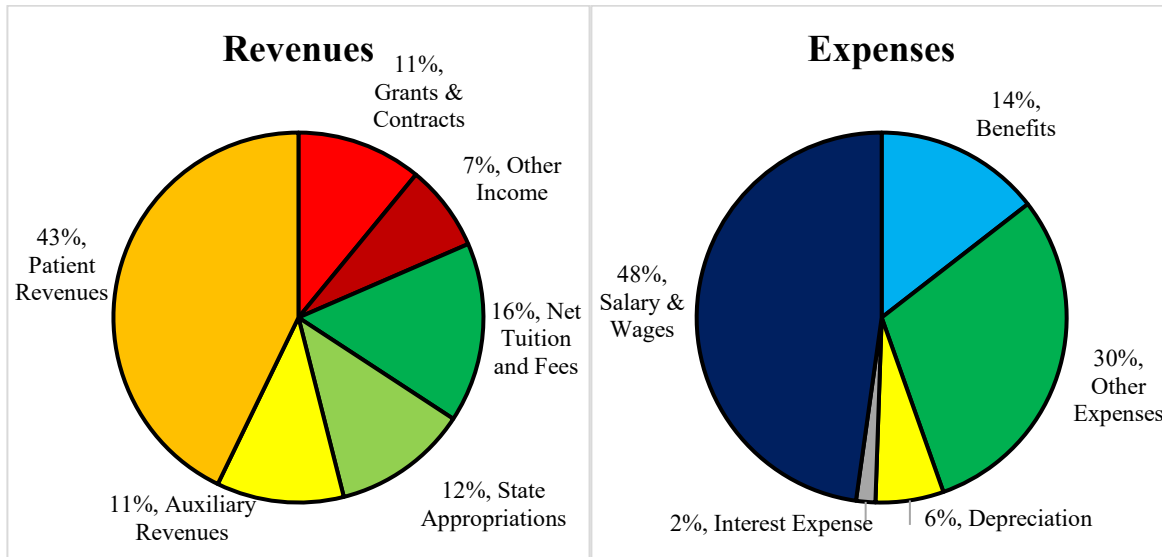
At the June 29, 2023, Board of Curators Meeting, Executive Vice President for Finance and Operations Ryan Rapp will present the FY2024 budget. The FY2024 budget reflects the culmination of planning efforts undertaken by each institution throughout the spring. For FY2024, each University and MU Healthcare has submitted a budget in line with the financial plans approved by the Board at the February meeting.

The FY2024 all funds revenue budget is \$4.2 billion. The following table shows the FY2024 revenue budget by revenue source (\$'s presented in millions).

FY2024 Revenue Budget	MU	MU Healthcare	UMKC	MO S&T	UMSL	UM System	University Wide Units	Total
Net Tuition and Fees	\$ 299.3	\$ -	\$ 148.8	\$ 58.5	\$ 70.8	\$ -	\$ -	\$ 577.4
Federal Pell Grants	25.7	-	12.6	5.4	11.5	-	-	55.1
Government Scholarships	19.0	-	5.0	5.0	3.8	-	-	32.8
State Appropriations	275.8	-	88.5	60.1	68.7	-	7.8	500.9
Grants & Contracts	308.4	-	70.0	43.8	41.0	-	-	463.1
Auxiliary Revenues	343.7	22.2	46.8	24.3	12.3	21.4	-	470.7
Patient Revenues	336.2	1,433.9	41.1	-	0.0	-	-	1,811.4
Private Gift Revenues	44.8	6.0	17.5	20.3	12.5	0.1	-	101.2
Endowment & Investment	83.2	-	15.7	14.3	9.1	5.1	(7.8)	119.6
Other Income	58.5	0.5	20.0	2.9	2.0	7.8	9.8	101.4
Total Revenue	\$ 1,794.6	\$ 1,462.6	\$ 466.0	\$ 234.5	\$ 231.6	\$ 34.4	\$ 9.8	\$ 4,233.5

FY2024 All Funds Budget

The pie chart on the left indicates major sources of revenues for the University of Missouri. The unrestricted portion of the academic enterprise represents 39% of available funds consisting of auxiliaries, tuition, and state support. Healthcare continues to grow and represents another 43% of revenues. The remaining 18% is spread across restricted sources such as gifts, endowment distributions and grants. The Expenses chart shows 62% of the total budget is spent for compensation, 6% for depreciation, and 30% of all other types of expenditures. Compensation remains the largest expense for the University.



While enrollments in Missouri face demographic headwinds, the University of Missouri System remains well positioned in the higher education marketplace with some of the best performing institutions in the state. The University System also benefits from its diversity of operations, with additional revenue streams for research, public service, and clinical operations. Tuition and state support serve as the cornerstone to sustain quality research universities, and the FY2024 budget reflects inflationary increases for both sources. The University budgeted continued growth in grants and contracts given trends in research proposals and awards. The budget plans for growth in Auxiliary and Patient Medical Services revenues at growth rates lower than historical trends.

Even with a comparatively solid revenue base outlook for FY2024, the University budget will not see revenue growth keeping pace with the 6.5% inflation experienced through calendar year 2022. These inflationary forces will be an ongoing challenge, and the Universities will have to find both cost efficiencies and ways to increase prices in line with inflation to continue to support the mission and strategic investments. Healthcare's improvement remains on track to the plan submitted in February. Healthcare operations represent a large share of operating revenues and capital investment for the institution. The FY2024 budget reflects a recovery in healthcare performance with cost containment and revenue growth initiatives in line with the financial plan.

Next Steps

The Board of Curators will approve the FY2024 dividend at the September Board meeting and receive an update on FY2023 performance at the November Board meeting. As an additional item, the University will provide a financial aid update to the Board this fall. 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. Financial plans will focus aligning targets to the industry after emerging from the pandemic. 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 FY2024 budget.

No. 1

Recommended Action - UM Fiscal Year 2024 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 FY2024 budgets in accordance with the attached planning assumptions and financial summaries, which include the allocation of FY2024 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 periodically to the Board of Curators any material changes in sources and uses of current funds;
- that the operating budget for FY2024 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 Fry
Curator Graves
Curator Layman
Curator Wenneker

The motion _____.

Roll call vote: YES NO

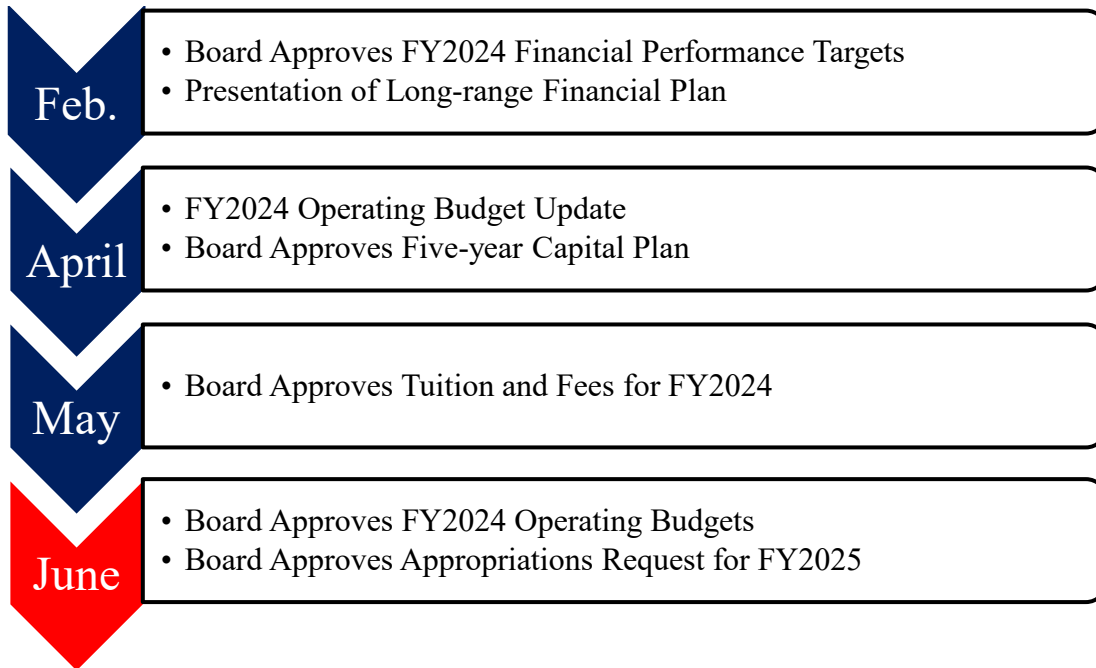
Curator Blitz
Curator Brncic
Curator Fry
Curator Graves
Curator Holloway
Curator Layman
Curator Sinuefield
Curator Wenneker
Curator Williams

The motion _____

June 29, 2023

FY2024 Planning Process

The FY2024 planning process started in the fall with each institution developing a five-year financial plan to align long-term financial priorities with each unit's strategy. The financial plan served as the starting place for the FY2024 budget, which represents the more detailed annual resource allocation process.



The financial planning process identified key themes necessary to underwrite the future success of the Universities. The financial plans reflected a stable to improving operating environment for the academic units depending on the individual university. MU Healthcare's financial plan acknowledges the broader financial challenges of the healthcare industry and represented a commitment to restore financial performance to pre-pandemic levels over a five-year period. A key focus for the universities is continuing cost management within operating resources. MU Healthcare's budget represents management's commitment to improve financial performance by stabilizing cost and growing revenue. Other key themes in the plan include:

1. The four Universities have improved their financial wealth and, while varied, each have the capacity to invest in strategic priorities and capital projects. However, the operating margins have tightened and are closer to pre-pandemic levels. It is critical capital investments help support maintenance or improvement in financial operating margins.
2. MU Healthcare is improving in terms of financial wealth and operating margins but will take multiple-years to restore performance to historical levels.
3. Enrollment growth will be challenging in the future as Missouri high school graduates are projected to decline in 2026. The demographic pressures impact the

universities in the last fiscal year of the current financial plan. Planned enrollment growth differs by university, and most enrollment growth underwrites planned growth expenditures that can be avoided if enrollment growth is not realized. UMSL is dependent on enrollment growth to support its current expenditure base.

4. The federal stimulus packages and current state budget surpluses have allowed for the appropriation of significant capital funding from both the state and federal government. These extramural capital sources have enabled significant capital investments over the coming three years. Over the longer planning horizon, the key source for future capital investment will be each unit's ability to generate a positive operating margin.
- 5.

The financial planning process set units' performance targets for the upcoming five-year period. For FY2024, each University and MU Healthcare was expected to submit a budget with operating performance in line with performance submitted as a part of the financial planning process.

Table 1: Operating Margin by Unit

	UM	MU	UMKC	Missouri S&T	UMSL	MU Healthcare
Target	>2.5%	>2.0%	>1.0%	>2.0%	>1.0%	>7.0%
2023 Financial Plan	2.5%	1.8%	1.0%	1.5%	0.0%	4.6%
FY2024 Budget	2.7%	1.8%	1.8%	2.6%	0.2%	4.9%

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* encompasses the following financial accountability guidelines:

- 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 23. 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.

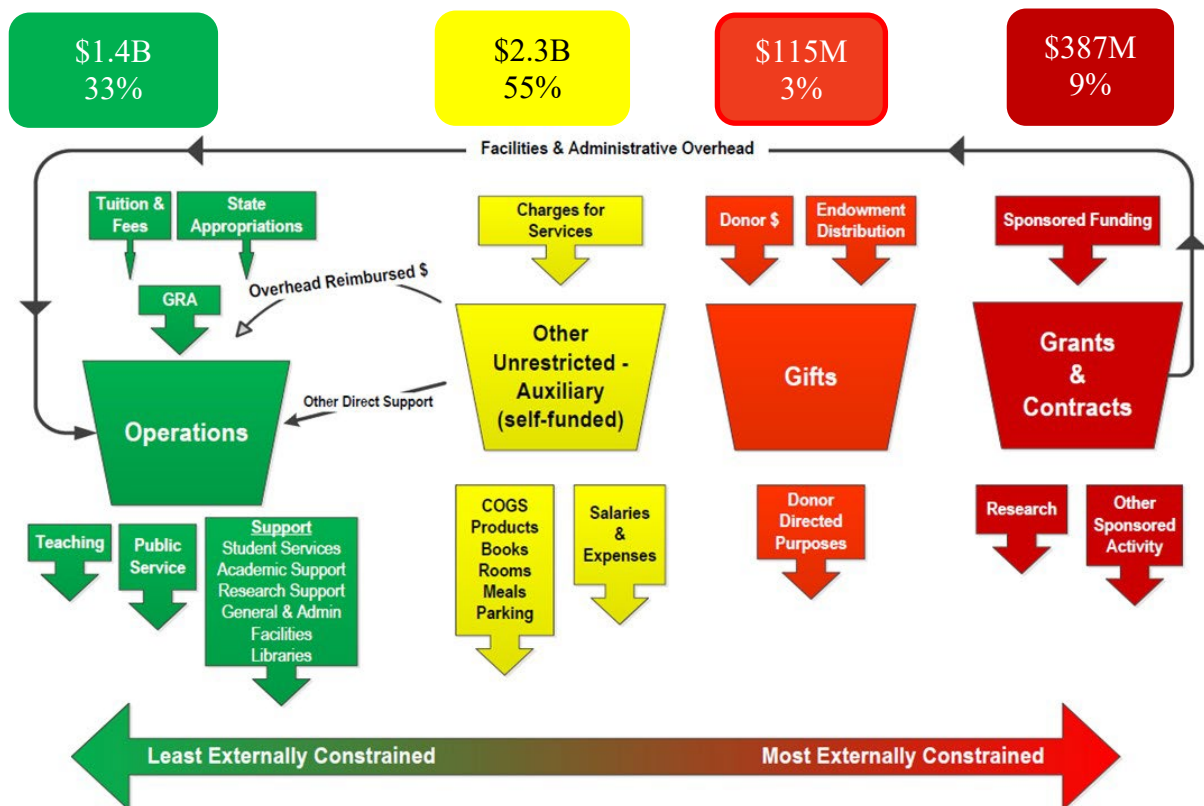
University Budgets Reflect Diverse Operations

As a public entity, the University is required to track funding across all the purposes of use. This includes maintaining separate cost centers for funding with specific restrictions, such as donor gifts with specific criteria or research grants issued for a specific scope of work. Fund accounting by public entities allows for tracking budgets across these differing funding restrictions and provides a useful way for the University to segment operations.

The University prepares an All-Funds Budget, which consists of current funds, plant funds, and endowment funds. Current funds include resources of the University that are expendable for any purpose directly related to the primary missions of the University, i.e., instruction, research, public service, and economic development as well as related support services. Current funds are further broken down into fund groups, depending on their purpose and external restrictions.

The diagram below shows the purpose, funding streams, and spending flexibility of the different types of current funds.

Current Fund Budget Diagram



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 and other enterprise like operations in the form of overhead payments for services provided by the operations fund (such as accounting, procurement, legal, grant management, facilities, etc.). In addition, the operations fund receives facilities and administrative cost recovery funding from grants and contracts to partially offset the costs of providing space and support services (overhead) to grants and contracts. Operations fund revenues are the most valuable because they are the least constrained by third parties. Operations fund revenues contribute 33% of total current fund revenues.

Other unrestricted 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. Included in this category are MU Healthcare and University Physicians, student auxiliaries (housing, dining, bookstores, and recreation centers), division I intercollegiate athletics, student unions, research reactor, service operations (energy management, facilities design

and construction, telecommunications, etc.), continuing education and self-insurance funds. These activities comprise 55% of the current fund budget.

Third parties, primarily donors and granting agencies, restrict the remainder of the current funds. These funds are shown in red on the chart because there is very little flexibility in how the funds are spent. The primary funding sources are gifts, spendable distributions from the endowment funds, and external grants and contracts. Grants and contracts are primarily for specific research, although some grants and contracts fund public service and instructional activities. This fund is also where federal financial aid is budgeted and accounted for due to the restricted nature of these funds. Restricted funds contribute 12% of the current funds budget.

Endowment and plant funds primarily affect the University's balance sheet and non-operating revenue sources. The primary funding streams for endowment funds are gift revenue and investment returns. These gifts are typically permanently restricted. The endowment fund's spending distribution provides endowment income to the current funds. These funds are primarily restricted in use by the donor and provide funding for scholarships, professorships, and other university support. The primary funding streams for plant funds are reserves from the University current funds, capital gifts or grants and capital appropriations. The capital planning process and project approvals govern the use of plant funds. The University's interest and depreciation expense is recorded in the plant fund. Interest expense is funded by the obligated operations or auxiliaries within the current fund.

The Board approved budget serves as the guide for the year, as the assumptions underlying the budget may change throughout the year causing management to adjust to maintain the financial health of the institution.

Resource Allocation Principles

In November 2020, the Board approved the following resource allocation principles in accordance with the development of the Council of Chancellors. The change in resource allocation principles provide the Chancellors more autonomy to make their universities successful while at the same time establishing additional accountability for the Chancellors in achieving sustainable financial results.

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.

Higher Education and Healthcare Industry Update

Moody's 2023 outlook was revised to negative from stable for the U.S. higher education sector as operating revenue growth is expected to significantly trail inflation in 2023. High inflation, a tight labor market, and a return to more normal operations will drive sector expenses materially higher through the second half of 2023. Prior years' strong investment returns will provide some cushion, though a growing share of universities will need to tap reserves to cover deficits. Key themes in the Moody's report include:

June 29, 2023

- Revenue growth is expected to be about 2% across the sector and lag inflation. Institutions heavily reliant on student charges with weak student demand will face the greatest challenges.
- Rising expenses will lead to operating deficits for a growing share of the sector, forcing more institutions to tap reserves. Restoration of spending cuts during the pandemic will lead to material expense growth in the industry.
- Prior cash and investment growth will provide some cushion, but downward pressure on investment returns and reserve balances remains.
- To move the outlook back to stable, Moody's would need to see revenue growth matching inflation, improved investment returns, and sound student demand with steady enrollment.

Moody's 2023 outlook for not-for-profit healthcare sector remains negative for 2023 as liquidity declines due to lower margins driven by labor shortages, high inflation and supply chain challenges coupled with an increase in capital spending. Key themes in the Moody's report include:

- Operating cash flows will grow but margins will be constrained by elevated expense growth. Operating cash flow is expected to grow 10-20% following a substantial decline in 2022. Projected levels for 2023 remain below the historical operating cash flow margin and would likely be insufficient over the long-term to enable adequate reinvestment in facilities and support organizational growth.
- Revenues are projected to grow by 7% in 2023 slightly exceeding expense growth of 6%. Revenues will remain constrained due to modest reimbursement increases and an uneven recovery in patient volumes, margin will not return to historical levels.
- Like the higher education industry, the healthcare industry has been impacted by high inflation and supply chain disruptions. Additionally, the shortage of nurses has limited management's ability to constrain expense growth.
- Liquidity is projected to decline in 2023 due to lower margins, decreased borrowing, increased capital spend and continued investment market volatility.

The University's budget reflects management's plan to deal with these pressures for both the Higher Education and Healthcare industry. While growth in revenues is included, revenues are not keeping pace with inflation and budgets reflect necessary efficiency actions to manage resources within performance targets.

FY2024 University of Missouri Budget

While enrollments in Missouri face demographic headwinds, the University of Missouri System remains well positioned in the higher education marketplace with some of the best performing institutions in the state. The University System also benefits from its diversity of operations, with additional revenue streams for research, public service, and clinical operations. Tuition and state support serve as the cornerstone to sustain quality research universities, and the FY2024 budget reflects inflationary increases for both sources. The University budgeted continued growth in grants and contracts given trends in research proposals and awards. The budget plans for growth in Auxiliary and Patient Medical Services revenues at growth rates lower than historical trends. Even with a comparatively solid revenue base outlook for FY2024, the University budget will not see revenue growth keeping pace with the 6.5% inflation experienced through calendar year 2022.

Inflationary forces will be an ongoing challenge, and the Universities will have to realize cost efficiencies to continue to support the mission and strategic investments. Each unit's budget reflects their specific circumstances. All submitted budgets meet or exceed the operating performance levels from the February 2023 financial plan. The FY2024 budget reflects the continued recovery in healthcare performance with cost containment and revenue growth initiatives.

The consolidated performance for the enterprise exceeds the target. The University set the consolidated operating margin target to maintain the financial profile of the University. For unit level targets, the University first set the goal of maintaining the financial profile of the University but then considered differences in business environments, peer comparisons, and necessary strategic investments. Capital investments drove the need for a higher operating margin at MU and MU Healthcare through the planning process.

Budgeted revenue numbers reflect the best available information at the time of the budget, which is finalized in mid-May. Each institution's operating budget reflects stable enrollment or slight growth over the prior year. Universities will adjust operating expenditures as they monitor final enrollments and other key revenue drivers throughout the summer and fall.

The summaries that follow show both the revenue and expense plans for the consolidated system and each university. Financial results will be presented using the Moody's framework, in three columns:

- FY2022 Actuals: actual performance for FY2022.
- FY2023 Projected: projected performance for FY2023, which includes performance through April with a projection for the final two months to close.
- FY2024 Budget: budgets completed for FY2024.

Consolidated Summary

Schedule 1: University of Missouri System FY 2023 Budget (Dollars in Thousands) Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP – Unaudited

Line No.		Actuals FY2022	Projected FY2023	Budget FY2024	% Change FY 2023 - 24
Operating Revenues					
1	Tuition and Fees	\$ 931,616	\$ 988,629	\$ 1,028,764	4%
2	Less Scholarship Allowances	408,251	442,599	451,418	2%
3	Net Tuition and Fees	523,365	546,030	577,346	6%
4	Federal Pell Grants	53,033	54,361	55,126	1%
5	Government Scholarship Funding	32,903	33,935	32,763	-3%
6	Institutional CARES Act Funding	50,012	-	-	0%
7	Grants and Contracts	400,813	432,377	463,138	7%
8	Auxiliary Enterprises	434,062	450,840	470,706	4%
9	Patient Medical Services, Net	1,587,381	1,706,879	1,811,353	6%
10	Other Operating Revenues	62,539	75,860	72,640	-4%
11	State Appropriations	424,949	453,418	500,871	10%
12	Federal Appropriations	28,290	28,716	28,697	0%
13	Private Gifts	80,261	100,868	101,244	0%
14	Spendable Investment Income	156,303	114,818	119,599	4%
15	Total Operating Revenues	3,833,911	3,998,102	4,233,483	6%
Operating Expenses					
16	Salaries and Wages	1,697,791	1,847,054	1,968,548	7%
17	Benefits	472,764	534,488	597,087	12%
18	Supplies, Services and Other Operating Expenses	1,150,538	1,202,104	1,238,953	3%
19	Depreciation	240,173	246,455	245,347	0%
20	Interest Expense	71,394	70,720	69,266	-2%
21	Total Operating Expenses	3,632,660	3,900,821	4,119,201	6%
22	Net Operating Income	201,251	97,281	114,282	17%
23	Net Operating Margin	5.2%	2.4%	2.7%	
Nonoperating Revenues (Expenses)					
24	Investment Income (Losses), Net of Fees	(147,702)	132,739	241,988	82%
25	Spendable Investment Income	(156,303)	(114,818)	(123,394)	7%
26	Other Nonoperating Revenues (Expenses)	(1,133)	1,930	(1,673)	-187%
27	State Capital Appropriations	682	22,330	92,049	312%
28	Capital Gifts and Grants	30,528	64,796	128,081	98%
29	Private Gifts for Endowment Purposes	41,676	36,102	37,970	5%
30	Pension and OPEB Impact on Income Statement	(16,329)	(86,545)	(61,411)	-29%
31	Mandatory Transfers	(1)	-	-	0%
32	Non-Mandatory Transfers	-	-	-	0%
33	Net Nonoperating Revenues (Expenses)	(248,582)	56,534	313,610	455%
34	Increase in Net Position	(47,331)	153,815	427,892	
35	Net Position, Beginning of Year	4,852,418	4,806,010	4,959,825	
36	Cumulative Effect of Change in Accounting Principle	923	-	-	
37	Net Position, Beginning of Year, Adjusted	4,853,341	4,806,010	4,959,825	
38	Net Position, End of Period	\$ 4,806,010	\$ 4,959,825	\$ 5,387,717	

June 29, 2023

The University's budget includes a revenue increase of 10.4% over FY2022 and 5.9% over FY2023:

Net Tuition and Fees (Line 3) are projected to grow by 5.7% or \$31.3 million year over year. Budgeted amounts include the tuition rate increases approved by the Board in May 2023. Overall enrollment is budgeted to increase by 1%. 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 is provided in the appendix for each institution.

Grants and Contracts (Line 7) are projected to grow by 7.1% or \$30.8 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 FY2023, MU is projected to grow research revenues by 8.2%. UMKC is budgeting 4.5% growth in research grants and contracts.

Auxiliary Enterprises (Line 8) are projected to grow by 4.4% or \$19.8 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 student housing, student dining, athletics and bookstores. The growth in revenues reflect inflationary rate increases and stable enrollment.

Patient Medical Services (Line 9) are projected to grow by 6.1% or \$104.5 million over the prior year. The overall budget includes 3% volume growth year over year reflecting internal growth plans and an assessment of market opportunities. 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 10) are projected to decline by \$3.2 million over the prior year. Other operating 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.

State Appropriations (Line 11) are budgeted at the amount Truly Agreed and Finally Passed (TAFP) by the legislature for the 2023 legislative session. Appropriations for capital projects are reported as "State Capital Appropriations" on line 27. The core increase of 7% was the largest in the last two decades.

Federal Appropriations (Line 12) 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 13) are budgeted to remain flat. 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 14) 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 on the remaining revenues can be found for each university in the appendix.

The University's operating expenses are projected to increase over FY2022 by 13.4% and grow over the projection for FY2023 by 5.6%:

Salaries and Wages (Line 16) are projected to grow by \$121.4 million or 6.6%. The increased budget for salaries and wages largely reflects the impact of a 4% 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 17) are projected to grow with the growth in Salaries and Wages. The faster growth in benefits is driven primarily by medical costs. The University's medical claims cost has increased as healthcare utilization has returned to more historical levels. The benefits budget includes this increase in cost to reflect the increase in medical costs.

Supplies, Services and Other Operating Expenses (Line 18) are projected to grow by \$36.8 million or 3.1%. The increase is largely driven by inflationary pressures on the acquisition of goods and services, with some efficiency built in. Supplies, Services and Other expense also includes one-time non-capital maintenance and repair expenses that are expected to drop in FY2024.

Depreciation (Line 19) and Interest (Line 20) expenses grow in line with the capital investments, completions of projected capital projects and repayment of external debt.

Detailed statements of Revenues, Expenses, and Changes in Net Position are provided with explanations in Appendix 1 for each operating unit.

Next Steps: Financial Plans

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 FY2023 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: BUDGET DETAILS BY UNIT

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

MU

MU launched Mizzou Forward with the goal of enhancing the university's research and education missions. Mizzou Forward will provide investments to achieve excellence as a public research, AAU institution guided by accountability and ambition. To achieve excellence, the following investments are included in the FY2024 budget:

- Funding for additional faculty hires for the Mizzou Forward Initiative and promotions and raises for existing excellent faculty.
- Investments in infrastructure in both the Provost's Office and Office of Research to support academic growth.
- Capital investments in Veterinary Medicine Diagnostic Lab, MU Research Reactor West Expansion, MU Engineering and Applied Sciences Building, Agriculture, and NextGen Precision Health.

Schedule 2: MU FY 2024 Budget (Dollars in Thousands)

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

Line No.		Actuals FY2022	Projected FY2023	Budget FY2024	% Change FY2023 - 24
Operating Revenues					
1	Tuition and Fees	\$ 492,275	\$ 530,951	\$ 543,834	2%
2	Less Scholarship Allowances	226,108	242,998	244,534	1%
3	Net Tuition and Fees	266,167	287,953	299,300	4%
4	Federal Pell Grants	24,200	24,700	25,650	4%
5	Government Scholarship Funding	18,764	19,000	19,000	0%
6	Institutional CARES Act Funding	21,600	-	-	0%
7	Grants and Contracts	257,053	284,940	308,382	8%
8	Auxiliary Enterprises	313,310	327,152	343,677	5%
9	Patient Medical Services, Net	288,366	313,478	336,248	7%
10	Other Operating Revenues	32,875	43,260	39,714	-8%
11	State Appropriations	225,457	242,645	275,815	14%
12	Federal Appropriations	18,127	18,951	18,808	-1%
13	Private Gifts	39,396	42,466	44,808	6%
14	Spendable Investment Income	109,923	82,112	83,172	1%
15	Total Operating Revenues	1,615,238	1,686,657	1,794,574	6%
Operating Expenses					
16	Salaries and Wages	851,109	927,211	996,663	7%
17	Benefits	241,473	261,164	284,916	9%
18	Supplies, Services and Other Operating Expenses	295,893	320,896	348,429	9%
19	Depreciation	102,427	105,718	101,943	-4%
20	Interest Expense	34,398	32,659	30,864	-5%
21	Total Operating Expenses	1,525,300	1,647,648	1,762,815	7%
22	Net Operating Income	89,938	39,009	31,759	-19%
23	Net Operating Margin	5.6%	2.3%	1.8%	
Nonoperating Revenues (Expenses)					
24	Investment Income (Losses), Net of Fees	39,673	76,944	119,165	55%
25	Spendable Investment Income	(109,923)	(82,112)	(83,172)	1%
26	Other Nonoperating Revenues (Expenses)	(607)	510	515	1%
27	State Capital Appropriations/Grants	682	2,000	36,000	1700%
28	Capital Gifts and Grants	16,337	14,929	69,723	367%
29	Private Gifts for Endowment Purposes	32,023	28,382	32,298	14%
30	Mandatory Transfers	128	-	-	0%
31	Non-Mandatory Transfers	39,864	33,049	21,876	-34%
32	Net Nonoperating Revenues (Expenses)	18,177	73,702	196,405	102%
33	Increase in Net Position	108,115	112,711	228,164	
34	Net Position, Beginning of Year	3,408,079	3,516,047	3,628,758	
35	Cumulative Effect of Change in Accounting Principle	(147)	-	-	
36	Net Position, Beginning of Year, Adjusted	3,407,932	3,516,047	3,628,758	
37	Net Position, End of Period	\$ 3,516,047	\$ 3,628,758	\$ 3,856,922	

June 29, 2023

MU's FY2024 budget reflects a 1.8% operating margin. Key drivers for revenue growth include tuition revenues and grants and contracts. Key drivers of expense growth include investments to improve the faculty and research productivity, both key factors in academic excellence.

Operating Revenues:

Tuition and Fees (Line 1) are budgeted to increase by \$12.9 million or 2.4% over the prior year. Budgeted amounts include the tuition rate increases approved by the Board in May 2023. MU has budgeted flat enrollment growth overall. MU anticipates undergraduate tuition to increase by \$20 million or 6.5%. This increase is offset by a budgeted decline in graduate enrollment and projected shift in resident mix within the graduate and professional programs.

Scholarship Allowances (Line 2) are budgeted to increase by \$1.5 million or 0.6% 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.

<i>\$'s in thousand's</i>	Actuals FY2022	Projected FY2023	Budget FY2024
Scholarship Allowance (Line2)	\$226,108	\$242,998	\$244,534
Less:			
Federal Pell Grants (Line 4)	24,200	24,700	25,650
Government Scholarship Funding (Line 5)	18,764	19,000	19,000
Total Institutional Aid	\$183,144	\$199,298	\$199,884
Less: Restricted Donor Aid / Waivers	32,356	34,957	33,892
Institutional Aid funded from Operations	\$150,788	\$158,713	\$165,992

Institutional aid funded from operations is budgeted to increase by 4.6% or \$7.3 million. The increase will maintain the same level of aid awarded when compared to tuition. The University will provide the Board with a more detailed update of financial aid programs in the Fall.

Grants and Contracts (Line7) are projected to increase by 8.2% over the prior year. MU is committed to improving research competitiveness and is projecting a 10.8% growth in grants and contract revenue from FY2022 to FY2023. The budgeted revenue growth aligns with trends in proposals and awards due to Mizzou Forward initiatives.

Auxiliary Enterprises (Line 8) revenue is projected to increase by \$16.5 million over FY2023 representing 5.1% growth. The growth in revenue is driven by MU Research Reactor (MURR) multi-year agreement which is budgeted to increase by \$10.0 million over FY2023. The remaining budgeted increase is from inflationary rates.

Net Patient Medical Service (Line9) revenues primarily represent revenues from University Physicians and are projected to increase by 7.3% over FY2023. The growth in revenues aligns with MU Healthcare's budgeted revenue growth. The revenues from University Physicians fund the clinical compensation for Medical School faculty appointments.

State Appropriations (Line11) reflects the 7% core increase, or \$17.4 million, and an additional \$5 million (one-time funding for extension services appropriated in FY2023 and include in recurring core balance from FY2024) approved by the legislature during the 2023 legislative session. The remaining increase is attributed to additional line items and program support approved by the legislature during the 2023 legislative session.

Operating Expenses

Overall, MU's operating expenses are projected to increase by 7.0%. Salaries and wages are budgeted to increase by 7.5% and include the effect of a 4% performance-based merit and market raise pool.

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

	Actuals	Projected	Budget
	FY2022	FY2023	FY2024
Operations and Service Operations	\$359,762	\$388,711	\$424,577
Auxiliary Enterprises	103,516	107,953	123,741
Patient Services Auxiliaries	258,764	292,766	293,248
Restricted (Gifts & Grants)	129,067	137,781	155,097
Total Salaries and Wages (Line 16)	\$851,109	\$927,211	\$996,663

Salaries and Wages

- *Operations and Service Operations* are budgeted to increase from FY2023 projection by \$35.9 million or 9.2%. \$15.5 million of the increase reflects of the 4% raise pool. The remaining increase represents faculty and staff for Mizzou Forward initiatives.
- *Auxiliary Enterprises* wages are budgeted to increase by \$15.8 million over the prior year. The budget for FY2024 addresses market compensation pressure and vacant positions needed to support revenue growth.
- *Patient Services* wages are budgeted flat from FY2023 correlating with the decline in purchased services from MU Healthcare.
- *Restricted* funded wages from grants and gifts are anticipated to increase by \$17.3 million. This compensation and workforce size are dependent on the availability of the related revenues to fund research.

MU Supplies, Services and Other Operating Expenses Detail (Dollars in Thousands)

	Actuals FY2022	Projected FY2023	Budget FY2024
Operations and Service Operations	\$78,338	\$98,039	\$96,565
Auxiliary Enterprises	137,435	141,867	149,390
Patient Services Auxiliaries	(36,162)	(38,404)	(20,998)
Restricted (Gifts & Grants)	84,418	89,044	101,727
Plant	31,864	30,350	21,745
Total Supplies, Services and Other Operating Expenses (Line18)	\$295,893	\$320,896	\$348,429

Supplies, Services and Other Operating Expenses

- *Operations and Service Operations* expenditures are budgeted to decrease by \$1.5 million over FY2023 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.
- *Auxiliary Enterprises* expenditures are budgeted to increase by \$7.5 million over FY2023 projection. This budgeted amount reflects the projected inflationary cost increases in supplies and other for auxiliary operations.
- *Patient Services* expenditures are presented as a negative expense as a charge to the Hospital for clinical services provided by University Physicians, including anesthesia coverage, call coverage, and other purchased services common in healthcare operations. The smaller negative represents a smaller charge to the hospital for physician services, which are budgeted to decrease as MU Healthcare manages expense growth within available revenue budget streams.
- *Restricted* expenditures funded from grants and gifts are anticipated to increase \$12.7 million from FY2023 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 \$8.6 million over the prior year. The decrease reflects less maintenance spending on buildings as capital investment ramps up.

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 FY2024 budget includes investments totaling \$12 million for this project.
- *NextGen Precision Health Building - 4th Floor Fit Out* will be supported by capital reserves and governmental appropriations. The FY2024 budget includes investments totaling \$22 million for this project.
- *Vet Med Diagnostics Lab* will be supported by governmental appropriations and gifts. Total project cost included in FY2024 is \$17 million.

- *Swine Facility Expansion and School of Medicine Building Renovations* is anticipated to have \$21 million in spending for FY2024. The project sources include capital reserves and governmental appropriations.
- *Thompson Center* will be support by capital reserves, gifts and by America Rescue Plan Act funds from the State. The FY2024 budget includes investments totaling \$5.5 million for this project.
- Renovations on the *Virginia Ave Parking Structure* funded by capital reserves are budgeted to be \$6.8 million for FY2024.
- Renovations on *Pershing Hall* and *Lottes Health Science Library* will be funded by capital reserves are budgeted to be \$14.4 million for FY2024.
- *Engineering and Applied Sciences Building* will be supported by governmental appropriations and gifts. Total project cost included in FY2024 is \$3 million.
- Work will begin on the *Electrical Interconnection and Substation* this project will be funded by capital reserves and governmental appropriations. Total project cost included in FY2024 is \$14 million.

UMKC

UMKC Forward was launched in Spring of 2021 with the overall objective to provide students with the best educational experience and faculty and staff with the best resources and support to continue world-class work. Academic realignment was a necessary process to fund this initiative and reallocate resources to provide financial stability to UMKC. Through the academic review process eleven schools/colleges have been scaled down to ten and several programs were discontinued due to the lack of demand and affordability; this was completed in FY2023.

Investments in student success included in the FY2024 budget are as follows:

- *Student Support Services* include expansion of counseling services, additional hires for academic recruiters, additional staffing to support KC Scholars program, and a mentoring program for first generation students (First Gen Roo).
- *Professional Mobility Escalators* - a unique system of personalized support and services which will propel students from their academic studies to higher-paying careers. This system is intended to improve retention, graduation, and post-graduation outcomes for UMKC's students. MOExcels funding was awarded to UMKC in FY2023 and FY2024 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.

UMKC Forward Faculty and Research Excellence, Career Expansion and Community Engagement investments include:

- *Center for Advancing Faculty Excellence (CAFE)* is a comprehensive program of mentoring, development opportunities and resources to support, attract and retain high quality and engaged faculty. Newly renovated space specifically dedicated to faculty development will open in August 2023.

- Investments in increasing and improving research infrastructure including staffing continue in FY2024.

UMKC FY 2024 Budget (Dollars in Thousands)

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

Line No.		Actuals FY2022	Projected FY2023	Budget FY2024	% Change FY2023 - 24
Operating Revenues					
1	Tuition and Fees	\$ 208,859	\$223,000	\$ 233,779	5%
2	Less Scholarship Allowances	71,848	86,000	85,000	-1%
3	Net Tuition and Fees	137,011	137,000	148,779	9%
4	Federal Pell Grants	12,659	12,750	12,600	-1%
5	Government Scholarship Funding	4,708	5,330	5,000	-6%
6	Institutional CARES Act Funding	10,577	-	-	0%
7	Grants and Contracts	62,684	67,000	70,000	4%
8	Auxiliary Enterprises	37,856	42,000	46,846	12%
9	Patient Medical Services, Net	39,843	40,800	41,145	1%
10	Other Operating Revenues	21,075	22,000	20,000	-9%
11	State Appropriations	77,992	82,301	88,463	7%
12	Federal Appropriations	-	-	-	0%
13	Private Gifts	18,311	26,500	17,500	-34%
14	Spendable Investment Income	19,597	15,467	15,714	2%
15	Total Operating Revenues	442,313	451,148	466,047	3%
Operating Expenses					
16	Salaries and Wages	201,566	210,000	229,492	9%
17	Benefits	59,472	63,900	71,921	13%
18	Supplies, Services and Other Operating Expenses	108,556	124,000	125,104	1%
19	Depreciation	25,505	25,360	24,220	-4%
20	Interest Expense	7,549	7,300	6,730	-8%
21	Total Operating Expenses	402,648	430,560	457,467	6%
22	Net Operating Income	39,665	20,588	8,580	-58%
23	Net Operating Margin	9.0%	4.6%	1.8%	
Nonoperating Revenues (Expenses)					
24	Investment Income (Losses), Net of Fees	11,717	17,231	24,266	41%
25	Spendable Investment Income	(19,597)	(15,467)	(15,714)	2%
26	Other Nonoperating Revenues (Expenses)	(342)	547	-	0%
27	State Capital Appropriations	-	-	11,500	0%
28	Capital Gifts and Grants	5,816	16,500	18,500	12%
29	Private Gifts for Endowment Purposes	2,173	300	900	200%
30	Mandatory Transfers	30	-	-	0%
31	Non-Mandatory Transfers	484	1,085	187	-83%
32	Net Nonoperating Revenues (Expenses)	281	20,196	39,639	18%
33	Increase in Net Position	39,946	40,784	48,219	
34	Net Position, Beginning of Year	633,310	673,177	713,961	
35	Cumulative Effect of Change in Accounting Principle	(79)	-	-	
36	Net Position, Beginning of Year, Adjusted	633,231	673,177	713,961	
37	Net Position, End of Period	\$ 673,177	\$ 713,961	\$ 762,180	

June 29, 2023

Overall, UMKC's operating margin is \$8.6 million, or 1.8%. UMKC's margin is above the target of 1%.

Operating Revenues:

Tuition and Fees (Line 1) are budgeted to increase by \$10.8 million or 4.8% over the prior year. The gross tuition and fee budgeted amounts include the Board approved rates from May 2023. Budgeted enrollment includes an overall increase of 2% with modest increases in undergraduate enrollment and declining international 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 remain stable with solid demand.

Scholarship Allowances (Line 2) are budgeted to decrease by \$1 million or 1.2% 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.

<i>\$'s in thousand's</i>	Actuals FY2022	Projected FY2023	Budget FY2024
Scholarship Allowance (Line2)	\$71,848	\$86,000	\$85,000
Less:			
Federal Pell Grants (Line 4)	12,659	12,750	12,600
Government Scholarship Funding (Line 5)	4,708	5,330	5,000
Total Institutional Aid	\$54,481	\$67,920	\$67,400
Less: Restricted Donor Aid / Waivers	12,872	21,620	17,212
Institutional Aid funded from Operations	\$41,609	\$46,300	\$50,188

FY2024 Institutional Aid budget includes enhanced scholarships offerings; including UMKC Advantage Grant which covers all tuition and fees beyond the Pell Grant and expansion of aid programs for international students.

Grants and Contracts (Line7) are projected to increase by \$3 million over the prior year. UMKC experienced growth in grants and contracts during FY2023 and is committed to continuing to improve research competitiveness.

Auxiliary Enterprises (Line 8) revenue is projected to increase by \$4.8 million over FY2023 representing 11.5% growth. The growth in auxiliary revenues is driven by anticipated improved occupancy rates and inflationary rate increases.

Net Patient Medical Service (Line 9) revenues are projected to increase \$345,000 over FY2023. These revenues are contract services provided to the School of Medicine's hospital affiliates through the graduate medical education programs.

State Appropriations (Line12) reflects the 7% core increase, or \$6.2 million, approved by the legislature during the 2023 legislative session.

Private Gifts (Line 13) are budgeted to decrease by \$9 million from FY2023 due to a significant one-time gift received in FY2023. Budgeted gift revenues align with historical giving.

Operating Expenses

Overall, UMKC's operating expenses are projected to increase by 6%. Salaries and wages are budgeted to increase by 9.3% and include the effect of a 4% performance-based merit and market raise pool. UMKC has experienced high turnover rates and extended fill rates for many staff positions and will utilize the raise pool to address market concerns.

UMKC Salaries and Wages Detail (Dollars in Thousands)

	Actuals FY2022	Projected FY2023	Budget FY2024
Operations and Service Operations	\$133,569	\$139,474	\$160,814
Auxiliary Enterprises	7,641	9,136	10,305
Patient Service Auxiliaries	29,096	29,354	29,039
Restricted (Gifts & Grants)	31,260	32,036	29,334
Total Salaries and Wages (Line 16)	\$201,566	\$210,000	\$229,492

Salaries and Wages (Line 16)

- *Operations and Service Operations* are budgeted to increase by \$21.3 million from FY2023 projection. This increase is attributed to investments in additional faculty as campus continues to restore faculty departures from voluntary separations and prior year reductions; continued investment in UMKC Forward student advising, recruitment and career preparation; and market adjustments to existing faculty and staff. UMKC has experienced high turnover rates and extended fill rates for many staff positions and will utilize the raise pool to address market concerns and fill current vacant positions.
- *Auxiliary Enterprises* are budgeted to increase by \$1.2 million over FY2023 projections. The increase in wages reflect the growth in auxiliary enterprises and the investment made in student service auxiliaries such as student health and counseling.
- *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 decline slightly over FY2023 projections. This compensation will only be realized if there is related gift and grant revenues to fund the compensation.

UMKC Supplies Service and Other Operating Expenses Detail (Dollars in Thousands)

	Actuals FY2022	Projected FY2023	Budget FY2024
Operations and Service Operations	\$54,450	\$64,379	\$62,912
Auxiliary Enterprises	12,266	11,847	15,983
Patient Service Auxiliaries	4,206	3,298	3,711
Restricted (Gifts & Grants)	29,902	40,732	37,523
Plant	7,732	3,744	4,975
Total Supplies, Services and Other Operating Expenses (Line18)	\$108,556	\$124,000	\$125,104

Supplies, Services and Other Operating Expenses

- *Operations and Service Operations* expenditures are budgeted to increase \$1.5 million over FY2023 projection, due mainly inflationary increases in insurance and utilities.
- *Auxiliary Enterprises* expenditures are budgeted to increase by \$4.1 million from FY2023 projection due to inflationary pressures.
- *Patient Services* expenditures are budgeted to increase by \$413,000 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 \$3.2 million from FY2023. With supply chain issues the ability to complete projects has been a challenge, the FY 2023 budget reflects project spend shifting between fiscal years on restricted funds with more spending occurring in FY 2023.
- *Plant* expenditures are budgeted to increase by \$1.2 million over FY2023 projection related to the classroom improvement and campus maintenance and renovation projects also funded from Operations.

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 FY2024 budget includes investments totaling \$25 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 FY2024 budget includes investments totaling \$5 million for this project which will primarily be funded from state and federal appropriations.
- *Steamline Improvements* on the UMKC campus included in the FY2024 budget total \$5 million.

S&T

S&T's budget is built upon the re-emergence of growth after declining enrollments prior to the pandemic. After receiving the largest gift at a Missouri public institution in FY2021, S&T seeks to become one of the top public STEM focused research institutions in the country. The following investments are included in the budget to support this vision:

- Student Success and Quality – scholarships and fellowships will be provided for highly qualified students through the continuation of the Kummer Vanguard Scholars program for undergraduates and the Kummer Innovation and Entrepreneurship Fellows program for doctoral students. Additional investments will be made in initiatives targeted at retention and student success.
- Faculty and Staff - to be a leader in innovation and entrepreneurial education recruitment of highly qualified faculty and staff are needed. S&T FY2024 budget includes investments in faculty and staff recruitment and retention efforts through merit, market and equity salary adjustments as well as professional development programs.
- Continued investments in research infrastructure are included in S&T's FY2024 budget which are supported by government appropriations, gifts, and capital reserves.

S&T FY 2024 Budget (Dollars in Thousands)

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

Line No.		Actuals FY2022	Projected FY2023	Budget FY2024	% Change FY2023 - 24
Operating Revenues					
1	Tuition and Fees	\$ 119,995	\$ 126,023	\$ 131,330	4%
2	Less Scholarship Allowances	63,974	70,700	72,821	3%
3	Net Tuition and Fees	56,021	55,323	58,509	6%
4	Federal Pell Grants	5,445	5,625	5,400	-4%
5	Government Scholarship Funding	5,670	5,925	5,000	-16%
6	Institutional CARES Act Funding	7,168	-	-	0%
7	Grants and Contracts	44,203	40,682	43,775	8%
8	Auxiliary Enterprises	23,098	23,800	24,264	2%
9	Patient Medical Services, Net	-	-	-	0%
10	Other Operating Revenues	3,405	3,500	2,860	-18%
11	State Appropriations	53,026	55,942	60,121	7%
12	Federal Appropriations	-	-	-	0%
13	Private Gifts	8,208	18,700	20,269	8%
14	Spendable Investment Income	18,477	13,200	14,348	9%
15	Total Operating Revenues	224,721	222,697	234,546	5%
Operating Expenses					
16	Salaries and Wages	95,976	105,300	112,935	7%
17	Benefits	29,336	31,800	37,099	17%
18	Supplies, Services and Other Operating Expenses	45,052	50,200	48,670	-3%
19	Depreciation	23,901	24,500	24,918	2%
20	Interest Expense	5,304	5,100	4,847	-5%
21	Total Operating Expenses	199,569	216,900	228,469	5%
22	Net Operating Income	25,152	5,797	6,077	5%
23	Net Operating Margin	11.2%	2.6%	2.6%	
Nonoperating Revenues (Expenses)					
24	Investment Income (Losses), Net of Fees	7,601	11,316	13,053	15%
25	Spendable Investment Income	(18,477)	(13,200)	(14,348)	9%
26	Other Nonoperating Revenues (Expenses)	(6,796)	41	50	22%
27	State Capital Appropriations	-	7,300	20,762	100%
28	Capital Gifts and Grants	5,339	27,085	34,694	28%
29	Private Gifts for Endowment Purposes	3,314	3,500	2,250	-36%
30	Mandatory Transfers	18	-	-	0%
31	Non-Mandatory Transfers	(2,189)	1,854	82	-96%
32	Net Nonoperating Revenues (Expenses)	(11,190)	37,896	56,543	43%
33	Increase in Net Position	13,962	43,693	62,620	
34	Net Position, Beginning of Year	649,058	662,982	706,675	
35	Cumulative Effect of Change in Accounting Principle	(36)	-	-	
36	Net Position, Beginning of Year, Adjusted	649,022	662,982	706,675	
37	Net Position, End of Period	\$ 662,982	\$ 706,675	\$ 769,295	

June 29, 2023

Overall, S&T's operating margin is \$6.1 million, or 2.6% which is in line with financial plan presented to the Board in February.

Operating Revenues:

Tuition and Fees (Line 1) are budgeted to increase by \$5.3 million or 4.2% over the prior year. This increase is a result of tuition rate increases approved by the Board. S&T's enrollment is budgeted to remain flat year over year.

Scholarship Allowances (Line 2) are budgeted to increase by \$2.1 million or 3.0% 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.

<i>\$'s in thousand's</i>	Actuals FY2022	Projected FY2023	Budget FY2024
Scholarship Allowance (Line2)	\$63,974	\$70,700	\$72,821
Less:			
Federal Pell Grants (Line 4)	5,445	5,625	5,400
Government Scholarship Funding (Line 5)	5,670	5,925	5,000
Total Institutional Aid	\$52,859	\$59,150	\$62,421
Less: Restricted Donor Aid / Waivers	14,157	17,454	16,917
Institutional Aid funded from Operations	\$38,702	\$41,696	\$45,504

Institutional aid funded from operations is budgeted to increase by 9.1% or \$3.8 million. The increase will maintain the same level of aid awarded when compared to tuition.

Grants and Contracts (Line7) are budgeted to increase by 7.6% or \$3.1 million over the prior year. S&T seeks to become one of the top public STEM focused research institutions in the country. The budgeted revenue growth aligns with trends in proposals and awards due to investments from the Kummer Institute.

Auxiliary Enterprises (Line 8) revenue is budgeted to increase by 1.9% over FY2023. The modest growth in revenue is driven by scholarships budgeted by residential life to increase occupancy rates which has off-set inflationary rate increase.

State Appropriations (Line 11) reflects the 7% core increase, or \$4.2 million, approved by the legislature during the 2023 legislative session.

Private Gifts (Line 13) are projected to increase by \$1.6 million, largely driven by the increase in gift funding received by the Kummer Institute for new programming. Additional revenues from the Kummer Foundation are reported as gifts as the Foundation provides funding.

Operating Expenses

Overall, S&T's operating expenses are projected to increase by 5.3% reflecting increase compensation cost driven by market inflation.

S&T Salaries and Wages Detail (Dollars in Thousands)

	Actuals FY2022	Projected FY2023	Budget FY2024
Operations and Service Operations	\$77,038	\$83,168	\$88,301
Auxiliary Enterprises	2,382	3,046	3,246
Restricted (Gifts & Grants)	16,556	19,086	21,388
Total Salaries and Wages (Line 16)	\$95,976	\$105,300	\$112,935

Salaries and Wages (Line 16)

- All wages for FY2024 budget include the effect of a 4.5% 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 \$5.1 million from FY2023 projection this increase is to provide faculty and staff with market and equity adjustments and to fill essential vacant positions within the university.
- *Auxiliary Enterprises* wages are budgeted to increase by \$200,000 to fund market compensation pressure.
- *Restricted* wages funded from grants and gifts are budgeted to increase by \$2.3 million, this increase corresponds with the increase in budgeted grant revenue.

S&T Supplies Services and Other Operating Expense Detail (Dollars in Thousands)

	Actuals FY2022	Projected FY2023	Budget FY2024
Operations and Service Operations	\$23,168	\$28,527	\$25,815
Auxiliary Enterprises	9,035	8,409	7,600
Restricted (Gifts & Grants)	12,440	12,209	14,104
Plant	409	1,055	1,151
Total Supplies, Services and Other Operating Expenses (Line18)	\$45,052	\$50,200	\$48,670

Supplies, Services and Other Operating Expenses (Line 18)

- *Operations and Supporting Services* expenditures are budgeted to decrease \$2.7 million over FY2023 projection. Nonrecurring non-capital investments in classroom facilities are included in the FY2023 projections and will not be continued in FY2024.
- *Auxiliary Enterprises* expenditures are budgeted to decrease from FY2023 projection by \$809,000. Missouri S&T has two significant auxiliaries which drive the revenues and expenditures, Housing and Dining and University Centers. These two auxiliaries have budgeted to drop contract labor from FY2023 with the replacement cost in salaries and benefits.
- *Restricted expenditures* funded from grants and gifts are anticipated to increase by \$1.9 million from the FY2023 projection. The increase is supported by the growth in grant

revenue.

- *Plant* expenditures are budgeted to increase by \$96,000 over FY2023 projections due to an increase 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, federal grants, and America Rescue Plan Act funds from the State. The FY2024 budget includes investments totaling \$20.9 million for this project.
- *Student Experience Center (Engineering Research Innovation Lab)* will be funded from capital reserves and gifts, the FY2024 budget includes \$18.1 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 FY2024 is \$10.2 million.
- *Welcome Center* will be funded from capital reserves and gifts. Total capital investment included in the FY2024 budget is \$14.0 million.
- *Advancing STEM in Missouri* projects are funded through gifts, state funds, and capital reserves. The FY2024 budget includes investments totaling \$6.5 million for these projects.

UMSL

UMSL's FY2024 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 FY2024 budget includes funding to improve enrollment including enhanced recruiting and advising, marketing, a branding revision, investment in eLearning, and revised financial aid initiatives. To respond to the new expense base from falling enrollments, UMSL has expanded shared services and is implementing a space consolidation plan to reduce its capital footprint.

UMSL FY2024 Budget (Dollars in Thousands)

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

Line No.		Actuals FY2022	Projected FY2023	Budget FY2024	% Change FY2023 - 24
Operating Revenues					
1	Tuition and Fees	\$ 110,487	\$ 108,655	\$ 119,821	10%
2	Less Scholarship Allowances	46,278	42,824	49,030	14%
3	Net Tuition and Fees	64,209	65,831	70,791	8%
4	Federal Pell Grants	10,729	11,286	11,476	2%
5	Government Scholarship Funding	3,761	3,680	3,763	2%
6	Institutional CARES Act Funding	10,667	-	-	0%
7	Grants and Contracts	35,059	38,377	40,965	7%
8	Auxiliary Enterprises	13,638	14,119	12,321	-13%
9	Patient Medical Services, Net	25	24	24	0%
10	Other Operating Revenues	1,758	2,139	1,983	-7%
11	State Appropriations	59,007	63,063	68,654	9%
12	Federal Appropriations	-	-	-	0%
13	Private Gifts	12,785	11,800	12,531	6%
14	Spendable Investment Income	10,773	8,738	9,087	4%
15	Total Operating Revenues	222,411	219,057	231,595	6%
Operating Expenses					
16	Salaries and Wages	97,797	102,711	106,212	3%
17	Benefits	31,815	33,103	35,050	6%
18	Supplies, Services and Other Operating Expenses	57,754	64,236	67,136	5%
19	Depreciation	17,990	18,213	17,824	-2%
20	Interest Expense	5,368	5,123	4,860	-5%
21	Total Operating Expenses	210,724	223,386	231,082	3%
22	Net Operating Income	11,687	(4,329)	513	112%
23	Net Operating Margin	5.3%	-2.0%	0.2%	
Nonoperating Revenues (Expenses)					
24	Investment Income (Losses), Net of Fees	6,379	7,742	10,701	38%
25	Spendable Investment Income	(10,773)	(8,738)	(9,087)	4%
26	Other Nonoperating Revenues (Expenses)	565	8	25	213%
27	State Capital Appropriations and Grants	-	13,030	23,787	0%
28	Capital Gifts and Grants	2,312	6,000	5,000	-17%
29	Private Gifts for Endowment Purposes	3,750	3,780	2,521	-33%
30	Mandatory Transfers	43	-	-	0%
31	Non-Mandatory Transfers	(679)	3,092	1,166	-62%
32	Net Nonoperating Revenues (Expenses)	1,597	24,914	34,113	68%
33	Increase in Net Position	13,284	20,585	34,626	
34	Net Position, Beginning of Year	399,982	413,249	433,834	
35	Cumulative Effect of Change in Accounting Principle	(17)	-	-	
36	Net Position, Beginning of Year, Adjusted	399,965	413,249	433,834	
37	Net Position, End of Period	\$ 413,249	\$ 433,834	\$ 468,460	

Overall, UMSL's operating margin of \$513,000 or 0.2%. The FY2024 budget represents the recapturing lost enrollments to match the institution's expenditure base.

Operating Revenues:

Tuition and Fees (Line 1) are budgeted to increase by \$11.2 million or 10.3% over the prior year. This increase is a result of a 6% approved tuition rate increase and 2% increase in budgeted enrollment which is equivalent to a 2.8% increase in student credit hours. UMSL's budget is balanced upon the anticipated growth in full-time undergraduates if enrollment growth is not obtained, expense reductions will be necessary.

Scholarship Allowances (Line 2) are budgeted to increase by \$6.2 million or 14.5% 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.

<i>\$'s in thousand's</i>	Actuals FY2022	Projected FY2023	Budget FY2024
Scholarship Allowance (Line2)	\$46,278	\$42,824	\$49,030
Less:			
Federal Pell Grants (Line 4)	10,729	11,286	11,476
Government Scholarship Funding (Line 5)	3,761	3,680	3,763
Total Institutional Aid	\$31,788	\$27,858	\$33,791
Less: Restricted Donor Aid / Waivers	5,079	6,044	6,031
Institutional Aid funded from Operations	\$26,709	\$21,814	\$27,760

UMSL has budgeted institutional aid funded from operations to increase by \$5.9 million over prior year to respond to the budgeted increase in tuition and fees.

Grants and Contracts (Line 7) are projected to increase by \$2.6 million over the prior year. UMSL increased awards received from the Missouri Department of Mental Health related to opioid response, the revenues related to these awards will span across FY2023 and FY2024.

Auxiliary Enterprise (Line 8) revenues are budgeted to decrease by \$1.8 million over FY2023 projection. The decrease revenues are reflective of the closure of Mansion Hill Condominiums during Summer 2023. The residential life operation at UMSL has struggled to generate enough resources to cover expenses and maintain adequate facility conditions. With this closure and consolidation to Oak Hall, UMSL can focus on maintaining residential life facilities which generate resources to maintain remaining residential facilities and support the current and expected student population.

State Appropriations (Line 11) reflects the 7% core increase, or \$4.6 million, approved by the legislature during the 2023 legislative session. The remaining increase is attributed to additional line items and program support approved by the legislature during the 2023 legislative session.

Operating Expenses

Salaries and Wages (Line 16) include the effect of a 4% performance-based merit and market raise pool.

UMSL Salaries and Wages by Funding Source (Dollars in Thousands)

	Actuals FY2022	Projected FY2023	Budget FY2024
Operations and Service Operations	\$78,199	\$81,900	\$84,457
Auxiliary Enterprises	2,212	1,978	1,981
Restricted (Gifts & Grants)	17,386	18,833	19,775
Total Salaries and Wages (Line 16)	\$97,797	\$102,711	\$106,212

- Wages funded by *Operations and Service Operations* are budgeted to increase by \$2.6 million from FY2023 projection. This increase represents a performance-based merit and market raise pool of \$3.3 million off-set by natural annual attrition.
- *Auxiliary Enterprises* wages are budgeted to increase by \$3,000, this increase is minimal as result of available auxiliary revenue sources.
- Wages funded by *Gifts and Grants* are budgeted to increase by \$942,000 from FY2023 projection this increase corresponds with the increase in budgeted grant revenue.

UMSL Supplies Services and Other Operating Expenses Detail (Dollars in Thousands)

	Actuals FY2022	Projected FY2023	Budget FY2024
Operations and Service Operations	\$30,351	\$36,374	\$38,106
Auxiliary Enterprises	7,505	8,226	6,845
Restricted (Gifts & Grants)	19,340	17,462	20,083
Plant	558	2,174	2,102
Total Supplies, Services and Other Operating Expenses (Line18)	\$57,754	\$64,236	\$67,136

Supplies, Services and Other Operating Expenses

- *Operations and Service Operations* expenditures are budgeted to increase \$1.7 million over FY2023 projection. The increase in expenditures reflects the additional \$1 million in program funding recommended by the governor and approved by legislation for UMSL International Collaboration & Economic Opportunity program.
- *Auxiliary Enterprises* expenditures are budgeted to decrease \$1.4 million from FY2023 projection which is attributed to the closure of Mansion Hills.
- *Restricted* expenditures funded from grants and gifts are anticipated increase \$2.6 million from FY2023 projection, this contingent upon restricted revenue resources.
- *Plant* expenditures are budgeted to slightly decrease from FY2023 projections UMSL will continue to have M&R projects related to the space consolidation plans.

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 \$23.4 million for this project.

MUHC

MU Healthcare FY 2023 Budget (Dollars in Thousands)

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

Line No.		Actuals FY2022	Projected FY2023	Budget FY2024	% Change FY2023 - 24
Operating Revenues					
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	Institutional CARES Act Funding	-	-	-	0%
7	Grants and Contracts	867	117	16	-86%
8	Auxiliary Enterprises	23,187	21,652	22,161	2%
9	Patient Medical Services, Net	1,259,147	1,352,577	1,433,936	6%
10	Other Operating Revenues	166	257	442	72%
11	State Appropriations	-	-	-	0%
12	Federal Appropriations	-	-	-	0%
13	Private Gifts	1,417	1,279	6,008	370%
14	Spendable Investment Income	-	-	-	0%
15	Total Operating Revenues	1,284,784	1,375,882	1,462,563	6%
Operating Expenses					
16	Salaries and Wages	410,203	459,764	475,447	3%
17	Benefits	121,566	128,140	145,674	14%
18	Supplies, Services and Other Operating Expenses	655,791	671,672	676,552	1%
19	Depreciation	66,844	69,938	74,065	6%
20	Interest Expense	12,010	13,666	18,474	35%
21	Total Operating Expenses	1,266,414	1,343,180	1,390,212	4%
22	Net Operating Income	18,370	32,702	72,351	121%
23	Net Operating Margin	1.4%	2.4%	4.9%	
Nonoperating Revenues (Expenses)					
24	Investment Income (Losses), Net of Fees	4,683	5,938	3,764	-37%
25	Spendable Investment Income	-	-	(3,795)	0%
26	Other Nonoperating Revenues (Expenses)	8,086	282	(2,266)	-904%
27	State Capital Appropriations	-	-	-	0%
28	Capital Gifts and Grants	724	282	164	-42%
29	Private Gifts for Endowment Purposes	264	133	-	-100%
30	Mandatory Transfers	-	-	-	0%
31	Non-Mandatory Transfers	(46,850)	(32,988)	(27,533)	-17%
32	Net Nonoperating Revenues (Expenses)	(33,093)	(26,353)	(29,666)	572%
33	Increase in Net Position	(14,723)	6,349	42,685	
34	Net Position, Beginning of Year	1,015,574	1,000,350	1,006,699	
35	Cumulative Effect of Change in Accounting Principi	(501)	-	-	
36	Net Position, Beginning of Year, Adjusted	1,015,073	1,000,350	1,006,699	
37	Net Position, End of Period	\$ 1,000,350	\$ 1,006,699	\$ 1,049,384	

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.

June 29, 2023

In FY2022, MU Healthcare experienced a decline in operating margin from cost increases outpacing available revenue. Much of the cost increase reflected significant labor challenges in clinical staffing, as nursing agency contract rates during the pandemic increased dramatically. Additionally, drug cost increases from changes to the 340b program further reduced operating income. Both changes will take time to adapt to, and MU Healthcare is focused on improving financial performance, but must do so within a challenging marketplace to recruit staff and consistent shortages of needed supplies and drugs.

MU Healthcare's FY2023 operating performance is projected to improve by \$14.3 million over FY2022 and is on track as of April to meet expectations outlined in the February financial plan. FY2024 operating performance is budgeted to trend upwards more towards historical levels with increase of \$39.6 million to operating margin over FY2023. MU Healthcare's FY2024 budget aligns with the five-year financial plan submitted to the Board in February. Budgeted revenue growth includes annual volume growth of 3% driven by strategic subspecialty growth along with inflationary rate increases. Budgeted operating expense efficiencies include reductions in agency labor, improved productivity as measured by labor per occupied bed, and non-personnel expense growth trailing inflation.

Leadership from MU Healthcare, MU School of Medicine and University Physicians have collaborated in developing core patient volumes for the plan, based upon historical performance, market assessments and internal growth plans. The overall budget includes 3% volume growth year over 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. Reimbursement for services will remain under pressure especially if inflation continues, as many contractual increases are tied to fixed percentage increases in reimbursement developed during the previous period of historically low inflation.

To manage expenditures within available revenues, MU Healthcare has significant improvement initiatives built into the budget. A key success factor remains replacing external agency labor with employed clinical care staff and reducing the agency hourly rate, both of which have been incorporated into the budget. The budget also includes a 4% market and merit pool to maintain competitive salaries, supply efficiencies, and reducing in external staffing costs.

MU Healthcare's days cash on hand is budgeted to remain above 150 days with improved budgeted operating margin and a capital budget totaling \$126.6 million.

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 23: UM System Administration FY2024 Budget (Dollars in Thousands)

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

Line No.		Actuals FY2022	Projected FY2023	Budget FY2024	% Change FY2023 - 24
Operating Revenues					
1	Tuition and Fees	\$ -	\$ -	\$ -	0%
2	Less Scholarship Allowances	20	44	-	-100%
3	Net Tuition and Fees	(20)	(44)	-	-100%
4	Federal Pell Grants	-	-	-	0%
5	Government Scholarship Funding	-	-	-	0%
6	Institutional CARES Act Funding	-	-	-	0%
7	Grants and Contracts	947	1,261	-	-100%
8	Auxiliary Enterprises	22,973	22,117	21,437	-3%
9	Patient Medical Services, Net	-	-	-	0%
10	Other Operating Revenues	3,453	4,832	7,769	61%
11	State Appropriations	-	-	-	0%
12	Federal Appropriations	-	-	-	0%
13	Private Gifts	143	121	126	4%
14	Spendable Investment Income	7,000	4,768	5,096	7%
15	Total Operating Revenues	34,496	33,055	34,428	4%
Operating Expenses					
16	Salaries and Wages	39,802	41,773	47,799	14%
17	Benefits	13,683	14,281	17,072	20%
18	Supplies, Services and Other Operating Expenses	(26,494)	(25,771)	(29,574)	15%
19	Depreciation	3,506	2,726	2,377	-13%
20	Interest Expense	106	23	-	0%
21	Total Operating Expenses	30,603	33,032	37,674	14%
22	Net Operating Income	3,893	23	(3,246)	100%
23	Net Operating Margin	11.3%	0.1%	-9.4%	
Nonoperating Revenues (Expenses)					
24	Investment Income (Losses), Net of Fees	(5,139)	4,768	7,729	62%
25	Spendable Investment Income	(7,000)	(4,768)	(5,096)	7%
26	Other Nonoperating Revenues (Expenses)	(78)	542	3	-99%
27	State Capital Appropriations	-	-	-	0%
28	Capital Gifts and Grants	-	-	-	0%
29	Private Gifts for Endowment Purposes	50	6	-	0%
30	Mandatory Transfers	-	-	-	0%
31	Non-Mandatory Transfers	(7,489)	(3,977)	4,033	-201%
32	Net Nonoperating Revenues (Expenses)	(19,656)	(3,429)	6,669	-200%
33	Increase in Net Position	(15,763)	(3,406)	3,423	
34	Net Position, Beginning of Year	237,410	223,350	219,944	
35	Cumulative Effect of Change in Accounting Principle	1,703	-	-	
36	Net Position, Beginning of Year, Adjusted	239,113	223,350	219,944	
37	Net Position, End of Period	\$ 223,350	\$ 219,944	\$ 223,367	

June 29, 2023

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 FY2024. In total, the rest System Administration's budget expenses grew in line with overall revenue growth and includes a 4% performance-based market and merit raise pool. The negative \$29.5 million in Supplies, Services, and Other reflects the collections from the other Universities and Hospital on charges for services. The negative operating margin is related to one-time funding increase for e-Learning, this funding is supported by the universities through transfers which are excluded from the operating margin calculation and net to zero on a consolidated basis.

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. The impact on the margin will fluctuate due to the actual cost of medical and insurance claims which the University self-insures. The non-operating revenues (expenses) reflect the impact on benefit liabilities, which will continue to raise contributions and benefit charges to the operating units on a forward basis.

Schedule 24: University-wide Units FY 2023 Budget (Dollars in Thousands)

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

Line No.		Actuals FY2022	Projected FY2023	Budget FY2024	% Change FY2023 - 24
Operating Revenues					
1	Tuition and Fees	\$ -	-	-	0%
2	Less Scholarship Allowances	23	33	33	0%
3	Net Tuition and Fees	(23)	(33)	(33)	0%
4	Federal Pell Grants	-	-	-	0%
5	Government Scholarship Funding	-	-	-	0%
6	Institutional CARES Act Funding	-	-	-	0%
7	Grants and Contracts	-	-	-	0%
8	Auxiliary Enterprises	-	-	-	0%
9	Patient Medical Services, Net	-	-	-	0%
10	Other Operating Revenues	(193)	(128)	(128)	0%
11	State Appropriations	9,467	9,467	7,818	0%
12	Federal Appropriations	10,163	9,765	9,889	0%
13	Private Gifts	1	2	2	0%
14	Spendable Investment Income	(9,467)	(9,467)	(7,818)	-17%
15	Total Operating Revenues	9,948	9,606	9,730	1%
Operating Expenses					
16	Salaries and Wages	1,338	295	-	0%
17	Benefits	(24,581)	2,100	5,355	155%
18	Supplies, Services and Other Operating Expenses	13,986	(3,129)	2,636	-184%
19	Depreciation	-	-	-	0%
20	Interest Expense	6,659	6,849	3,491	-49%
21	Total Operating Expenses	(2,598)	6,115	11,482	88%
22	Net Operating Income	12,546	3,491	(1,752)	-150%
23	Net Operating Margin	126.1%	36.3%	-18.0%	
Nonoperating Revenues (Expenses)					
24	Investment Income (Losses), Net of Fees	(212,616)	8,800	63,310	619%
25	Spendable Investment Income	9,467	9,467	7,818	-17%
26	Other Nonoperating Revenues (Expenses)	(1,961)	-	-	0%
27	State Capital Appropriations	-	-	-	0%
28	Capital Gifts and Grants	-	-	-	0%
29	Private Gifts for Endowment Purposes	102	1	1	0%
30	Pension and OPEB Impact on Income Statement	(16,329)	(86,545)	(61,411)	-29%
31	Mandatory Transfers	(220)	-	-	0%
32	Non-Mandatory Transfers	13,840	(2,115)	189	-100%
33	Net Nonoperating Revenues (Expenses)	(207,717)	(70,392)	9,907	-112%
34	Increase in Net Position	(195,171)	(66,901)	8,155	
35	Net Position, Beginning of Year	(246,642)	(441,813)	(508,714)	
36	Cumulative Effect of Change in Accounting Principle	-	-	-	
37	Net Position, Beginning of Year, Adjusted	(246,642)	(441,813)	(508,714)	
38	Net Position, End of Period	\$ (441,813)	\$ (508,714)	\$ (500,559)	

June 29, 2023

FY2024 Operating Budget

University of Missouri Board of Curators

Finance Committee

June 29, 2023

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

FY2024 Budget Process

- The University of Missouri is a \$4.2 billion enterprise with diverse operations
- Revenues:
 - Enrollment is budgeted to remain stable for FY2024
 - State appropriations reflect 7% core increase along with one-time program specific support
 - Grants and contracts budgeted to grow with research growth plans and award trends
 - Overall revenue growth not keeping pace with inflation
- Expenses:
 - Expense growth managed within available revenues
 - Market and performance salary pool included across universities
- Healthcare performance remains on track to plan discussed in February
- Five-year financial plans will be refreshed this fall with a focus on aligning targets to the industry after emerging from the pandemic

Prior Year, Current Year, and FY2024 Budget Operating Margin

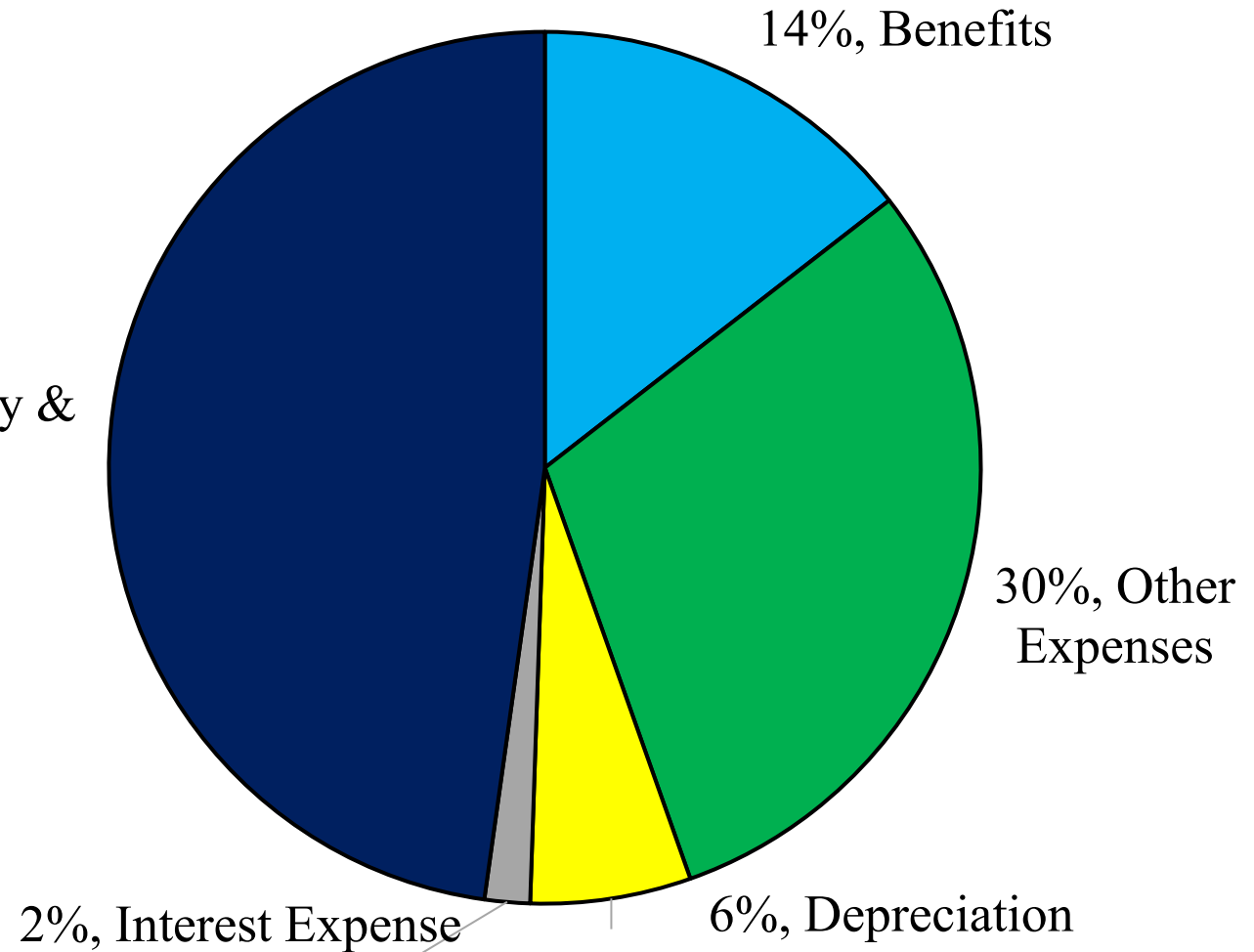
Unit	Target	FY2023 Projection	FY2024 Budget
Consolidated	2.5%	2.4%	2.7%
MU	2.0%	2.3%	1.8%
UMKC	1.0%	4.6%	1.8%
S&T	2.0%	2.6%	2.6%
UMSL	1.0%	-2.0%	0.2%
MUHC	7.0%	2.4%	4.9%

MU and MU Health Account for Over 75% of the Total Budget

FY2024 Revenue Budget	MU	MU Healthcare	UMKC	MO S&T	UMSL	UM System	University Wide Units	Total
Net Tuition and Fees	\$ 299.3	\$ -	\$ 148.8	\$ 58.5	\$ 70.8	\$ -	\$ -	\$ 577.4
Federal Pell Grants	25.7	-	12.6	5.4	11.5	-	-	55.1
Government Scholarships	19.0	-	5.0	5.0	3.8	-	-	32.8
State Appropriations	275.8	-	88.5	60.1	68.7	-	7.8	500.9
Grants & Contracts	308.4	-	70.0	43.8	41.0	-	-	463.1
Auxiliary Revenues	343.7	22.2	46.8	24.3	12.3	21.4	-	470.7
Patient Revenues	336.2	1,433.9	41.1	-	0.0	-	-	1,811.4
Private Gift Revenues	44.8	6.0	17.5	20.3	12.5	0.1	-	101.2
Endowment & Investment	83.2	-	15.7	14.3	9.1	5.1	(7.8)	119.6
Other Income	58.5	0.5	20.0	2.9	2.0	7.8	9.8	101.4
Total Revenue	\$ 1,794.6	\$ 1,462.6	\$ 466.0	\$ 234.5	\$ 231.6	\$ 34.4	\$ 9.8	\$ 4,233.5

Compensation Drives the Majority of Spending

FY2024 All
Funds Budget
\$4.2 Billion



Next Steps

- Board will approve FY2024 Dividend at the September Board meeting
- FY2023 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
 - Will focus aligning financial performance targets to the industry after emerging from the pandemic
 - Plans will serve as basis for FY2025 budget process

Questions

Fiscal Year 2025 State Appropriations Request for Operations
UM

The University's FY2025 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 29, 2023 Board meeting and authorize the President to work with MDHEWD and state government leaders on securing appropriations for FY2025.

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 2025 State Appropriations Request for Operations,
UM

It was recommended by 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.

Roll call vote Finance Committee	YES	NO
----------------------------------	-----	----

Curator Fry
Curator Graves
Curator Layman
Curator Wenneker

The motion _____.

Roll call vote Full Board:	YES	NO
----------------------------	-----	----

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

The motion _____.

June 29, 2023

Fiscal Year 2025 State Appropriations Request for Operations UM

State Appropriations represent a significant contribution to the University's overall budget, representing over \$520 million in funding for the University of Missouri. In FY2024, Missouri's budget remained strong with continued growth in tax revenues. The enacted FY2024 state budget contained increases for higher education. The key questions looking forward to the FY2025 budget facing the state include the impact of inflation on state spending and the durability of income and sales tax revenue increases realized through FY2022 and FY2023. When the state runs into budgetary challenges, Higher Education receives a larger share of cuts as the University's appropriations represent about 20% of the state's discretionary budget.

For the FY2025 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 priorities listed within this request have been decided on by the Council of Chancellors and proposed for the Board for approval. The outline of the appropriations request also follows the format and requests proposed by the Coordinating Board for Higher Education (CBHE) as the order of priority for the requests for the Governor for the FY2024 state budget.

Summary of FY2024 Appropriations

For FY2024, the University of Missouri received 7% core increase over FY2023. 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 FY2024

Item	Amount
UM Core Operations	
Core for Educational Mission	\$281.36
Agricultural Extension Services	29.07
First Professional Doctorate Degrees	101.33
Research and Development Operations	80.04
FY 2024 Total Core	\$491.80
Other Programs	
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
eMINTS Program (One-time)	15.00
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	4.31
Total Other Programs	\$27.37
Legislative Requirements	
Debt Offset Tax Authority	\$1.40
Spinal Cord Injury Research	1.50
Seminary Fund	0.28
Missouri Returning Heroes (One-time)	0.33
Total Legislative Requirements	\$3.51
Total FY 2024 Operating Appropriations	\$522.68

Dollars in Millions

June 29, 2023

FY2024 Appropriations of \$522.68 million increased by \$47.78 million (10%) from FY2023 appropriations of \$474.9 million driven by the following:

- Core appropriations increased by 7% or \$31.85 million
- The \$5.00 million increase in appropriations for Agriculture Extension Services from FY2023 was moved into the recurring budget
- A one-time appropriation of \$15.00 million for eMints and \$0.33 million for returning heroes were added as line-items
- The Family Violence Clinic and Graves-Chapple Extension Center totaling \$0.80 million from FY2023 were not funded for a second year.
- A \$1.00 million increase in the UMSL International Collaboration.
- Appropriations to the State Historical Society increased by \$0.41million
- Requested funding not provided for Alzheimer’s Research. However, the University is mandated by statute to request these funds each year.

FY2025 Priorities

The funding priorities for FY2025 will cover the following areas:

- 1) Core appropriations (with an inflationary increase)
- 2) Capital funding included in House Bills
- 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 5% inflation, the amount of CPI-U through the first quarter of 2023.

Table 2: Inflationary Request Calculation

	MU	UMKC	Missouri S&T	UMSL	U-Wide Mission Support	3% Withhold	Total
Agricultural Extension Service	\$28.20					\$0.87	\$29.07
First Professional Doctorate Degrees	59.09	35.32		3.88		3.04	101.33
Research and Development Operations	62.17	5.35	7.73	2.38		2.40	80.03
Core Educational Mission	105.11	47.79	52.14	60.06	7.82	8.44	281.36
FY2024 Total	254.57	88.46	59.87	66.32	7.82	14.75	491.80

April Inflation	5%	5%	5%	5%	5%	5%	5%
Inflationary Increase	\$12.73	\$4.42	\$2.99	\$3.32	\$0.39	\$0.74	\$24.59
Dollars in Millions							

Beyond the inflationary request, the University plans to participate in any core appropriations increase requested by MDHEWD. For FY2025 forward, 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 FY2024* – the University will continue to work utilize capital funding appropriated and request re-appropriations if needed. The FY2024 Request will be the second round of funding as follows:

Line Item	Amount
MU NextGen Radio pharmaceuticals and Animal Science	\$52,250,000
UMKC Health Sciences District Development	20,000,000
UMSL Campus of the Future	20,000,000
S&T Advancing Missouri's STEM Education & Workforce	25,000,000

3) *Maintenance of Line Items*– the universities request that line items continue at current amounts. Additionally, the University was successful making the \$5 million one-time increase for the Agricultural Extension Service into a permanent increase and rolled into the core.

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. University will work with MDHEWD on implementation of funding formula which would include operating core, maintenance and repair, and performance funding.

Request for Core Operations

The FY2025 operating appropriations request will largely depend on available resources at the state level. The state's tax incomes continue to grow with both growth in income and sales taxes. The durability and amount of this growth remains a question for FY2025. Continued inflation will place expense pressure on other areas of the state's budget, potentially consuming a larger share of tax revenue growth. The amount of available core increases will be dependent on how these revenue and expense factors play out at the state level. For FY2025, the University will focus on securing a core increase to offset the effects of inflation as the first priority:

Table 3: Core Request

UM Core Operations	FY 2024	FY 2025
Core for Educational Mission	\$262.96	\$281.36
Agricultural Extension Services	22.50	29.07
First Professional Doctorate Degrees	94.70	101.33
Research and Development Operations	74.80	80.04
Core Increase	36.84	24.59
Core Request	\$491.80	\$516.39

Dollars in Millions

The amount of the inflationary request will be calibrated to align with the overall request made by MDHEWD.

Request for Other Programs

The University also submits appropriation requests for other programs as identified in Priority Item 3. As with the other operating appropriations, the first goal in the FY2025 appropriations request is to maintain FY2024 core appropriations funded from General Revenue if state revenue is sufficient.

Because the State Historical Society of Missouri (SHSMO) funding is derived almost entirely from state General Revenue, appropriation increases must be requested to cover employee salary and benefit cost increases. SHSMO requests recurring funds increase of \$1,705,894 to provide: a 5% cost of living increase with associated benefits, one strategic communications position and one assistant museum preparator position, and support for a digital preservation platform. SHSMO is will also request a one-time appropriation of \$145,513 related to employee leave payout.

Table 4: FY2025 Other Program Request

MU Law Veterans Clinic	\$0.33
MU Fischer Delta Research Center	1.00
MU Fischer Delta Research Center Rice Breeders Association	0.12
MU Greenley Research Center	0.27
S&T Project Lead the Way	0.25
UMSL International Collaboration	1.55
UMSL Defense Medicine Technologies	0.60
UMSL Infectious Disease	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	1.71
State Historical Society of Missouri One-time Increase	0.15
Total Other Programs	\$16.63

Dollars in Millions

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 FY2025, as summarized in Table 5. 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 and Missouri Returning Heroes received appropriation for the first time in FY2024. 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 5: FY2025 Legislative Requirements

Debt Offset Tax Authority	\$1.40
Spinal Cord Injury Research	1.50
Seminary Fund	0.28
Alzheimer's Research (One-time)	0.66
Missouri Returning Heroes (One-time)	0.69
Total Legislative Requirements	\$4.53

Dollars in Millions

Appendix A

This appendix provides background information on each appropriation line item.

UM Core Operations

The \$522.68 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, 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 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. The total SHSMO new request is \$1,705,894 to provide: a 5% cost of living increase with associated benefits, new positions, and support for a digital preservation platform.

eMINTS offers comprehensive research-based professional development programs to help educators integrate technology into teaching. With the use of interactive group sessions and in-classroom coaching and mentoring eMINTS promotes the integration of technologies and

student-centered learning. In 2024 the University received one time funding for \$15 million for eMINTS.

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. As of February 2023, the fund balance is \$951,924.

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 FY2025 is \$660,660. 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. The University is requesting an appropriation equivalent to tuition waived in FY2024 estimated at \$687,510. 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 FY2024 request is estimated to be \$687,510.

University of Missouri System Board of Curators June 29, 2023 Finance Committee

Fiscal Year 2025 UM Operating Appropriation Request



FY 2025 Core Request - \$516 M

Appropriation Core	\$491.80
FY2025 Inflationary Increase	24.59
Pursue State Higher Ed Directives	<u>TBD</u>
Total Core Funding Requests	\$516.39
Other Programs	16.64
Legislative Requirements	<u>4.34</u>
Total Requests for Other Programs & Legislative Req	\$ 20.98
Total FY 2023 Request for Operations	\$ 537.37
\$ in Millions	

Questions



Approval of Fiscal Year 2025 State Capital Appropriation Request
UM

Included herein is the FY 2025 State Capital Appropriations Request. The Capital Plans for each University were approved at the April Board of Curators meeting. The projects included in the State Capital Appropriations Request are: Medical Science Building - Renovation Phase III at MU, Spencer Chemistry & Biological Science Renovation - Phase II at UMKC, Physics Building Renovation at Missouri S&T, and Stadler Hall Renovation 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>							
Medical Science Building - Renovation Phase III	MU	\$15,000,000	\$5,000,000	\$20,000,000	\$45,000,000	\$16,200,000	302
Spencer Chemistry and Biological Science Renovation - Phase II	UMKC	\$40,000,000	\$0	\$40,000,000	\$90,000,000	\$32,400,000	603
Physics Building Renovation	S&T	\$10,000,000	\$13,307,375	\$23,307,375	\$52,442,000	\$18,879,000	351
Stadler Hall Renovation	UMSL	\$38,500,000	\$0	\$38,500,000	\$86,625,000	\$31,185,000	581
Total State Appropriations Projects		\$103,500,000	\$18,307,375	\$121,807,375	\$274,067,000	\$98,664,000	1,837

Medical Sciences Building –Renovations Phase III ***University of Missouri – Columbia***

The Medical Science Building is a key space resource for research laboratories related to the Health Sciences, particularly the School of Medicine. The building has a FCNI of 0.37 with facility needs of \$42 million. The significant size (258,000 gross square feet) and location, connected to the University Hospital, make it imperative to improve the building condition before it reaches a critical state. The renovations will allow for the facility to continue to be used as a laboratory resource well into the future.

This project continues the work started with the renovations funded in 2023 which focuses select areas of multiple floors which have some of the highest and most imminent facility needs, creating approximately 62,000 net square feet of modern, flexible, collaborative research space. The renovated areas in phase one will accommodate approximately 24 research teams. The continuation of the masterplan when fully implemented in future phases would support approximately 74 research teams using similar metrics.

The revised project will renovate laboratories for School of Medicine researchers which have not been improved in more than 20 years. Various areas of the building have previously undergone laboratory renovations to successfully create modern modular laboratory areas and collaborative environments. A building master plan study has been recently completed to determine the scale of the additional renovations needed, and to identify the associated infrastructure improvements.

Funding for the \$20,000,000 project will be from a state request of \$15,000,000 and \$5,000,000 from internal funds.

Spencer Chemistry and Biological Sciences Renovation - Phase II ***University of Missouri - Kansas City***

This project would continue the renovation of the 153,827 gross square feet (gsf) Biological Sciences Building and Spencer Chemistry Building. The second phase will renovate approximately 75,000 gsf in both Spencer Chemistry and the Biological Sciences Building and will complete the renovation of these facilities. This project will build upon the first phase, which renovated about 79,000 gsf and was completed in 2018 and funded by the State with the Board of Public Buildings Bond as the primary funding source. The Phase II renovation will address additional deferred maintenance, research spaces, teaching spaces, and other facility deficiencies that were beyond reach of the Phase I budget. The renovation will provide state of the art teaching laboratories and support spaces, while providing improved laboratory systems to support research activities, support student retention, meet current laboratory standards, and encourage student collaborative learning. The project is consistent with the Campus Master Plan.

The Spencer Chemistry and Biological Sciences Buildings were originally constructed in 1968 and had not been renovated or updated since the 1980's prior to the Phase One renovation which was completed in 2018. These buildings serve Chemistry and Biology undergraduate and graduate majors, as well as those who go into professional schools or graduate studies in medical and dental. They also serve as part of the teaching mission for our Pharmacy, Medicine, and Nursing

Programs. The facility is outdated, provides inadequate space for teaching, and does not meet current safety codes and standards. The chemistry department was recently merged into the School of Biological Sciences to create a larger School of Biological and Chemical Sciences.

The project will eliminate \$26.4 million of facilities needs.

Funding for the \$40,000,000 project will be from a state appropriation.

Physics Building Renovation - Phase III
Missouri University of Science and Technology

This project is a complete renovation of the Physics Building including replacement of the current building mechanical, electrical, and plumbing systems, exterior envelope repairs, renovation of all interior components, installation of a fire suppression system and associated backup generator, and accessibility improvements.

The Physics Building, constructed in 1963, is home to the Physics Department. Every year, approximately 2,000 students take classes in the Physics Building, and most S&T students take at least one class in this building during their time on campus. In addition, physics faculty perform high-profile research in astrophysics, atomic physics, and materials physics.

The Physics Building houses a number of cutting-edge laboratories including a particle accelerator, a laser laboratory, crystal growth facilities, and an ultra-low-temperature materials laboratory. The functioning of the classrooms and laboratories is severely hampered by the condition of the building, which has not seen a major renovation since its original construction.

The facility has \$13.1 million in facilities needs and has an FCNI of 0.37. Replacement of the building systems is expected to reduce operating expenses.

This \$23,307,375 project will be funded by \$13,307,375 from gifts and \$10,000,000 from a state appropriation.

Stadler Hall Renovation
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.

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 \$38,500,000 project will be provided by a state appropriation.

No. 3

Recommended Action - Fiscal Year 2025 State Capital Appropriations Request 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 2025 State Capital Appropriations Request as shown on the accompanying schedules.

Roll call vote Finance Committee	YES	NO
----------------------------------	-----	----

Curator Fry

Curator Graves

Curator Layman

Curator Wenneker

The motion _____.

Roll call vote Full Board:	YES	NO
----------------------------	-----	----

Curator Blitz

Curator Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

The motion _____.

June 29, 2023

Approval of Collected Rules & Regulation 140.011 - 140.013, 140.015, 140.017
Investment Policies
UM

Management recommends for Board approval changes in Investment Policies which are primarily administrative in nature. These changes have been reviewed by the University's Investment Consultant and have been recommended for approval by the University's Investment Advisory Committee, which reviewed the proposal in detail at a recent committee meeting.

The following outlines the proposed changes in detail:

140.011 Policy for Investment Manager Selection, Monitoring and Retention

Section G - Manager "Under Review" Classification (Public Markets) – this section is being eliminated as it no longer reflects common practices. It essentially gives investment managers "due process" rights prior to being terminated for cause, which places unnecessary burdens on the University when manager terminations are deemed appropriate.

Section H - Manager Termination (Public Markets) – this section is being eliminated, with pertinent components merged into existing Section F (Manager Monitoring).

140.012 Investment Policy for General Pool

Section D(3) - Strategic Portfolio – within this section, definitions of Risk Balanced, Real Estate/Infrastructure and Private Debt are being removed with reference to 140.017 Policy for Allowable Investments for a set of asset class definitions standardized across the General Pool, Endowment Pool and Retirement Plan.

Section D(4) - Portable Alpha Program – the terms and provisions of this section, approved by the Board in November 2022, will remain the same while the bulk of the program language is being moved to, and centralized within, 140.017 Policy for Allowable Investments so that language describing the Portable Alpha Programs across the General Pool, Endowment Pool and Retirement Plan will become standardized.

Section E – Risk Management – the terms and provisions of this section remain the same, but the responsibilities have been divided to reflect the separation of the Treasurer and Chief Investment Officer roles several years ago.

140.013 Investment Policy for Endowment Pool

Section D – Authorized Investments – the asset classes and policy targets remain the same; given the change in table format to become consistent with the Retirement Plan, the ranges will become specific for each asset class rather than exist for broad categories.

Section G – Portable Alpha Program – the existing language is being entirely replaced as policy language describing the Portable Alpha Program is being standardized across General Pool, Endowment Pool and Retirement Plan with the bulk of policy language now centralized in 140.017 Policy for Allowable Investments. At the same time, the Endowment Pool will be adopting the newer Cash Margin risk management provisions approved by the Board for the General Pool in November 2022 (these Cash Margin risk management provisions are more fully described at the end of this document).

Section H – Spending Policy – language relating to the transition of the spending distribution rate from 4.5% to 4.0% has been removed as the transition to 4.0% has already been accomplished.

140.015 Investment Policy for Retirement, Disability and Death Benefit Plan

Section D – Authorized Investments – a line item for Opportunistic is being added back after being inadvertently removed during asset allocation changes approved by the Board in April 2022. The policy target will remain 0%, with an allowable range of 0% to 7%. The definition of this asset class has been updated in changes to 140.017 Policy for Allowable Investments.

Section G – Portable Alpha Program – the existing language is being entirely replaced as policy language describing the Portable Alpha Program is being standardized across General Pool, Endowment Pool and Retirement Plan with the bulk of policy language now centralized in 140.017 Policy for Allowable Investments. At the same time, the Retirement Plan will be adopting the newer Cash Margin risk management provisions approved by the Board for the General Pool in November 2022 (these Cash Margin risk management provisions are more fully described at the end of this document).

140.017 Policy for Allowable Investments

This policy is being updated for the first time since being introduced in September 2017. For purposes of simplification, language referring to falling/rising inflation and falling/rising growth is being eliminated as are summary categories for Public Debt and Diversifiers. Language for legal account structures is being updated across asset classes to better reflect common practices. Finally, this policy will now be applicable to the Strategic Portfolio within the General Pool.

The following are the more substantive changes:

The existing “Opportunistic Debt” section is being renamed to “Opportunistic” with a revised, more comprehensive definition. This is actually a change that had been made substantively during asset allocation changes approved for the Endowment Pool and Retirement Plan in recent years, yet the naming and definition was never updated within 140.017 Policy for Allowable Investments.

Language for “Risk Balanced” was expanded to include language what had been in a separate definition of Risk Balanced within the General Pool investment policy (as part of the overall effort to centralize / standardize asset class descriptions).

Finally, a new comprehensive section was added to cover the Portable Alpha Program with broad sections on: Definitions, Understanding Liquidity Needs / Cash Margin, Sources of Cash Margin, Measuring / Testing Liquidity Needs, Managing Liquidity Needs and Operational Requirements. From a policy perspective, with the exception of the standardized Cash Margin requirements discussed below, nothing of significance has changed in terms of the management of the Portable Alpha Program; this new comprehensive section was added to document current practices in a more detailed and transparent manner. Further, centralizing this policy within CRR 140.017 will ensure that Portable Alpha Program policies will remain standardized across the Retirement, Endowment and General Pool portfolios.

Standardization of Portable Alpha Program Cash Margin Requirements

When the Portable Alpha Program was approved by the Board of Curators for the General Pool in November 2022, a new risk-based policy for determining minimum Cash Margin was adopted. The proposed changes for the June 2023 Board meeting will extend that same risk-based approach to the Portable Alpha Program within the Retirement Plan and Endowment Pool.

This risk-based approach is driven by assessing the drawdown risks of the mix of market beta exposures used to fund the Portable Alpha Program, specifically examining results through a broad representation of historical market stress scenarios. The standardized policy going forward will calculate an average of drawdowns across the five worst market stress events for each of Retirement, Endowment and General Pool. An additional safety buffer of 10% Cash Margin in Retirement and Endowment, and 5% in General Pool will be added to the average of the five worst drawdowns to determine the minimum Cash Margin requirement for each portfolio. The safety buffer for the General Pool is lower due to the massive liquidity contained within the General Pool at all times.

The following is an illustration of the minimum Cash Margin calculations for each portfolio, had these new policy provisions been in place at March 31, 2023:

Retirement Plan						
<i>Portable Alpha Funding Mix</i>	23%	15%	22%	37%	3%	100%
Stress Scenario Performance	US Equity	Non-US Equity	US Treasuries	US TIPS	Gold	Total Mix Drawdown
2008 Financial Crisis	-47%	-52%	7%	-6%	-1%	-19%
2022 Inflation Shock	-25%	-26%	-9%	-9%	-9%	-15%
2021-22 Inflation Shock	-17%	-23%	-11%	-8%	-11%	-13%
1987 Black Monday	-30%	-15%	2%	1%	9%	-8%
2020 COVID-19 Crisis	-20%	-22%	4%	-1%	1%	-7%
Average of Five Worst Drawdowns (absolute value)						13%
Add: Safety Buffer						10%
Minimum Cash Margin Target						23%

June 29, 2023

Endowment Pool						
Portable Alpha Funding Mix	27%	16%	22%	35%		100%

Stress Scenario Performance	US Equity	Non-US Equity	US Treasuries	US TIPS		Total Mix Drawdown
2008 Financial Crisis	-47%	-52%	7%	-6%		-22%
2022 Inflation Shock	-25%	-26%	-9%	-9%		-16%
2021-22 Inflation Shock	-17%	-23%	-11%	-8%		-14%
1987 Black Monday	-30%	-15%	2%	1%		-10%
2020 COVID-19 Crisis	-20%	-22%	4%	-1%		-8%
Average of Five Worst Drawdowns (absolute value)						14%
Add: Safety Buffer						10%
Minimum Cash Margin Target						24%

General Pool						
Portable Alpha Funding Mix	0%	0%	0%	0%	100%	100%

Stress Scenario Performance	US Equity	Non-US Equity	US Treasuries	US TIPS	US Int Aggregate	Total Mix Drawdown
2021-22 Inflation Shock	-	-	-	-	-13%	-13%
2023 Taper Tantrum	-	-	-	-	-4%	-4%
2004 Treasuries Sell Off	-	-	-	-	-3%	-3%
2016 Post US Election	-	-	-	-	-2%	-2%
2020 Post COVID Rate Rise	-	-	-	-	-1%	-1%
Average of Five Worst Drawdowns (absolute value)						4%
Add: Safety Buffer						5%
Minimum Cash Margin Target						9%

These calculations will be updated monthly and reported to the Board on a quarterly basis. By definition, changes in the Portable Alpha Funding Mix will dynamically result in changes to the Minimum Cash Margin Targets. Also note that these calculated targets are minimum levels, and based on our experience these past eight years running a portable alpha program, it's likely that cash margins will be run at a higher level in most circumstances.

No. 4

Recommended Action - Approval of Collected Rules and Regulations 140.011 –
140.013, 140.015, 140.017 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 policies of Collected Rules and Regulations, Section 140.011-
140.013, 140.015, 140.017, be amended, as noted in the attached documents:

Roll call vote of the Committee: YES NO

Curator Fry

Curator Graves

Curator Layman

Curator Wenneker

The motion _____.

Roll call vote of Board of Curators: YES NO

Curator Blitz

Curator Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Siquefield

Curator Wenneker

Curator Williams

The motion _____.

June 29, 2023

140.011 Policy for Investment Manager Selection, Monitoring and Retention

Bd. Min. 12-6-91, Amended Bd. Min. 12-9-93; Amended Bd. Min. 11-14-94; Mended Bd. Min. 12-13-96; Amended Bd. Min. 9-26-97; 1-21-98; Revised 2-1-00; Amended Bd. Min. 7-13-00; 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. 12-11-09; Amended 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.) Revised 6-25-15. Amended Bd. Min. 9-28-17; Amended Bd. Min. 6-29-23.

- A. **Introduction** - This policy establishes general guidelines for selecting external investment managers, monitoring investment manager effectiveness, identifying issues of concern, and for making decisions concerning investment manager retention. The external investment managers can be broadly grouped into public and private market investments. Public market investments are widely held, generally liquid in nature, most often traded on exchanges, and typically disclose certain financial information to the public on a regular basis. Private market investments are longer-term, often illiquid investment strategies that are privately held by a limited number of owners and investors. The University shall utilize an Investment Consultant for assistance with the application of this policy. This policy applies to the following investment pools:
- 140.012 General Pool
 - 140.013 Endowment Pool
 - 140.014 Fixed Income Pool
 - 140.015 Retirement, Disability and Death Benefit Plan
 - 140.016 Other Postemployment Benefits Plan Trust Fund
- B. **Responsibilities and Authorities** - See CRR 140.010 "Policy for Management and Oversight of Selected University Investment Pools."
- C. **Active vs. Passive Management** – Active managers are used most often, with an expectation of value added in excess of passive implementation. In markets that are generally considered efficient, passive strategies may be used to promote a diversified portfolio, while controlling risk and minimizing costs.
- D. **Manager Selection** – The manager selection process requires the evaluation of all aspects of a firm's organization and investment process to assess the probability that the identified firm's product will successfully meet the objectives of a given investment mandate going forward. A series of quantitative and qualitative factors should be analyzed when evaluating prospective firms. When possible, a suitable manager universe for a given mandate should be screened for potential manager candidates. The following, as applicable, should be considered in the manager selection process:
1. Organizational Factors

- a. Structure: Does the ownership structure align the employees' interests with those of clients?
- b. Stability: Has the firm been able to retain investment professionals and senior management over time?
- c. Strategic direction: Is the firm's growth rate in assets and personnel appropriate? Is there a clear focus on investment management?
- d. Business viability: Are the firm's growth prospects, assets under management and capital base sufficient to maintain a healthy business?
- e. Assets under management: Are assets sufficient at the product level to accommodate the University's portfolio and, at the other extreme, has excessive asset growth impeded the firm's ability to add value in a given mandate?
Generally, the University's combined assets under management across all pools of funds should not exceed 25% of a particular product's total assets under management.

2. Investment Philosophy

- a. Well Defined: Is the investment philosophy clearly defined and consistently applied?
- b. Competitive advantages: Are there any aspects to the investment philosophy that provide a competitive advantage such as information/data sources, unique modeling capabilities, unusual perspectives, depth/quality of analytical resources, and/or experience of investment professionals?
- c. Persistence: Is there something about the investment philosophy that provides conviction that successful performance can be achieved in future markets?

3. Investment Professionals

- a. Relevant experience: Are the investment professionals experienced in managing this type of mandate?
- b. Team experience: Is there significant experience among the professionals as a team?
- c. Skills: Do the investment and research professionals bring complementary skills to the portfolio management process?
- d. Resources: Has the firm given the team the proper resources to succeed? Are the investment professionals distracted by other responsibilities including other products, firm management, sales, client service, etc.?

4. Historical Performance (Public Markets)

- a. Performance vs. relevant benchmarks: Has the firm added value on a net basis to the benchmark over market cycles? How much value has been added relative to the risk taken?
- b. Performance vs. peers: Has the firm exhibited an ability to outperform peers over market cycles?
- c. Consistency: Has the level of performance been consistent and within expectations for the mandate?
- d. Risk metrics: Is the level of absolute and relative volatility appropriate given the mandate? Are the risk metrics of the portfolio over time consistent with expectations given the mandate?
- e. Performance attribution: What are the sources of over or under-performance (e.g. industry bets, stock selection, style biases) and do they match the manager's investment process and philosophy?

5. Historical Performance (Private Markets)

- a. Performance vs. relevant benchmarks/peers: Has the firm or investment team's prior funds performed at or above expectations?
- b. Consistency: Has the level of performance of the firm or investment team's prior funds been consistent and within expectations for the investment strategy? Has the investment strategy evolved over time and are the reasons for the evolution logical?
- c. Risk: Has the firm or investment team's prior funds effectively mitigated real and anticipated risk?
- d. Performance attribution: What are the sources of over- and under-performance across investment cycles?

6. Other

- a. Missouri location and/or minority status: The University has an active and ongoing interest in doing business with firms that are owned, controlled, and operated by citizens of the state of Missouri. In addition, the University is committed to supporting the participation of minority and women-owned and controlled asset management firms (as defined in Section 33.750 (3), (4), and (5), RSMo 2000) in the management of its funds. All potential qualified Missouri and/or minority and women-owned candidates under consideration for investment mandates shall meet the University's threshold manager selection criteria.
 - b. Fees: Are fees competitive and appropriate for the mandate?
 - c. Fit: How does the manager fit within the overall portfolio and, when applicable, within the asset class or sector?
 - d. Compliance/Back office: Are compliance and back office systems adequate?
- E. **Manager Concentration** - Careful consideration should be given to concentrations of assets under management across all products with a single asset management firm within an individual investment pool as well as in aggregate across all investment pools. Each circumstance should generally be evaluated on an individual basis, taking into account the asset sectors, type of investment vehicles, custody of underlying assets and the overall size and strength of the investment management firm being considered. Additionally, it is recognized that larger concentrations of assets under management with a single investment management firm can often result in lower negotiated management fees, which benefit the investment pools. In all cases, any such fee savings shall be secondary to the consideration of the safety and soundness of invested assets.
- F. **Manager Monitoring / Termination** - Each manager should be analyzed on an individual basis, taking into account any specific circumstances affecting the particular relationship. At minimum, the University and Investment Consultant shall review all managers on a quarterly basis. The review process should include, while not being limited to, the following factors:
- 1. Performance:
 - a. Public Markets: An evaluation of performance should focus primarily on trailing three and five year periods, taking into account the manager's expected tracking error versus the agreed-upon benchmark. Over these time horizons, active manager performance, net of fees, is generally expected to outperform the

- agreed upon benchmark and fall within the top two quartiles of an appropriate peer group.
- b. Private Markets: Performance is measured on an ongoing basis and is evaluated using several different performance calculation metrics. Funds are monitored for progress of acquisitions, asset management, and disposition of assets. The appropriate time horizon for evaluating private market investments is generally the full term of the fund. At the end of a fund's term, it is expected that it will achieve or exceed its initial performance targets, and fall within the top two quartiles of an appropriate peer group. Investment in subsequent fund offerings will be based, in large part, on actual versus expected performance of existing fund investments at the time consideration is being given to subsequent fund offerings.
2. Adherence to Stated Philosophy, Process and Style: The default expectation would be continued adherence to the manager's stated philosophy, process, and style in existence at the time of hiring.
 3. Organizational Matters: Stability is the basic expectation. Any material change in the manager's organizational structure, ownership or personnel should be carefully considered. Ongoing oversight by regulatory agencies should also be monitored, as well as any indications of illegal or unethical behavior.
 4. Guidelines: Managers are expected to maintain compliance with guidelines established by the University; exceptions may be granted by the University and Investment Consultant on a case-by-case basis. As circumstances warrant, the manager may provide recommended revisions to the guidelines in writing to the University and Investment Consultant; however, the University and Investment Consultant shall be under no obligation to accept such recommendations.
 5. Service and Responsiveness: Managers are expected to be reasonably responsive to the needs of the University and Investment Consultant, including requests for information and/or analysis, requests for periodic meetings to review performance, etc.

To the extent that any significant issues or concerns are identified as part of the review process or at any other time, considering factors including, but not limited to, those noted above, a public markets manager may be ~~classified as "Under Review" or~~ terminated based solely on the determination of the University and Investment Consultant. The legal structure of most private markets investments makes it impracticable to attempt an early termination.

~~**Manager "Under Review" Classification (Public Markets)** Managers who are classified as "Under Review" are not eligible for additional funding and may be subject to asset reductions. If circumstances warrant, based solely on the determination of the University and Investment Consultant, the manager may be terminated immediately or at any time thereafter. Otherwise, the following process must be satisfactorily completed prior to the removal of the "Under Review" classification:~~

~~The University shall notify the manager in writing of their "Under Review" classification. The notification shall indicate the reason(s) why the manager has been classified as "Under~~

~~Review,” request information from the manager on relevant issues, and ask for the manager’s input in resolving the concerns identified.~~

~~Upon notification, the manager shall submit a written response within 15 calendar days of the date of notice. The investment manager’s response should provide the following, as applicable:~~

~~Information specifically requested in the University’s notice~~

~~Substantive reasons for any problems or issues documented in the notice; if performance issues were noted, detailed attribution analysis of underperformance~~

~~Description of corrective actions to be taken~~

~~Expected time horizon for completion of any corrective actions~~

~~Any other relevant information~~

~~Based on the manager’s written response and any subsequent discussions, the University and Investment Consultant shall determine an appropriate course of action up to and including the termination of the manager. The University and Investment Consultant will carefully monitor the progress of the manager in implementing their plan. As determined solely by the University and the Investment Consultant, the manager’s “Under Review” classification may be removed when issues and concerns have been satisfactorily addressed.~~

~~**Manager Termination (Public Markets)**—A manager shall be terminated, based solely on the determination of the University and Investment Consultant, if there has been a failure to correct noted deficiencies or to show improvement, if the deficiencies noted are perceived to be irresolvable within a reasonable amount of time, or if other circumstances warrant.~~

Managers may also be terminated from time to time based solely on strategic or operational changes with respect to the overall University portfolio including, but not limited to, changes in asset sectors or changes in portfolio allocations among asset sectors.

Nothing in this policy shall be construed to be for the benefit of any manager or other person or to derogate from or affect the University’s right to terminate an investment manager as permitted by the terms of their applicable investment management agreement.

140.011 Policy for Investment Manager Selection, Monitoring and Retention

Bd. Min. 12-6-91, Amended Bd. Min. 12-9-93; Amended Bd. Min. 11-14-94; Mended Bd. Min. 12-13-96; Amended Bd. Min. 9-26-97; 1-21-98; Revised 2-1-00; Amended Bd. Min. 7-13-00; 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. 12-11-09; Amended 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.) Revised 6-25-15. Amended Bd. Min. 9-28-17; Amended Bd. Min. 6-29-23.

- A. **Introduction** - This policy establishes general guidelines for selecting external investment managers, monitoring investment manager effectiveness, identifying issues of concern, and for making decisions concerning investment manager retention. The external investment managers can be broadly grouped into public and private market investments. Public market investments are widely held, generally liquid in nature, most often traded on exchanges, and typically disclose certain financial information to the public on a regular basis. Private market investments are longer-term, often illiquid investment strategies that are privately held by a limited number of owners and investors. The University shall utilize an Investment Consultant for assistance with the application of this policy. This policy applies to the following investment pools:
- 140.012 General Pool
 - 140.013 Endowment Pool
 - 140.014 Fixed Income Pool
 - 140.015 Retirement, Disability and Death Benefit Plan
 - 140.016 Other Postemployment Benefits Plan Trust Fund
- B. **Responsibilities and Authorities** - See CRR 140.010 "Policy for Management and Oversight of Selected University Investment Pools."
- C. **Active vs. Passive Management** – Active managers are used most often, with an expectation of value added in excess of passive implementation. In markets that are generally considered efficient, passive strategies may be used to promote a diversified portfolio, while controlling risk and minimizing costs.
- D. **Manager Selection** – The manager selection process requires the evaluation of all aspects of a firm's organization and investment process to assess the probability that the identified firm's product will successfully meet the objectives of a given investment mandate going forward. A series of quantitative and qualitative factors should be analyzed when evaluating prospective firms. When possible, a suitable manager universe for a given mandate should be screened for potential manager candidates. The following, as applicable, should be considered in the manager selection process:
1. Organizational Factors

June 29, 2023

- a. Structure: Does the ownership structure align the employees' interests with those of clients?
- b. Stability: Has the firm been able to retain investment professionals and senior management over time?
- c. Strategic direction: Is the firm's growth rate in assets and personnel appropriate? Is there a clear focus on investment management?
- d. Business viability: Are the firm's growth prospects, assets under management and capital base sufficient to maintain a healthy business?
- e. Assets under management: Are assets sufficient at the product level to accommodate the University's portfolio and, at the other extreme, has excessive asset growth impeded the firm's ability to add value in a given mandate?
Generally, the University's combined assets under management across all pools of funds should not exceed 25% of a particular product's total assets under management.

2. Investment Philosophy

- a. Well Defined: Is the investment philosophy clearly defined and consistently applied?
- b. Competitive advantages: Are there any aspects to the investment philosophy that provide a competitive advantage such as information/data sources, unique modeling capabilities, unusual perspectives, depth/quality of analytical resources, and/or experience of investment professionals?
- c. Persistence: Is there something about the investment philosophy that provides conviction that successful performance can be achieved in future markets?

3. Investment Professionals

- a. Relevant experience: Are the investment professionals experienced in managing this type of mandate?
- b. Team experience: Is there significant experience among the professionals as a team?
- c. Skills: Do the investment and research professionals bring complementary skills to the portfolio management process?
- d. Resources: Has the firm given the team the proper resources to succeed? Are the investment professionals distracted by other responsibilities including other products, firm management, sales, client service, etc.?

4. Historical Performance (Public Markets)

- a. Performance vs. relevant benchmarks: Has the firm added value on a net basis to the benchmark over market cycles? How much value has been added relative to the risk taken?
- b. Performance vs. peers: Has the firm exhibited an ability to outperform peers over market cycles?
- c. Consistency: Has the level of performance been consistent and within expectations for the mandate?
- d. Risk metrics: Is the level of absolute and relative volatility appropriate given the mandate? Are the risk metrics of the portfolio over time consistent with expectations given the mandate?
- e. Performance attribution: What are the sources of over or under-performance (e.g. industry bets, stock selection, style biases) and do they match the manager's investment process and philosophy?

June 29, 2023

5. Historical Performance (Private Markets)

- a. Performance vs. relevant benchmarks/peers: Has the firm or investment team's prior funds performed at or above expectations?
- b. Consistency: Has the level of performance of the firm or investment team's prior funds been consistent and within expectations for the investment strategy? Has the investment strategy evolved over time and are the reasons for the evolution logical?
- c. Risk: Has the firm or investment team's prior funds effectively mitigated real and anticipated risk?
- d. Performance attribution: What are the sources of over- and under-performance across investment cycles?

6. Other

- a. Missouri location and/or minority status: The University has an active and ongoing interest in doing business with firms that are owned, controlled, and operated by citizens of the state of Missouri. In addition, the University is committed to supporting the participation of minority and women-owned and controlled asset management firms (as defined in Section 33.750 (3), (4), and (5), RSMo 2000) in the management of its funds. All potential qualified Missouri and/or minority and women-owned candidates under consideration for investment mandates shall meet the University's threshold manager selection criteria.
 - b. Fees: Are fees competitive and appropriate for the mandate?
 - c. Fit: How does the manager fit within the overall portfolio and, when applicable, within the asset class or sector?
 - d. Compliance/Back office: Are compliance and back office systems adequate?
- E. **Manager Concentration** - Careful consideration should be given to concentrations of assets under management across all products with a single asset management firm within an individual investment pool as well as in aggregate across all investment pools. Each circumstance should generally be evaluated on an individual basis, taking into account the asset sectors, type of investment vehicles, custody of underlying assets and the overall size and strength of the investment management firm being considered. Additionally, it is recognized that larger concentrations of assets under management with a single investment management firm can often result in lower negotiated management fees, which benefit the investment pools. In all cases, any such fee savings shall be secondary to the consideration of the safety and soundness of invested assets.
- F. **Manager Monitoring / Termination** - Each manager should be analyzed on an individual basis, taking into account any specific circumstances affecting the particular relationship. At minimum, the University and Investment Consultant shall review all managers on a quarterly basis. The review process should include, while not being limited to, the following factors:
- 1. Performance:
 - a. Public Markets: An evaluation of performance should focus primarily on trailing three and five year periods, taking into account the manager's expected tracking error versus the agreed-upon benchmark. Over these time horizons, active manager performance, net of fees, is generally expected to outperform the

June 29, 2023

- agreed upon benchmark and fall within the top two quartiles of an appropriate peer group.
- b. Private Markets: Performance is measured on an ongoing basis and is evaluated using several different performance calculation metrics. Funds are monitored for progress of acquisitions, asset management, and disposition of assets. The appropriate time horizon for evaluating private market investments is generally the full term of the fund. At the end of a fund's term, it is expected that it will achieve or exceed its initial performance targets, and fall within the top two quartiles of an appropriate peer group. Investment in subsequent fund offerings will be based, in large part, on actual versus expected performance of existing fund investments at the time consideration is being given to subsequent fund offerings.
2. Adherence to Stated Philosophy, Process and Style: The default expectation would be continued adherence to the manager's stated philosophy, process, and style in existence at the time of hiring.
 3. Organizational Matters: Stability is the basic expectation. Any material change in the manager's organizational structure, ownership or personnel should be carefully considered. Ongoing oversight by regulatory agencies should also be monitored, as well as any indications of illegal or unethical behavior.
 4. Guidelines: Managers are expected to maintain compliance with guidelines established by the University; exceptions may be granted by the University and Investment Consultant on a case-by-case basis. As circumstances warrant, the manager may provide recommended revisions to the guidelines in writing to the University and Investment Consultant; however, the University and Investment Consultant shall be under no obligation to accept such recommendations.
 5. Service and Responsiveness: Managers are expected to be reasonably responsive to the needs of the University and Investment Consultant, including requests for information and/or analysis, requests for periodic meetings to review performance, etc.

To the extent that any significant issues or concerns are identified as part of the review process or at any other time, considering factors including, but not limited to, those noted above, a public markets manager may be terminated based solely on the determination of the University and Investment Consultant. The legal structure of most private markets investments makes it impracticable to attempt an early termination.

Managers may also be terminated from time to time based solely on strategic or operational changes with respect to the overall University portfolio including, but not limited to, changes in asset sectors or changes in portfolio allocations among asset sectors.

Nothing in this policy shall be construed to be for the benefit of any manager or other person or to derogate from or affect the University's right to terminate an investment manager as permitted by the terms of their applicable investment management agreement.

June 29, 2023

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.

- 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			
	Liquidity	Core	Strategic	Portable Alpha
Management	Internal/External	External	External	External
Minimum Allocation	20%	0%	0%	0%
Maximum Allocation	100%	60%	45%	15%
Liquidity Objective	High	Moderate	Moderate/Low	Moderate
Volatility Tolerance	Low	Moderate	Moderate/High	Low/Moderate
Return Expectation	Low	Moderate	Moderate/High	Moderate

1. Liquidity Portfolio

The 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 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 will primarily~~ be in the form of separately managed accounts, ~~and~~ institutional commingled funds, ~~exchange-traded funds and however, from time to time~~ limited partnership agreements ~~or other similar forms may also be utilized.~~

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

Real Estate/Infrastructure

Risk Balanced/Risk-Balanced

~~It is expected that this portfolio will be meaningfully balanced across traditional risk factors including equities, real interest rates, inflation (both actual and expected), commodities and credit.~~

~~Additionally, non-traditional risk factors including value, momentum, carry, defensive and trend may be included. It is also expected that idiosyncratic (active) risk will be taken in this portfolio from time to time.~~

~~Exposure will be obtained through physical securities and/or conventional derivative instruments commonly accepted by other institutional investors such as, futures, swaps, options, forward contracts and reverse repurchase agreements.~~

~~Legal account structures will primarily be in the form of separately managed accounts, institutional commingled funds and limited partnership agreements.~~

Real Estate/Infrastructure

~~Specific types of fund investments may be structured as equity and/or debt and include categories broadly defined as core, value added, and opportunistic. In addition, investments may be made in real estate investment trusts and master limited partnerships from time to time.~~

~~Legal account structures will primarily be in the form of limited partnership agreements with average tenure of 10-12 years. Separately managed accounts and institutional commingled funds may also be utilized from time to time.~~

Private Debt

~~Specific types of long-only and long/short strategies including, but are not limited to, distressed debt funds, distressed for control funds, whole loans and pools, levered loans and pools, and mortgage servicing rights.~~

~~Legal account structures will primarily be in the form of limited partnership agreements.~~

a-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.*"

b-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.*" When synthetic market exposures are obtained through derivative instruments, a portion of the resulting cash and cash equivalent balances may be invested in a portfolio of active alpha managers seeking to add excess returns to the General Pool.

a. Alpha Portfolio Composition

In aggregate, the alpha portfolio will be constructed with broadly diverse strategies/styles and is expected to produce returns that show little or no relationship to the economic environment being experienced at any given time. Furthermore, the alpha portfolio will be constructed with a goal of low/no correlation to the synthetic market exposures obtained through the derivative instruments used to fund the program. The risk drivers within the alpha portfolio should generally be well known, empirically tested sources of return that can be actively or systematically harvested through dynamic long/short strategies. They can be thought of either as returns that underlie "classic" hedge fund strategies (hedge fund risk premia), such as arbitrage and macro or the returns from "classic" styles (style premia), such as value, momentum, carry, defensive and low volatility.

b.

Legal account structures will be in the form of one or a combination of separate accounts, institutional commingled funds and/or limited partnerships or other similar forms.

Allowable Range

e.a. Sizing of Alpha Portfolio - Allowable Range

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

~~d. Management of Portable Alpha Program - Minimum Cash Margin~~ liquidity Risk

~~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. ~~Management of liquidity risk is a critical component of the portable-alpha program. If not managed appropriately, there is a risk that synthetic market exposures may need to be unwound at undesirable points in time in order to meet margin calls during volatile markets. To help mitigate this risk, prudent balances of cash and cash equivalents shall be maintained as part of the program and monitored daily.~~

~~e.~~

~~For purposes of this policy, Cash Margin is defined as the underlying balance of cash and cash equivalents which have not been used to fund the alpha portfolio. Using an illustration to further clarify, if futures contracts were used to obtain \$100 million in US Treasury notional exposures and \$90 million of the underlying cash and cash equivalents were used to fund the alpha portfolio, the remaining \$10 million of cash and cash equivalents would be considered the Cash Margin. The Cash Margin percentage would be 10% (\$10 million divided by \$100 million notional exposure).~~

f.b.

~~The sufficiency of Cash Margin for the portable-alpha program notional exposures shall be determined by the modeling of economic and market stress scenarios including, but not limited to, the fall 2008 Financial Crisis, May 2013 Taper Tantrum and March 2020 COVID Crisis. Across the stress scenarios modeled, the remaining Cash Margin shall be at least 5%. The results of these modeled stress scenarios shall be reported to the Board on a quarterly basis.~~

E. Risk Management

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

- a. Regularly monitor the University's cash flow forecasts.
- b. Determine and Maintain minimum daily liquidity ~~(securities or investment vehicles which can be liquidated on a same-day basis)~~ equal to 30 days operating cash outflows for the University.
- c. Determine ~~Maintain~~ minimum weekly liquidity ~~(securities or investment vehicles which can be liquidated within 5 business days)~~ equal to 60 days operating cash outflows for the University.
- d. As applicable, determinemaintain 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 Liquidity and Core portfolios, in a manner which satisfies minimum requirements for weekly liquidity and contingency funding needs.
- a.b. Maintain appropriate reserves within the General Pool to mitigate drawdown risk. Based on the level of projected risk within the General Pool, as modeled in consultation with the University's Investment Consultant, maintain appropriate reserves within the General Pool to mitigate drawdown risk, 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.

- 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			
	Liquidity	Core	Strategic	Portable Alpha
Management	Internal/External	External	External	External
Minimum Allocation	20%	0%	0%	0%
Maximum Allocation	100%	60%	45%	15%
Liquidity Objective	High	Moderate	Moderate/Low	Moderate
Volatility Tolerance	Low	Moderate	Moderate/High	Low/Moderate
Return Expectation	Low	Moderate	Moderate/High	Moderate

1. Liquidity Portfolio

The 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:

June 29, 2023

- 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 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.

June 29, 2023

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
- Real Estate/Infrastructure
- Risk Balanced

- 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%.

June 29, 2023

b. 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 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*."

June 29, 2023

140.013 Investment Policy for Endowment Pool

Bd. Min 7-22-11. Revised in entirety, Bd. Min. 6-26-12. (Note: Board approval on 6-26-12 replaced previous rules 140.010, 140.011, 140.012 and 140.013 with new language and reissued new rules 140.010 through and including 140.016.) Revised Bd. Min 6-14-13; Revised 9-12-13; Revised 6-25-15; Revised 2-4-16; Revised 4-14-16; Revised 6-23-17; Revised Bd. Min. 9-28-17; Revised Bd. Min. 2-4-21; Amended 9-2-21; Amended 6-29-23.

- A. **Introduction** -- The University's Endowment Pool (also known as the Endowment Fund) contains gifts, bequests and other funds directed to be used to support a University program in perpetuity. Some donors require such a commitment as a condition of their gift ("true endowments"). Also, funds may be assigned to function as endowments by the Board of Curators or by University administration ("quasi endowments").
- B. **Responsibilities and Authorities** – See CRR 140.010 "Policy for Management and Oversight of Selected University Investment Pools."
- C. **Investment Objectives** -- The Endowment Pool must be managed to provide ongoing support of endowed programs in perpetuity, in conformance with donor stipulations. To accomplish this, investment returns, net of inflation, should be sufficient over time to cover annual spending distributions while maintaining or growing the underlying purchasing power of each endowed gift.

Endowment Pool investments should be managed in a manner that maximizes returns while attempting to minimize losses during adverse economic and market events, with an overall appetite for risk governed by the objectives noted above. This will be accomplished through a more 'risk-balanced' portfolio that seeks meaningful diversification of assets, which necessarily means less equity risk and more long-term bond exposure relative to peers. To offset potentially lower returns from a more risk-balanced portfolio, a key component of this strategy includes a less common, yet prudent, program of return enhancement commonly referred to in the investment industry as portable alpha. These investment objectives seek to prioritize the long-term structural needs of the Endowment Pool over short-term performance comparisons of the investment portfolio relative to peers.

- D. **Authorized Investments** – The Endowment Pool shall be invested in externally managed funds, consistent with the guidelines established in CRR 140.011, "Policy for Investment Manager Selection, Monitoring and Retention" and CRR 140.017, "Allowable Investments," in the following asset classes:

Asset Class	Economic Environment	Risk Factor(s)	Sub-Class Target	Asset Class Target	Range
Public Equity	Rising Growth Falling Inflation	Equity Currency	-	35%	25%- 45%
Private Equity	Rising Growth Falling Inflation	Equity Currency Liquidity	-	15%	10%- 20%

Public Debt <i>Sovereign Bonds Inflation- Linked Bonds Opportunistic</i>	- <i>Falling Growth Falling Inflation Falling Growth Rising Inflation - Rising Growth Falling Inflation</i>	- <i>Interest Rates Currency Inflation Interest Rates Currency Interest Rates Credit spreads</i>	- <i>8% 10% - 0%</i>	18%	8%- 28%
Private Debt	<i>Rising Growth Falling Inflation</i>	<i>Credit Spreads Liquidity</i>	-	7%	2%- 12%
Diversifiers <i>Risk Balanced - Commodities - Real Estate/ Infrastructure - Opportunistic</i>	- <i>Rising Growth Falling Growth Rising Inflation Falling Inflation Rising Growth Rising Inflation Rising Growth Rising Inflation - Rising Growth Rising Inflation</i>	- <i>Diversified - Inflation - Equity Credit Spreads Inflation Liquidity Equity Interest Rates</i>	- <i>12% - 3% - 10% - 0%</i>	25%	15-35%
Total Portfolio				100%	-

Asset Class	Asset Class Target	Allowable Range
<u>Commodities</u>	<u>3%</u>	<u>0%-13%</u>
<u>Inflation-Linked Bonds</u>	<u>10%</u>	<u>3%-20%</u>
<u>Opportunistic</u>	<u>0%</u>	<u>0%-7%</u>
<u>Private Debt</u>	<u>7%</u>	<u>3%-10%</u>
<u>Private Equity</u>	<u>15%</u>	<u>10%-20%</u>

<u>Public Equity</u>	<u>35%</u>	<u>20%-45%</u>
<u>Real Estate / Infrastructure</u>	<u>10%</u>	<u>5%-15%</u>
<u>Risk Balanced</u>	<u>12%</u>	<u>7%-17%</u>
<u>Sovereign Bonds</u>	<u>8%</u>	<u>3%-18%</u>
<u>Cash and Cash Equivalents</u>	<u>0%</u>	<u>0%-20%</u>
<u>Total Portfolio</u>	<u>100%</u>	

E. **Portfolio Rebalancing**

Asset allocations shall be monitored on an ongoing basis as changes in market behavior may cause variations from the target asset mix. Rebalancing of the portfolio shall be considered at least quarterly, and more often if necessary to maintain allocations within the allowable range. The need to rebalance shall take into account any logistical issues associated with fully funding a particular asset sector, as well as any tactical decisions to overweight or underweight a particular asset sector based on current market conditions. The University may utilize external managers to rebalance portfolio exposures consistent with targets and allowable ranges established by this policy. In those instances, conventional derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements may be utilized.

Actual asset class allocations shall not fall outside of the allowable ranges, with the exception of violations caused solely by periods of extreme market distress, when it may not be possible or advisable to immediately bring such allocations back to within the allowable ranges.

F. **Currency Risk Management**

In the context of a global investment portfolio, currency risk exists to the extent that investments contain exposures to foreign currencies. The desirability of this currency exposure is not necessarily aligned dollar for dollar with the desired exposure to assets denominated in foreign currencies. As such, external managers in any asset class may implement currency strategies to alter the currency exposure of the portfolio when deemed prudent to do so in the context of the particular investment mandate. In addition, the University may utilize external managers to implement currency strategies to alter exposures in an active or passive manner as part of a portfolio or asset class overlay when deemed prudent to do so.

G. **Portable Alpha Program**

When any combination of market beta exposures (Public Equity, Sovereign Bonds, Inflation-Linked Bonds, Commodities, etc.) 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 Endowment Pool overall.

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

~~Synthetic market exposures across asset classes including equities, sovereign bonds, inflation-linked bonds and commodities may be obtained through derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements. These derivative instruments shall be managed by external investment firms with appropriate expertise, experience and depth of resources.~~

G.

a. Sizing of Alpha Portfolio – Allowable Range

~~When synthetic market exposures are obtained through derivative instruments, a portion of the resulting cash and cash equivalent balances may be invested by active alpha managers seeking to add returns over the benchmark. These alpha managers will possess broadly diverse strategies/styles and, in the aggregate, are expected to produce returns that show little or no relationship to the economic environment being experienced at any given time. Furthermore, this portfolio of managers will be constructed with a goal of low/no correlation to the synthetic market exposures obtained through the derivative instruments. The risk drivers with the portable alpha portfolio should generally be well known, empirically tested, sources of return that can be systematically harvested through dynamic long/short strategies. They can be thought of either as returns that underlie "classic" hedge fund strategies (hedge fund risk premia), such as arbitrage and macro or the returns from "classic" styles (style premia), such as value, momentum, carry, defensive and low volatility.~~

~~b. Legal account structures will be in the form of one or a combination of separate accounts, institutional commingled funds and/or limited partnerships or other similar forms.~~

a. The allowable range of the portable alpha portfolio shall be 0-27% of the total Endowment Pool, which would represent total portfolio leverage of 100% to 127%.

e. Minimum Cash Margin

The Endowment Pool shall maintain a 10% 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.

~~d. Management of liquidity risk is a critical component of the portable alpha program. If not managed appropriately, there is a risk that synthetic market exposures may need to be unwound at undesirable points in time in order to meet margin calls during volatile markets. To help mitigate this risk, prudent balances of cash and cash equivalents shall be maintained as part of the program and monitored daily.~~

e.b. The following table outlines the minimum cash requirements with associated replenishing guidelines:

-

-	Cash Margin*	Replenishing Guidelines
Target	30%	n/a
Range 1	29.9% to 20%	Develop action plan to replenish to Target within 12 months
Range 2	19.9% to 10%	Develop action plan to replenish to Range 1 within 60 days, with subsequent plan to replenish to Target within 12 months
Range 3	9.9% or less	Take immediate action to replenish to Range 2 as quickly as possible. Follow with plan to replenish to Range 1 within 60 days, and subsequent plan to replenish to Target within 12 months

** Cash Margin is defined as Portable Alpha Program cash and cash equivalents divided by the total of synthetic market exposures outstanding across all asset classes with the program.*

H. **Spending Policy** – To provide ongoing support to endowed programs in perpetuity, the spending policy must be managed in conjunction with investment objectives and other factors in compliance with applicable law, such that the spending rate plus an inflationary assumption shall not exceed expected investment returns over time. At minimum, the spending policy should be reviewed in conjunction with asset/liability studies performed by the Investment Consultant not less than once every three years.

1. The formula used to determine the Endowment Pool spending distribution for each fiscal year shall apply a rate of 4.0% to a base equal to the 28-quarter trailing average of market values as of December 31st of the prior fiscal year. Endowment spending distributions shall be paid on a monthly basis.

~~The transition of the rate from 4.5% to 4.0% shall be accomplished in a methodical manner over a period not to exceed the seven years ended June 30, 2024. In no case shall the transition from 4.5% to 4.0% cause the actual spending distribution to decrease from one year to the next during the transition phase.~~

2. In addition to the spending distribution noted above, the President shall have the discretion to distribute from the Endowment Pool an administrative fee each fiscal year to be used for support of internal endowment administration and development functions. Such administrative fee shall be calculated by applying a rate of up to 1.25% to a base equal to the 28-quarter trailing average of market values as of December 31st of the prior fiscal year. The administrative fee shall be paid on a monthly basis. In addition, internal investment management, accounting and legal expenses may be charged directly to the Endowment Pool.
3. The spending policy, spending distribution formula and administrative fee may be adjusted over time by the Board to respond to general economic conditions

and other factors as appropriate and in compliance with applicable law.

- 4. Implementation of the spending policy is delegated to the Executive Vice President for Finance or her/his designees.

140.013 Investment Policy for Endowment Pool

Bd. Min 7-22-11. Revised in entirety, Bd. Min. 6-26-12. (Note: Board approval on 6-26-12 replaced previous rules 140.010, 140.011, 140.012 and 140.013 with new language and reissued new rules 140.010 through and including 140.016.) Revised Bd. Min 6-14-13; Revised 9-12-13; Revised 6-25-15; Revised 2-4-16; Revised 4-14-16; Revised 6-23-17; Revised Bd. Min. 9-28-17; Revised Bd. Min. 2-4-21; Amended 9-2-21; Amended 6-29-23.

- A. **Introduction** -- The University's Endowment Pool (also known as the Endowment Fund) contains gifts, bequests and other funds directed to be used to support a University program in perpetuity. Some donors require such a commitment as a condition of their gift ("true endowments"). Also, funds may be assigned to function as endowments by the Board of Curators or by University administration ("quasi endowments").
- B. **Responsibilities and Authorities** – See CRR 140.010 *"Policy for Management and Oversight of Selected University Investment Pools."*
- C. **Investment Objectives** -- The Endowment Pool must be managed to provide ongoing support of endowed programs in perpetuity, in conformance with donor stipulations. To accomplish this, investment returns, net of inflation, should be sufficient over time to cover annual spending distributions while maintaining or growing the underlying purchasing power of each endowed gift.

Endowment Pool investments should be managed in a manner that maximizes returns while attempting to minimize losses during adverse economic and market events, with an overall appetite for risk governed by the objectives noted above. This will be accomplished through a more 'risk-balanced' portfolio that seeks meaningful diversification of assets, which necessarily means less equity risk and more long-term bond exposure relative to peers. To offset potentially lower returns from a more risk-balanced portfolio, a key component of this strategy includes a less common, yet prudent, program of return enhancement commonly referred to in the investment industry as portable alpha. These investment objectives seek to prioritize the long-term structural needs of the Endowment Pool over short-term performance comparisons of the investment portfolio relative to peers.

- D. **Authorized Investments** – The Endowment Pool shall be invested in externally managed funds, consistent with the guidelines established in CRR 140.011, *"Policy for Investment Manager Selection, Monitoring and Retention"* and CRR 140.017, *"Allowable Investments,"* in the following asset classes:

Asset Class	Asset Class Target	Allowable Range
Commodities	3%	0%-13%
Inflation-Linked Bonds	10%	3%-20%

Opportunistic	0%	0%-7%
Private Debt	7%	3%-10%
Private Equity	15%	10%-20%
Public Equity	35%	20%-45%
Real Estate / Infrastructure	10%	5%-15%
Risk Balanced	12%	7%-17%
Sovereign Bonds	8%	3%-18%
Cash and Cash Equivalents	0%	0%-20%
Total Portfolio	100%	

E. **Portfolio Rebalancing**

Asset allocations shall be monitored on an ongoing basis as changes in market behavior may cause variations from the target asset mix. Rebalancing of the portfolio shall be considered at least quarterly, and more often if necessary to maintain allocations within the allowable range. The need to rebalance shall take into account any logistical issues associated with fully funding a particular asset sector, as well as any tactical decisions to overweight or underweight a particular asset sector based on current market conditions. The University may utilize external managers to rebalance portfolio exposures consistent with targets and allowable ranges established by this policy. In those instances, conventional derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements may be utilized.

Actual asset class allocations shall not fall outside of the allowable ranges, with the exception of violations caused solely by periods of extreme market distress, when it may not be possible or advisable to immediately bring such allocations back to within the allowable ranges.

F. **Currency Risk Management**

In the context of a global investment portfolio, currency risk exists to the extent that investments contain exposures to foreign currencies. The desirability of this currency exposure is not necessarily aligned dollar for dollar with the desired exposure to assets denominated in foreign currencies. As such, external managers in any asset class may implement currency strategies to alter the currency exposure of the portfolio when deemed prudent to do so in the context of the particular investment mandate. In addition, the University may utilize external managers to

implement currency strategies to alter exposures in an active or passive manner as part of a portfolio or asset class overlay when deemed prudent to do so.

G. Portable Alpha Program

When any combination of market beta exposures (Public Equity, Sovereign Bonds, Inflation-Linked Bonds, Commodities, etc.) 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 Endowment 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 of the Alpha Portfolio shall be 0-27% of the total Endowment Pool, which would represent total portfolio leverage of 100% to 127%.

b. Minimum Cash Margin

The Endowment Pool shall maintain a 10% 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.

H. Spending Policy – To provide ongoing support to endowed programs in perpetuity, the spending policy must be managed in conjunction with investment objectives and other factors in compliance with applicable law, such that the spending rate plus an inflationary assumption shall not exceed expected investment returns over time. At minimum, the spending policy should be reviewed in conjunction with asset/liability studies performed by the Investment Consultant not less than once every three years.

1. The formula used to determine the Endowment Pool spending distribution for each fiscal year shall apply a rate of 4.0% to a base equal to the 28-quarter trailing average of market values as of December 31st of the prior fiscal year. Endowment spending distributions shall be paid on a monthly basis.
2. In addition to the spending distribution noted above, the President shall have the discretion to distribute from the Endowment Pool an administrative fee each fiscal year to be used for support of internal endowment administration and development functions. Such administrative fee shall be calculated by applying a rate of up to 1.25% to a base equal to the 28-quarter trailing average of market values as of December 31st of the prior fiscal year. The administrative fee shall be paid on a monthly basis. In addition, internal investment management, accounting and legal expenses may be charged directly to the Endowment Pool.
3. The spending policy, spending distribution formula and administrative fee may be adjusted over time by the Board to respond to general economic conditions and other factors as appropriate and in compliance with applicable law.

4. Implementation of the spending policy is delegated to the Executive Vice President for Finance or her/his designees.

140.015 Investment Policy for Retirement, Disability and Death Benefit Plan

Bd. Min. 6-26-12, Revised Bd. Min. 6-14-13, Revised Bd. Min. 9-12-13, Revised 6-25-15, Revised 2-4-16; Revised 4-14-16; Amended Bd. Min. 9-28-17; Amended Bd. Min. 11-19-20; Bd. Min. 4-21-22; [Amended 6-29-23](#).

- A. **Introduction** -- The University's Retirement, Disability and Death Benefit Plan ("Plan") was established to provide retirement income and other stipulated benefits to qualified employees in amounts and under the conditions described in the plan. A Trust was established in 1958 and is being funded to provide the financial security of those benefits.
- B. **Responsibilities and Authorities** – See CRR 140.010 "*Policy for Management and Oversight of Selected University Investment Pools*."
- C. **Investment objectives** -- The primary objective to be achieved in the active management of Trust assets is to provide for the full and timely payment of retirement, disability and death benefits to qualified employees. In order to fulfill this objective the University must maintain a prudent actuarially sound funding of the Plan's liabilities. This funding requirement is derived from three principal sources; the total investment return on Trust assets and the amount of University and employee contributions.

Trust assets should be managed in a manner that maximizes returns while attempting to minimize losses during adverse economic and market events, with an overall appetite for risk governed by the Plan's liability structure and the need to make promised benefit payments to members over time. This will be accomplished through a more 'risk-balanced' portfolio that seeks meaningful diversification of assets, which necessarily means less equity risk and more long-term bond exposure relative to peers. To offset potentially lower returns from a more risk-balanced portfolio, a key component of this strategy includes a less common, yet prudent, program of return enhancement commonly referred to in the investment industry as portable alpha. These investment objectives seek to prioritize the long-term structural needs of our Retirement Plan over short-term performance comparisons of the investment portfolio relative to peers.

- D. **Authorized Investments** – The Plan shall be invested in externally managed funds, consistent with the guidelines established in CRR 140.011, "*Policy for Investment Manager Selection, Monitoring and Retention*" and CRR 140.017, "*Allowable Investments*," in the following asset classes:

Asset Class	Asset Class Target	Allowable Range
Commodities	5%	0%-15%
Inflation-Linked Bonds	9%	3%-19%

<u>Opportunistic</u>	<u>0%</u>	<u>0%-7%</u>
Private Debt	6%	3%-9%
Private Equity	13%	9%-17%
Public Equity	34%	20%-45%
Real Estate / Infrastructure	13%	9%-17%
Risk Balanced	12%	7%-17%
Treasuries	8%	3%-18%
Cash and Cash Equivalents	0%	0%-20%
Total Portfolio	100%	

E. **Portfolio Rebalancing**

Asset allocations shall be monitored on an ongoing basis as changes in market behavior may cause variations from the target asset mix. Rebalancing of the portfolio shall be considered at least quarterly, and more often if necessary to maintain allocations within the allowable ranges. The need to rebalance shall take into account any logistical issues associated with fully funding a particular asset sector, as well as any tactical decisions to overweight or underweight a particular asset sector based on current market conditions. The University may utilize external managers to rebalance portfolio exposures consistent with targets and allowable ranges established by this policy. In those instances, conventional derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements may be utilized.

Actual asset classes allocations shall not fall outside of the allowable ranges, with the exception of violations caused solely by periods of extreme market distress, when it may not be possible or advisable to immediately bring such allocations back to within the allowable ranges.

F. **Currency Risk Management**

In the context of a global investment portfolio, currency risk exists to the extent that investments contain exposures to foreign currencies. The desirability of this currency exposure is not necessarily aligned dollar for dollar with the desired exposure to assets denominated in foreign currencies. As such, external managers in any asset class may implement currency strategies to alter the currency exposure of the portfolio when deemed prudent to do so in the context of the particular investment mandate. In addition, the University may utilize external managers to

implement currency strategies to alter exposures in an active or passive manner as part of a portfolio or asset class overlay when deemed prudent to do so.

G. Portable Alpha Program

When any combination of market beta exposures (Public Equity, Sovereign Bonds, Inflation-Linked Bonds, Commodities, etc.) 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 Retirement Plan overall.

~~G. Overall management of the Portable Alpha Program is subject to the provisions of CRR 140.017 "Policy for Allowable Investments." Synthetic market exposures across asset classes including equities, sovereign bonds, inflation-linked bonds and commodities may be obtained through derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements. These derivative instruments shall be managed by external investment firms with appropriate expertise, experience and depth of resources.~~

~~When synthetic market exposures are obtained through derivative instruments, a~~

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

~~portion of the resulting cash and cash equivalent balances may be invested by active alpha managers seeking to add returns over the benchmark. These alpha managers will possess broadly diverse strategies/styles and, in the aggregate, are expected to produce returns that show little or no relationship to the economic environment being experienced at any given time. Furthermore, this portfolio of managers will be constructed with a goal of low/no correlation to the synthetic market exposures obtained through the derivative instruments. The risk drivers within the portable alpha portfolio should generally be well known, empirically tested, sources of return that can be systematically harvested through dynamic long/short strategies. They can be thought of either as returns that underlie "classic" hedge fund strategies (hedge fund risk premia), such as arbitrage and macro or the returns from "classic" styles (style premia), such as value, momentum, carry, defensive and low volatility.~~

~~b. Legal account structures will be in the form of one or a combination of separate accounts, institutional commingled funds and/or limited partnerships or other similar forms.~~

~~a. The allowable range of the portable alpha portfolio shall be 0-27% of the total Retirement Plan, which would represent total portfolio leverage of 100% to 127%.~~

~~e.b. Minimum Cash Margin~~

~~The Retirement Plan shall maintain a 10% 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.~~

~~Management of liquidity risk is a critical component of the portable alpha program. If not managed appropriately, there is a risk that synthetic market exposures may need to be unwound at undesirable points in time in order to meet margin calls during volatile markets. To help mitigate this risk, prudent balances of~~

Formatted: Font: 10.5 pt

Formatted: Indent: Left: 0.25", No bullets or numbering, Tab stops: Not at 1.75"

~~cash and cash equivalents shall be maintained as part of the program and monitored daily.~~

~~The following table outlines the minimum cash requirements with associated replenishing guidelines:~~

-	Cash Margin*	Replenishing Guidelines
Target	30%	n/a
Range 1	29.9% to 29%	Develop action plan to replenish to Target within 12 months
Range 2	19.9% to 19%	Develop action plan to replenish to Range 1 within 60 days, with subsequent plan to replenish to Target within 12 months
Range 3	9.9% or less	Take immediate action to replenish to Range 2 as quickly as possible. Follow with plan to replenish to Range 1 within 60 days, and subsequent plan to replenish to Target within 12 months

~~* Cash Margin is defined as Portable Alpha Program cash and cash equivalents divided by the total of synthetic market exposures outstanding across all asset classes with the program.~~

140.015 Investment Policy for Retirement, Disability and Death Benefit Plan

Bd. Min. 6-26-12, Revised Bd. Min. 6-14-13, Revised Bd. Min. 9-12-13, Revised 6-25-15, Revised 2-4-16; Revised 4-14-16; Amended Bd. Min. 9-28-17; Amended Bd. Min. 11-19-20; Bd. Min. 4-21-22; Amended 6-29-23.

- A. **Introduction** -- The University's Retirement, Disability and Death Benefit Plan ("Plan") was established to provide retirement income and other stipulated benefits to qualified employees in amounts and under the conditions described in the plan. A Trust was established in 1958 and is being funded to provide the financial security of those benefits.
- B. **Responsibilities and Authorities** – See CRR 140.010 "*Policy for Management and Oversight of Selected University Investment Pools.*"
- C. **Investment objectives** -- The primary objective to be achieved in the active management of Trust assets is to provide for the full and timely payment of retirement, disability and death benefits to qualified employees. In order to fulfill this objective the University must maintain a prudent actuarially sound funding of the Plan's liabilities. This funding requirement is derived from three principal sources; the total investment return on Trust assets and the amount of University and employee contributions.

Trust assets should be managed in a manner that maximizes returns while attempting to minimize losses during adverse economic and market events, with an overall appetite for risk governed by the Plan's liability structure and the need to make promised benefit payments to members over time. This will be accomplished through a more 'risk-balanced' portfolio that seeks meaningful diversification of assets, which necessarily means less equity risk and more long-term bond exposure relative to peers. To offset potentially lower returns from a more risk-balanced portfolio, a key component of this strategy includes a less common, yet prudent, program of return enhancement commonly referred to in the investment industry as portable alpha. These investment objectives seek to prioritize the long-term structural needs of our Retirement Plan over short-term performance comparisons of the investment portfolio relative to peers.

- D. **Authorized Investments** – The Plan shall be invested in externally managed funds, consistent with the guidelines established in CRR 140.011, "*Policy for Investment Manager Selection, Monitoring and Retention*" and CRR 140.017, "*Allowable Investments,*" in the following asset classes:

Asset Class	Asset Class Target	Allowable Range
Commodities	5%	0%-15%
Inflation-Linked Bonds	9%	3%-19%

Opportunistic	0%	0%-7%
Private Debt	6%	3%-9%
Private Equity	13%	9%-17%
Public Equity	34%	20%-45%
Real Estate / Infrastructure	13%	9%-17%
Risk Balanced	12%	7%-17%
Treasuries	8%	3%-18%
Cash and Cash Equivalents	0%	0%-20%
Total Portfolio	100%	

E. **Portfolio Rebalancing**

Asset allocations shall be monitored on an ongoing basis as changes in market behavior may cause variations from the target asset mix. Rebalancing of the portfolio shall be considered at least quarterly, and more often if necessary to maintain allocations within the allowable ranges. The need to rebalance shall take into account any logistical issues associated with fully funding a particular asset sector, as well as any tactical decisions to overweight or underweight a particular asset sector based on current market conditions. The University may utilize external managers to rebalance portfolio exposures consistent with targets and allowable ranges established by this policy. In those instances, conventional derivative instruments commonly accepted by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements may be utilized.

Actual asset classes allocations shall not fall outside of the allowable ranges, with the exception of violations caused solely by periods of extreme market distress, when it may not be possible or advisable to immediately bring such allocations back to within the allowable ranges.

F. **Currency Risk Management**

In the context of a global investment portfolio, currency risk exists to the extent that investments contain exposures to foreign currencies. The desirability of this currency exposure is not necessarily aligned dollar for dollar with the desired exposure to assets denominated in foreign currencies. As such, external managers in any asset class may implement currency strategies to alter the currency exposure of the portfolio when deemed prudent to do so in the context of the particular investment mandate. In addition, the University may utilize external managers to

implement currency strategies to alter exposures in an active or passive manner as part of a portfolio or asset class overlay when deemed prudent to do so.

G. Portable Alpha Program

When any combination of market beta exposures (Public Equity, Sovereign Bonds, Inflation-Linked Bonds, Commodities, etc.) 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 Retirement Plan 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 of the portable alpha portfolio shall be 0-27% of the total Retirement Plan, which would represent total portfolio leverage of 100% to 127%.

b. Minimum Cash Margin

The Retirement Plan shall maintain a 10% 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.

140.017 Policy for Allowable Investments

Bd. Min 9-28-17; Amended Bd. Min. 6-29-23.

A. Introduction – This policy establishes general guidelines for asset classes and associated implementation matters for the following investment pools:

140.012 General Pool [Section D(3) "Strategic Portfolio"]

140.013 Endowment Pool

140.015 Retirement, Disability and Death Benefit Plan

B. Responsibilities and Authorities – See CRR 140.010 "Policy for Management and Oversight of Selected University Investment Pools."

C. Asset Class Guidelines – The following asset class descriptions and guidelines may be applicable to ~~either~~ investment pools noted above, as specified by targets and ranges within each individual policy. The intent of this section is to provide descriptions and general implementation guidelines for each of the following asset classes:

1. Public Equity: ~~Investments in this class are expected to perform well during periods of rising economic growth and/or falling inflation.~~

The equity risk factor drives the returns of this class. Currency risk may also be present when investing in non-U.S. securities.

Investments in this asset class may include U.S. and non-U.S. equity investments, including both long and long/short strategies with varying characteristics related to market capitalization, style and sector.

Exposure will be obtained through physical securities and/or conventional derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, forward contracts and reverse repurchase agreements. Public Equity exposures may be used to fund a Portable Alpha Program.

Legal account structures ~~may~~ will primarily be in the form of separately managed accounts, ~~and~~ institutional commingled funds, exchange-traded funds and ~~however, from time to time limited~~ partnership agreements ~~may also be utilized.~~

2. Private Equity: ~~Investments in this class are expected to perform well during periods of rising economic growth and/or falling inflation.~~

These investments are primarily driven by the equity and liquidity risk factors yet, because of their diverse nature, some of these investments may include currency risk and other idiosyncratic risks.

Investments in this asset class may include U.S. and non-U.S. private equity strategies including, but not limited to, buyout, venture, and special situations.

Legal account structures will primarily be in the form of limited partnership agreements or other similar forms with average tenure of 10-12 years.

~~3. Public Debt:~~

~~4.3. Sovereign Bonds—Investments in this class are expected to perform well during periods of falling economic growth and falling inflation.~~

Interest rates are the primary risk factor driving the returns of this sub-class of securities. Currency risk may also be present when investing in non-U.S. Government Securities.

Investments in this asset class may include U.S. and non-U.S. bonds that have been issued, collateralized or guaranteed: (i) by the U.S. Government, its agencies, or its instrumentalities (collectively known as U.S. Government Securities) or (ii) by investment grade non-U.S. sovereign governments, their agencies or their instrumentalities (collectively known as non-U.S. Government Securities).

Exposure will be obtained through physical securities and/or conventional derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, forward contracts and reverse repurchase agreements. Sovereign Bond exposures may be used to fund a Portable Alpha Program.

Legal account structures ~~may will primarily~~ be in the form of separately managed accounts, ~~and~~ institutional commingled funds, ~~exchange-traded funds however, from time to time and~~ limited partnership agreements ~~may also be utilized~~.

~~5.4. Inflation-Linked Bonds—Investments in this class are expected to perform well during periods of falling economic growth and rising inflation.~~

Interest rates and inflation are the primary risk factors driving the returns of this sub-class of securities. Currency risk may also be present when investing in non-U.S. Government Securities.

Investments in this asset class may include U.S. and non-U.S. bonds that have been issued, collateralized or guaranteed: (i) by the U.S. Government, its agencies, or its instrumentalities (collectively known as U.S. Government Securities) or (ii) by investment grade non-U.S. sovereign governments, their Agencies or their instrumentalities (collectively known as non-U.S. Government Securities).

Exposure will be obtained through physical securities and/or conventional derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, forward contracts and reverse repurchase agreements. Inflation-Linked Bond exposures may be used to fund a Portable Alpha Program.

Legal account structures ~~may will primarily~~ be in the form of separately managed accounts, ~~and~~ institutional commingled funds, ~~exchange-traded funds however, from time to time and~~ limited partnership agreements ~~may also be utilized~~.

6.5. Opportunistic Debt—Investments in this class are expected to perform well during periods of rising growth and falling inflation.

Credit spreads are the primary driver of returns, while interest rate risk may also be present. Because of their diverse nature, some of these investments may also include currency risk and other idiosyncratic risks.

It is expected that this category will be utilized when market dislocations present unique opportunities to ~~purchase investments~~ at attractive valuations ~~discounted values~~ relative to the underlying fundamentals across a variety of risk factors and implementations.

No policy target shall be assigned to this category; any capital allocated to this category will be funded from underweight positions relative to policy targets in other asset classes, with the expectation that such opportunistic investments should outperform and/or strengthen the overall diversification of the total portfolio over a given timeframe. Specific types of strategies include, but are not limited to, core bonds, high yield bonds, emerging market bonds, commercial mortgage-backed securities and residential mortgage-backed securities. Investments in this category should be shorter-term in nature, with final maturities not to exceed seven years.

Exposures ~~may~~ will be obtained through public and private securities in various forms and implementations as well as ~~primarily through physical securities, however, from time to time~~ derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, forward contracts, and reverse repurchase agreements may be utilized. Implementations may hold a mix of long/short positions.

Legal account structures will ~~primarily~~ be in the form of separately managed accounts, ~~and~~ institutional commingled funds, ~~however, from time to time~~ limited partnership agreements or other similar forms ~~may also be utilized~~.

7.6. Private Debt—Investments in this class are expected to perform well during periods of rising growth and falling inflation.

Credit spreads and liquidity risk will be the primary drivers of returns, while interest rate and equity risk may also be present from time to time. Currency risk may also be present when investing in non-U.S. securities, as well as other idiosyncratic risks.

Specific types of strategies include, but are not limited to, opportunistic debt, distressed debt ~~funds~~, distressed for control ~~funds~~, whole loans and pools, levered loans and pools, and mortgage servicing rights.

Legal account structures will primarily be in the form of limited partnership or limited liability company agreements with average tenure of 5-12 years.

8. ~~Diversifiers~~

9.7. Commodities—Investments in this class are expected to perform well during periods of rising economic growth and rising inflation.

—This asset class is driven by changes in expectations for inflation and the supply of and demand for raw materials.

—Investments in the asset class are likely to be made through derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, and forward contracts. From time to time, physical securities of raw material companies and/or companies that produce raw materials may be held.

Implementations may hold a mix of long/short positions. Commodity exposures may be used to fund a Portable Alpha Program.

—Legal account structures ~~may will primarily~~ be in the form of separately managed accounts, ~~and~~ institutional commingled funds, exchange-traded funds ~~however and r, from time to time~~ limited partnership agreements ~~may also be utilized~~.

10.8. Risk Balanced ~~Investments in this class are expected to provide relatively stable returns across most economic environments.~~

—This asset class is driven by multiple traditional risk factors including equities, interest rates, commodities, credit spreads and inflation. In most instances, some or all of these factors are balanced in a way that attempts to equalize risk exposures within a portfolio. Additionally, non-traditional risk factors including value, momentum, carry, defensive and trend may be included. It is also expected that idiosyncratic (active) risk will be taken in this portfolio from time to time.

—Exposure will be obtained through physical securities and/or conventional derivative instruments commonly accepted by other institutional investors such as, futures, swaps, options, forward contracts and reverse repurchase agreements.

—Legal account structures will primarily be in the form of separately managed accounts, institutional commingled funds and limited partnership agreements.

11.9. Real Estate/Infrastructure ~~Investments in this class are expected to perform well during periods of rising growth and may offer protection against rising inflation.~~

These investments may be driven by multiple risk factors depending on how they are positioned in the capital structure. Equity, credit, inflation and liquidity will generally be the primary risk factors. Non-U.S. investments may also possess currency risk.

Specific types of fund investments may be structured as equity and/or debt and include categories broadly defined as core, value added, and opportunistic. In addition, investments may be made in real estate investment trusts and master limited partnerships from time to time.

Legal account structures will primarily be in the form of limited partnership agreements with average tenure of 10-12 years. Separately managed accounts and institutional commingled funds may also be utilized from time to time.

D. Portable Alpha Program ~~– when any combination of market beta exposures 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 total portfolio overall.

1. Definitions

- a. **Market Beta Exposure** – obtained through owning some broad representation of a given market, usually tracked by a benchmark or index. Within Retirement, Endowment and General Pool, examples of market beta exposures include public equities, sovereign bonds, inflation-linked bonds, commodities, and other public debt markets. Common ways to obtain market beta exposures include passive or actively managed mutual funds, ETFs or separate accounts holding individual investment securities.
- b. **Derivative Instruments** – market beta exposures may also be obtained with derivative instruments commonly used by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements.
- c. **Notional Exposure** – when derivative instruments are used to obtain market beta exposures, the market exposure obtained is not directly connected to the amount of cash required to obtain such market exposure. For example, obtaining a \$100 million exposure to the S&P 500 using futures could be done with an initial cash outlay of less than \$5 million. In the context of this Portable Alpha Program, \$100 million of notional exposure would be initially funded with \$100 million in cash. The key takeaway is that with a derivatives implementation of market beta exposures, part of the cash underlying the notional exposure is available to fund other types of investment exposures, such as alpha.
- d. **Alpha Portfolio** - Alpha represents investing skill that generates returns alongside, or independent of, a given market beta exposure. For purposes of the Portable Alpha Program, the Alpha Portfolio represents a collection of highly skilled alpha managers able to source alpha independent from a market beta exposure. Alpha managers utilized within the Alpha Portfolio should be well established and highly institutionalized, have satisfactory liquidity terms, maintain robust risk management systems, and have a demonstrated ability to deliver return streams with generally low volatility and very low correlations (no discernable relationship) to the market beta exposures used to fund the Portable Alpha Program. Common alpha strategies likely contain well-known, empirically tested sources of returns that can be actively or systematically harvested through both long and short implementations including, but not limited to:
 - 1) hedge fund risk premia such as arbitrage, macro, credit, and equity long/short;
 - 2) style risk premia such as value, momentum, carry, defensive and low volatility;
 - 3) other idiosyncratic sources of return.

Legal account structures will be in the form of separate accounts, institutional commingled funds, limited partnerships or other similar forms. The overall mix of investment vehicles and fund structures should allow for at least 20% of the Alpha Portfolio to be redeemed for cash within 90 days, with a minimum of 50% available for cash redemption within six months.

2. Understanding Liquidity Needs / Cash Margin

The primary need for liquidity within the Portable Alpha program is the settlement of gains and losses from the mix of market beta exposures implemented through derivatives, which are used to fund the program. To help illustrate this concept: Assume a \$70 million Alpha Portfolio funded by \$100 million in US Treasuries (a market beta exposure). Derivatives would be used to obtain \$100 million notional in US Treasuries market beta exposure. Of the \$100 million in underlying cash, \$70 million is used to fund the Alpha Portfolio with the remaining \$30 million held in cash ("Cash Margin"). The Cash Margin is needed to settle gains or losses on the derivatives used to obtain the \$100 million notional US Treasuries market beta exposure.

As a simplistic example, if US Treasuries gained 10% over a given period, Cash Margin would increase by \$10 million (\$100 million notional x 10% gain). But if US Treasuries lost 10% over a given period, Cash Margin would decrease by \$10 million (\$100 million notional x 10% loss). Overall, Cash Margin should be sufficient to cover potential losses in the market beta exposures implemented through derivatives and used to fund the Alpha Portfolio. More specifically, liquidity needs are driven by the market beta exposures funding the Portable Alpha Program, not the Alpha Portfolio itself.

3. Sources of Cash Margin

The following are sources of Cash Margin for the Portable Alpha Program:

- a. Cash balances underlying the market beta exposures obtained through derivatives implementation (for example, the \$30 million in the illustration noted in the section above).
- b. Any unencumbered cash balances held at the total portfolio level, which have been specifically dedicated to the Portable Alpha Program.
- c. Any balances of passive market beta exposures held in ETFs or mutual funds which could be settled (cash received) within three business days. For sake of clarity, assume that the Alpha Portfolio was funded by notional US Treasury exposure. Further, assume that the portfolio had additional US Treasury market beta exposure through an index mutual fund, which could be traded with cash settlement within three business days. Under this provision, using this example, the amount invested in the US Treasury index mutual fund could be counted fully or partially as available Cash Margin. From a practical perspective, these passive mutual fund or ETF holdings could be quickly converted to notional derivative exposures (without changing the portfolio's overall market beta exposure), making the underlying cash available for the Portable Alpha Program. Having the flexibility to manage market beta exposures in this way can reduce the financing costs associated with derivative notional implementations while maintaining ready access to cash (liquidity).
- d. Cash redemptions from Alpha Portfolio managers.

4. Measuring / Testing Liquidity Needs

With the Portable Alpha Program being funded by a derivatives implementation of some mix of market beta exposures, the measurement and testing of liquidity needs involves assessing how the given mix of these asset classes performs across a representative sample of historical economic and market stress scenarios. In managing liquidity needs, the objective is for the Cash Margin to "survive" these

modeled scenarios with some minimum level of Cash Margin remaining after the stressed scenario has occurred. For purposes of this policy, Cash Margin sufficiency shall be determined by taking an average of the five worst modeled scenarios as defined as those scenarios having the greatest depletion of Cash Margin. To be clear, assuming the five worst modeled scenarios consumed 5%, 6%, 8%, 10% and 16% of Cash Margin, the average of these five would be Cash Margin depletion of 9%. The minimum Cash Margin requirement would be 9% plus some additional safety buffer, which would be defined individually in the investment policies for the Retirement, Endowment and General Pool portfolios.

5. Managing Liquidity Needs

There are generally six primary ways to manage Cash Margin and liquidity needs during times of market stress. Any of these, or some combination, may be used depending upon the circumstance.

- a. Utilize existing cash balances underlying the market beta exposures obtained through derivatives implementation.
- b. Utilize unencumbered cash balances held at the total portfolio level, if any, which have been specifically dedicated to the Portable Alpha Program.
- c. Convert passive market beta exposures held in ETFs or mutual funds to market beta exposures obtained through derivatives implementation to generate additional cash. As an example, \$50 million in US Treasury index exposure held in a mutual fund could be redeemed and replaced with a derivatives implementation providing the same market beta exposure while making the \$50 million of underlying cash available to the Portable Alpha Program.
- d. If possible, rebalance the mix of market beta exposures funding the Portable Alpha Program from more volatile asset classes to less volatile asset classes. For example, in a period of equity market drawdown, shifting some mix of Alpha Portfolio funding from public equities to sovereign bonds would lower the volatility of the funding mix, reducing the drawdown exposure and resulting demands on the Cash Margin.
- e. Selective redemption requests to Alpha Portfolio managers will generate additional Cash Margin.
- f. Reducing or eliminating notional market beta exposures obtained through derivative instruments will immediately stop further draws on remaining Cash Margin. For example, if the Portable Alpha Program were funded primarily by public equity notional exposure during a period of equity market drawdown, consideration could be given to eliminating the derivatives equity position through cancellation of the swap, liquidating the futures, etc. Careful consideration should be given to this option as it also eliminates strategic market beta exposure for the portfolio overall; still, this de-risking option may be desirable in times of significant market stress.

6. Operational Requirements

- a. Minimum required Cash Margin balances for each portfolio shall be determined, maintained, and monitored on a daily basis by investment staff.

- b. Modeling of historical economic and market stress scenarios shall be updated by investment staff on a monthly basis utilizing the then current mix of market exposures funding the Portable Alpha Program (which should also include any passive market beta exposures implemented through mutual funds or ETFs which are being included in the Cash Margin calculation).
- c. Should Cash Margin fall below minimum required levels, investment staff shall enact a plan to restore Cash Margin above minimum required levels as quickly as reasonably possible, but within a period of time not to exceed six months. The plan to restore Cash Margin above minimum required levels should be communicated to the Executive Vice President for Finance and Operations and to the University's Investment Consultant.
- d. The results of modeled economic and market stress scenarios and compliance with Cash Margin and Alpha Portfolio liquidity requirements shall be reported to the Board on a quarterly basis.

140.017 Policy for Allowable Investments

Bd. Min 9-28-17; Amended Bd. Min. 6-29-23.

A. Introduction – This policy establishes general guidelines for asset classes and associated implementation matters for the following investment pools:

140.012 General Pool [Section D(3) "*Strategic Portfolio*"]

140.013 Endowment Pool

140.015 Retirement, Disability and Death Benefit Plan

B. Responsibilities and Authorities – See CRR 140.010 "*Policy for Management and Oversight of Selected University Investment Pools.*"

C. Asset Class Guidelines – The following asset class descriptions and guidelines may be applicable to investment pools noted above, as specified by targets and ranges within each individual policy. The intent of this section is to provide descriptions and general implementation guidelines for each of the following asset classes:

1. Public Equity

The equity risk factor drives the returns of this class. Currency risk may also be present when investing in non-U.S. securities.

Investments in this asset class may include U.S. and non-U.S. equity investments, including both long and long/short strategies with varying characteristics related to market capitalization, style and sector.

Exposure will be obtained through physical securities and/or conventional derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, forward contracts and reverse repurchase agreements. Public Equity 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.

2. Private Equity

These investments are primarily driven by the equity and liquidity risk factors yet, because of their diverse nature, some of these investments may include currency risk and other idiosyncratic risks.

Investments in this asset class may include U.S. and non-U.S. private equity strategies including, but not limited to, buyout, venture, and special situations.

Legal account structures will primarily be in the form of limited partnership agreements or other similar forms with average tenure of 10-12 years.

3. Sovereign Bonds

Interest rates are the primary risk factor driving the returns of this sub-class of securities. Currency risk may also be present when investing in non-U.S. Government Securities.

Investments in this asset class may include U.S. and non-U.S. bonds that have been issued, collateralized or guaranteed: (i) by the U.S. Government, its agencies, or its instrumentalities (collectively known as U.S. Government Securities) or (ii) by investment grade non-U.S. sovereign governments, their agencies or their instrumentalities (collectively known as non-U.S. Government Securities).

Exposure will be obtained through physical securities and/or conventional derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, forward contracts and reverse repurchase agreements. Sovereign Bond 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.

4. Inflation-Linked Bonds

Interest rates and inflation are the primary risk factors driving the returns of this sub-class of securities. Currency risk may also be present when investing in non-U.S. Government Securities.

Investments in this asset class may include U.S. and non-U.S. bonds that have been issued, collateralized or guaranteed: (i) by the U.S. Government, its agencies, or its instrumentalities (collectively known as U.S. Government Securities) or (ii) by investment grade non-U.S. sovereign governments, their Agencies or their instrumentalities (collectively known as non-U.S. Government Securities).

Exposure will be obtained through physical securities and/or conventional derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, forward contracts and reverse repurchase agreements. Inflation-Linked Bond 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.

5. Opportunistic

It is expected that this category will be utilized when market dislocations present unique opportunities to invest at attractive valuations relative to underlying fundamentals across a variety of risk factors and implementations.

No policy target shall be assigned to this category; any capital allocated to this category will be funded from underweight positions relative to policy targets in other asset classes, with the expectation that such opportunistic investments should outperform and/or strengthen the overall diversification of the total portfolio over a

given timeframe. Investments in this category should be shorter-term in nature, with final maturities not to exceed seven years.

Exposures may be obtained through public and private securities in various forms and implementations 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. Implementations may hold a mix of long/short positions.

Legal account structures will be in the form of separately managed accounts, institutional commingled funds, limited partnership agreements or other similar forms.

6. Private Debt

Credit spreads and liquidity risk will be the primary drivers of returns, while interest rate and equity risk may also be present from time to time. Currency risk may also be present when investing in non-U.S. securities, as well as other idiosyncratic risks.

Specific types of strategies include, but are not limited to, opportunistic debt, distressed debt, distressed for control, whole loans and pools, levered loans and pools, and mortgage servicing rights.

Legal account structures will primarily be in the form of limited partnership or limited liability company agreements with average tenure of 5-12 years.

7. Commodities

This asset class is driven by changes in expectations for inflation and the supply of and demand for raw materials.

Investments in the asset class are likely to be made through derivative instruments commonly accepted by other institutional investors such as futures, swaps, options, and forward contracts. From time to time, physical securities of raw material companies and/or companies that produce raw materials may be held.

Implementations may hold a mix of long/short positions. Commodity 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.

8. Risk Balanced

This asset class is driven by multiple traditional risk factors including equities, interest rates, commodities, credit spreads and inflation. In most instances, some or all of these factors are balanced in a way that attempts to equalize risk exposures within a portfolio. Additionally, non-traditional risk factors including value, momentum, carry, defensive and trend may be included. It is also expected that idiosyncratic (active) risk will be taken in this portfolio from time to time.

Exposure will be obtained through physical securities and/or conventional derivative instruments commonly accepted by other institutional investors such as, futures, swaps, options, forward contracts and reverse repurchase agreements.

Legal account structures will primarily be in the form of separately managed accounts, institutional commingled funds and limited partnership agreements.

9. Real Estate/Infrastructure

These investments may be driven by multiple risk factors depending on how they are positioned in the capital structure. Equity, credit, inflation and liquidity will generally be the primary risk factors. Non-U.S. investments may also possess currency risk.

Specific types of fund investments may be structured as equity and/or debt and include categories broadly defined as core, value added, and opportunistic. In addition, investments may be made in real estate investment trusts and master limited partnerships from time to time.

Legal account structures will primarily be in the form of limited partnership agreements with average tenure of 10-12 years. Separately managed accounts and institutional commingled funds may also be utilized from time to time.

D. Portable Alpha Program – when any combination of market beta exposures 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 total portfolio overall.

1. Definitions

- a. **Market Beta Exposure** – obtained through owning some broad representation of a given market, usually tracked by a benchmark or index. Within Retirement, Endowment and General Pool, examples of market beta exposures include public equities, sovereign bonds, inflation-linked bonds, commodities, and other public debt markets. Common ways to obtain market beta exposures include passive or actively managed mutual funds, ETFs or separate accounts holding individual investment securities.
- b. **Derivative Instruments** – market beta exposures may also be obtained with derivative instruments commonly used by other institutional investors, such as futures, swaps, options, forward contracts and reverse repurchase agreements.
- c. **Notional Exposure** – when derivative instruments are used to obtain market beta exposures, the market exposure obtained is not directly connected to the amount of cash required to obtain such market exposure. For example, obtaining a \$100 million exposure to the S&P 500 using futures could be done with an initial cash outlay of less than \$5 million. In the context of this Portable Alpha Program, \$100 million of notional exposure would be initially funded with \$100 million in cash. The key takeaway is that with a derivatives implementation of market beta exposures, part of the cash underlying the notional exposure is available to fund other types of investment exposures, such as alpha.

- d. **Alpha Portfolio** - Alpha represents investing skill that generates returns alongside, or independent of, a given market beta exposure. For purposes of the Portable Alpha Program, the Alpha Portfolio represents a collection of highly skilled alpha managers able to source alpha independent from a market beta exposure. Alpha managers utilized within the Alpha Portfolio should be well established and highly institutionalized, have satisfactory liquidity terms, maintain robust risk management systems, and have a demonstrated ability to deliver return streams with generally low volatility and very low correlations (no discernable relationship) to the market beta exposures used to fund the Portable Alpha Program. Common alpha strategies likely contain well-known, empirically tested sources of returns that can be actively or systematically harvested through both long and short implementations including, but not limited to:

- 1) hedge fund risk premia such as arbitrage, macro, credit, and equity long/short;
- 2) style risk premia such as value, momentum, carry, defensive and low volatility;
- 3) other idiosyncratic sources of return.

Legal account structures will be in the form of separate accounts, institutional commingled funds, limited partnerships or other similar forms. The overall mix of investment vehicles and fund structures should allow for at least 20% of the Alpha Portfolio to be redeemed for cash within 90 days, with a minimum of 50% available for cash redemption within six months.

2. Understanding Liquidity Needs / Cash Margin

The primary need for liquidity within the Portable Alpha program is the settlement of gains and losses from the mix of market beta exposures implemented through derivatives, which are used to fund the program. To help illustrate this concept: Assume a \$70 million Alpha Portfolio funded by \$100 million in US Treasuries (a market beta exposure). Derivatives would be used to obtain \$100 million notional in US Treasuries market beta exposure. Of the \$100 million in underlying cash, \$70 million is used to fund the Alpha Portfolio with the remaining \$30 million held in cash ("Cash Margin"). The Cash Margin is needed to settle gains or losses on the derivatives used to obtain the \$100 million notional US Treasuries market beta exposure.

As a simplistic example, if US Treasuries gained 10% over a given period, Cash Margin would increase by \$10 million (\$100 million notional x 10% gain). But if US Treasuries lost 10% over a given period, Cash Margin would decrease by \$10 million (\$100 million notional x 10% loss). Overall, Cash Margin should be sufficient to cover potential losses in the market beta exposures implemented through derivatives and used to fund the Alpha Portfolio. More specifically, liquidity needs are driven by the market beta exposures funding the Portable Alpha Program, not the Alpha Portfolio itself.

3. Sources of Cash Margin

The following are sources of Cash Margin for the Portable Alpha Program:

- a. Cash balances underlying the market beta exposures obtained through derivatives implementation (for example, the \$30 million in the illustration noted in the section above).
- b. Any unencumbered cash balances held at the total portfolio level, which have been specifically dedicated to the Portable Alpha Program.

- c. Any balances of passive market beta exposures held in ETFs or mutual funds which could be settled (cash received) within three business days. For sake of clarity, assume that the Alpha Portfolio was funded by notional US Treasury exposure. Further, assume that the portfolio had additional US Treasury market beta exposure through an index mutual fund, which could be traded with cash settlement within three business days. Under this provision, using this example, the amount invested in the US Treasury index mutual fund could be counted fully or partially as available Cash Margin. From a practical perspective, these passive mutual fund or ETF holdings could be quickly converted to notional derivative exposures (without changing the portfolio's overall market beta exposure), making the underlying cash available for the Portable Alpha Program. Having the flexibility to manage market beta exposures in this way can reduce the financing costs associated with derivative notional implementations while maintaining ready access to cash (liquidity).
- d. Cash redemptions from Alpha Portfolio managers.

4. Measuring / Testing Liquidity Needs

With the Portable Alpha Program being funded by a derivatives implementation of some mix of market beta exposures, the measurement and testing of liquidity needs involves assessing how the given mix of these asset classes performs across a representative sample of historical economic and market stress scenarios. In managing liquidity needs, the objective is for the Cash Margin to "survive" these modeled scenarios with some minimum level of Cash Margin remaining after the stressed scenario has occurred. For purposes of this policy, Cash Margin sufficiency shall be determined by taking an average of the five worst modeled scenarios as defined as those scenarios having the greatest depletion of Cash Margin. To be clear, assuming the five worst modeled scenarios consumed 5%, 6%, 8%, 10% and 16% of Cash Margin, the average of these five would be Cash Margin depletion of 9%. The minimum Cash Margin requirement would be 9% plus some additional safety buffer, which would be defined individually in the investment policies for the Retirement, Endowment and General Pool portfolios.

5. Managing Liquidity Needs

There are generally six primary ways to manage Cash Margin and liquidity needs during times of market stress. Any of these, or some combination, may be used depending upon the circumstance.

- a. Utilize existing cash balances underlying the market beta exposures obtained through derivatives implementation.
- b. Utilize unencumbered cash balances held at the total portfolio level, if any, which have been specifically dedicated to the Portable Alpha Program.
- c. Convert passive market beta exposures held in ETFs or mutual funds to market beta exposures obtained through derivatives implementation to generate additional cash. As an example, \$50 million in US Treasury index exposure held in a mutual fund could be redeemed and replaced with a derivatives implementation providing the same market beta exposure while making the \$50 million of underlying cash available to the Portable Alpha Program.

- d. If possible, rebalance the mix of market beta exposures funding the Portable Alpha Program from more volatile asset classes to less volatile asset classes. For example, in a period of equity market drawdown, shifting some mix of Alpha Portfolio funding from public equities to sovereign bonds would lower the volatility of the funding mix, reducing the drawdown exposure and resulting demands on the Cash Margin.
- e. Selective redemption requests to Alpha Portfolio managers will generate additional Cash Margin.
- f. Reducing or eliminating notional market beta exposures obtained through derivative instruments will immediately stop further draws on remaining Cash Margin. For example, if the Portable Alpha Program were funded primarily by public equity notional exposure during a period of equity market drawdown, consideration could be given to eliminating the derivatives equity position through cancellation of the swap, liquidating the futures, etc. Careful consideration should be given to this option as it also eliminates strategic market beta exposure for the portfolio overall; still, this de-risking option may be desirable in times of significant market stress.

6. Operational Requirements

- a. Minimum required Cash Margin balances for each portfolio shall be determined, maintained, and monitored on a daily basis by investment staff.
- b. Modeling of historical economic and market stress scenarios shall be updated by investment staff on a monthly basis utilizing the then current mix of market exposures funding the Portable Alpha Program (which should also include any passive market beta exposures implemented through mutual funds or ETFs which are being included in the Cash Margin calculation).
- c. Should Cash Margin fall below minimum required levels, investment staff shall enact a plan to restore Cash Margin above minimum required levels as quickly as reasonably possible, but within a period of time not to exceed six months. The plan to restore Cash Margin above minimum required levels should be communicated to the Executive Vice President for Finance and Operations and to the University's Investment Consultant.
- d. The results of modeled economic and market stress scenarios and compliance with Cash Margin and Alpha Portfolio liquidity requirements shall be reported to the Board on a quarterly basis.

GOVERNANCE, COMPENSATION AND HUMAN RESOURCES COMMITTEE

Keith A. Holloway, Chair

Robert D. Blitz

Julia G. Brncic

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. overseeing, or determining with the Board Chair and President, the timing and process of periodic Board self-assessment;
4. establishing expectations and monitoring compliance of individual Board members;
5. ensuring that the Board adheres to its rules of conduct, including conflict-of-interest and disclosure policies, and that it otherwise maintains the highest levels of integrity in everything it does;
6. periodically reviewing the adequacy of the Board's bylaws and other Collected Rules and Regulations adopted by the Board that pertain to its internal operations (all recommendations for bylaws amendment shall first be considered by this Committee);
7. identifying best practices in institutional and Board governance;
8. monitoring and assessing external influences and relationships with affiliated entities;
9. assessing areas of expertise needed in future Board members; and
10. those additional matters customarily addressed by the governance committee of a governing board for an institution of higher education.

III. Compensation and Human Resources

1. **Scope**

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

2. **Executive Liaison**

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

3. **Responsibilities**

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

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

Pursuant to Section 270.060 of the Collected Rules and Regulations, contracts for Directors of Intercollegiate Athletics and Head Coaches may not exceed five (5) years and shall not include buyout clauses calling for the individual to receive more than the balance of the annual base salary the individual would have earned under the remaining terms of the contract, unless approved by the UM Board of Curators upon the recommendation of the President.
4. Benefit, retirement and post retirement plans, including an annual benefits report, as further defined in Section 520.010, Benefit Programs, of the Collected Rules and Regulations.
5. Additional employee benefits including the Education Assistance Program for University Employees, CRR 230.070, and Layoff and Transition Assistance, CRR 350.051.
6. Labor Union Recognition and matters as further defined in Section 350.020, Labor Union Recognition, of the Collected Rules and Regulations.
7. Employment related policies including those related to employee absences, conduct and grievances.

8. Provide oversight over the University of Missouri System's diversity, equity and inclusion programs.
9. Additional matters customarily addressed by the compensation and human resources committee of a governing board for an institution of higher education.

Executive Summary

CRR 110.010, REGULATIONS

CRR 110.020, SERVICE AND USE FEES

CRR 110.010, Regulations, contains a number of regulations relating to use of University facilities. It is proposed that this rule be amended in three ways to promote clarity with other University rules and policies related to use of University facilities, including CRR 110.020, Service and Use Fees.

1. **Campus Free Expression Act.** In 2015, Missouri enacted the Campus Free Expression Act, which provides that the outdoor areas of campuses of public institutions of higher education shall be deemed “traditional public fora” for noncommercial expressive activity. In response to the CFEA, each UM System university adopted a policy regarding noncommercial expressive activity on the outdoor areas of its campus. It is proposed that CRR 110.010 be amended to recognize that the UM System’s Chancellors have been delegated authority for the management of each university’s campus and are responsible for adopting and maintaining policies in accordance with the CFEA.
2. **Marijuana On Campus.** In 2022, Amendment 3 to the Missouri Constitution legalized the possession, use, and distribution of marijuana for personal use by adults over the age of 21. In 2018, Amendment 2 to the Missouri Constitution legalized the use of marijuana for qualifying Missouri patients. Despite the legalization of personal and medical use of marijuana in Missouri, it remains a violation of federal law to possess, use, or distribute marijuana. The University is also subject to compliance with the Drug Free Schools and Communities Act and the Drug-Free Workplace Act, which prohibit universities receiving federal funding from allowing possession, use, or distribution of marijuana and other controlled substances on their property or as part of their activities. The University has existing rules and policies prohibiting possession, use, or distribution of controlled substances, and it is proposed to amend the University’s facilities use regulation to clarify that possession, use, and distribution of marijuana and other controlled substances remain prohibited for students, employees, and members of the general public on University-owned or -controlled property and at University sponsored or -supervised activities.
3. **Service & Use Fees.** Currently, CRR 110.010 both CRR 110.020 contain regulations relating to service and use fees for University facilities. To promote clarity, it is proposed to remove duplicative regulations relating to service and use fees from CRR 110.010 and replace them with a reference to CRR 110.020.

No. 1

Recommended Action - Amendments to CRR. 110.010, Regulations; CRR 110.020
Service and Use Fees

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

Collected Rules and Regulation 110.010 Regulations and 110.020 Service and
Use Fees be amended as indicated in the attached documents:

Roll call vote of the Committee: YES NO

Curator Blitz
Curator Brncic
Curator Holloway
Curator Wenneker

The motion _____.

Roll call vote of the Board: YES NO

Curator Blitz
Curator Brncic
Curator Fry
Curator Graves
Curator Holloway
Curator Layman
Curator Siquefield
Curator Wenneker
Curator Williams

The motion _____.

110.010 Regulations

Bd. Regs. Book dated 12-10-49, pp. 70-76; Bd. Min. 7-22-65, p. 30,624; Bd. Min. 9-26-69, p. 34,751; Bd. Min. 5-18-73, p. 36,693; Amended Bd. Min. 11-19-82; Revised Bd. Min. 9-16-88; Amended 11-18-21; Amended 12-10-21.

- A. **Facilities and Equipment** -- Unless otherwise specifically ordered by the Board, the President of the University may assign or reassign sites of the University for use by the University or any campus thereof. The use of sites assigned to the University shall be under the direction and control of the President. Sites assigned to a campus of the University shall be subject to the following regulations on use of facilities. Sites assigned to the University shall be subject to such regulations except that assignments or waivers provided for in such regulations shall be made by the President.
- B. **General Regulations**
 1. ~~Written Permission of the Chancellor~~Intended Purpose -- University buildings and grounds are intended for use by students, faculty and staff in support of the University's mission of research, instruction and extension. ~~University buildings and grounds may not be used by individuals, groups or organizations not connected with the University except by written permission of the Chancellor and then, only in accordance with University rules and regulations. Where regulations require direction of the Chancellor, said regulations may be administered by Chancellors's designee(s).~~
 2. ~~Permits~~Direction of the Chancellor -- ~~Written permits for the temporary use of University grounds, buildings or rooms therein for any purpose other than regularly scheduled classroom work must be secured in advance from the Chancellor. The Chancellors of the UM System are delegated authority for the management of the buildings and grounds of each campus. Where regulations require direction of the Chancellor, said regulations may be administered by Chancellor's designee(s).~~
 3. **Religious Services or Groups** -- No advantage shall be given to any religion or religious group.
 4. **Requirements** -- All classes, meetings or assemblages and use by individuals of any sort held in University buildings or on University grounds are subject to applicable U.S. and Missouri laws and University requirements, rules and regulations. In addition, it is expected that proper care will be taken of the facility and that simple rules of courtesy, decency and good manners will be observed at all times. Any failure to abide by these requirements may cause the permission for the use of the facility to be withdrawn at any time, or for future permission for use of any University facilities to be denied.
 - a. The open possession of and discharge of firearms, weapons and explosives on University property including University farms is prohibited except in regularly approved programs or by University agents or employees in the line of duty. This rule shall not be construed as consent to the possession of concealed firearms, weapons, or explosives on University property.

b. The possession, use, or distribution of controlled substances under state or federal law is prohibited on University property and at University-sponsored or University-supervised activities. The possession, use, or distribution of alcoholic beverages is prohibited on University property and at University-sponsored or University-supervised activities except as approved in accordance with Section 110.050 of these Collected Rules and Regulations.

~~b-c.~~ No University building, or part thereof, or grounds may be occupied as living rooms or bedroom except those duly set aside for such purposes.

~~e-d.~~ The University reserves the right to set reasonable time, place and manner restrictions on all meetings, gatherings or get-togethers to assure that the most beneficial use of the buildings and grounds of the University is made and that there is no interference with the right of students to obtain an education.

e. The use of University facilities should not imply an endorsement of any individual, group or organization and the name of the University shall not be identified in any way with the aims, policies, programs, products, or opinions of any individual, groups or organizations which may meet in University buildings or on University grounds in accordance with these regulations.

4.5. Violations – Violations of the law or University policies and regulations may result in removal from campus. Students, faculty and staff may be subject to discipline in accordance with University policy. Non-affiliated individuals may be issued a no-trespass notice restricting access to University property when their actions are determined to constitute a threat to persons or property or a substantial disruption to the functioning of the institution.

C. Use for Classrooms, Laboratories and Office Space

1. Assignment of space in University buildings for continuing use by division, departments or other units for use as research laboratories, offices or other specific purposes will be made by the Chancellor.
2. Assignment of classrooms and laboratories for scheduled classes and examinations will be made on a semester-by-semester basis by the Chancellor.
3. Members of the University faculty, staff or students who are assigned office space in a building on the campus, and who have been authorized to have a building exterior key, shall be authorized to use such assigned office space whenever their work may require such use.

D. Use by Recognized Student Groups

1. In addition to the general rules and procedures, the following rules apply to use of University facilities by student groups and individuals.
2. University buildings and grounds may be utilized and open to the public for appropriate activities and programs sponsored by an officially recognized student organization, provided that such programs are in accordance with the rules and regulations established by the Board of Curators for such events, and further, that the organization file a written request for approval of the activity or program at least ten days prior to the event. The Chancellor is authorized to make an exception to the ten day rule in special circumstances.

3. University buildings or grounds may not be used by student organizations or enterprises which declare a dividend among its members or from which members derive financial profit; but such student organizations or enterprises may use facilities under the same conditions as nonstudent groups.
4. It is recognized that from time to time ad hoc groups or students may wish to use University facilities for purposes of meetings for social events. Such groups may do so only by written permission of the Chancellor.

E. Use by Non-Student Individuals and Groups

1. In addition to the general rules and procedures specified above, the following rules apply to use of University facilities by non-student individuals and non-student groups; but this section of the regulations does not apply to official University public functions.
2. Persons who are not students or employees of the University, while on University property, are required to abide by University policies and regulations.
- ~~3. Persons who are not current students or employees of the University and who are on University property without specific permission or authorization or without an appropriate purpose may be deemed guilty of trespass. A person shall be deemed to be on University property "without specific permission or authorization" from and after such time as they are requested to leave the property. A person shall be deemed to be on University property "without an appropriate purpose" whenever their presence is not reasonably related to the University's educational function, or an approved University related extracurricular activity.~~
- ~~4.3.~~ Use of available University facilities may be granted to nonstudent groups for meetings, programs and activities:
 - a. When the meeting, program and activity is sponsored by or the group is invited by an instructional or administrative division or department as a part of its educational program with the approval of the dean or the appropriate administrative officer of that division or department.
 - b. When sponsored by a learned, educational, professional, or scientific society for organizational or educational purposes when recommended by a dean or other appropriate administrative officer.
 - c. Other nonaffiliated and nonsponsored groups may make use of the facilities of the University upon written approval of the Chancellor.
- ~~5. Affiliated groups, as specified above in Section 110.010 E.4.a and E.4.b may be charged an approved fee.~~
- ~~6. Nonaffiliated, nonsponsored groups, as specified above in Section 110.010 E.4.e will be charged a fee approved by the Chancellor.~~
- ~~7.4.~~ The Chancellor is authorized to establish specific procedures for scheduling and use of University facilities for all meetings of non-student groups to implement these regulations.

F. Noncommercial Expressive Activity

1. The Chancellor (or designee) may maintain and enforce reasonable time, place, and manner restrictions for noncommercial expressive activities on outdoor areas of any campus of the University, provided that such restrictions shall:
 - a. Be in service of significant institutional interests;
 - b. Employ clear, published, content- and viewpoint-neutral criteria; and

c. Provide for alternative means of expression.

2. Subject to such reasonable time, place, and manner restrictions, noncommercial expressive activity shall be permitted on outdoor areas of any campus of the University as long as such activity is not unlawful and does not materially and substantially disrupt the functioning of the institution.

F.G. **Sales, Solicitation, Collections and Advertising in University Buildings or on University Grounds**

1. The sale of anything, the soliciting of subscriptions or the collection of dues is prohibited in the University buildings and upon University grounds without prior authorization of the Chancellor.
2. Recognized student organizations may not solicit subscriptions or collect dues from prospective students or guests of the University when such guests are in University buildings or on University grounds.

G.H. **Cleaning and Decorations**

1. **Cleaning** -- All debris must be removed from buildings and premises immediately following an event by the organization concerned. In case extraordinary cleaning is necessary by the University, the cost of such work shall be paid by the organization creating such a necessity. Any damage to a building or a loss of University owned material or equipment resulting from the use of a building by any organization shall likewise be charged to the responsible organization.
2. **Approval** -- No decorations shall be permitted in or on University buildings or grounds except as approved by the Business Officer.
- ~~3. **Fees** -- With the approval of the Chancellor, the Business Officer may establish an appropriate fee for use of University buildings by groups.~~
- ~~4.3.~~ Any rules and regulations not in conformity herewith are hereby repealed.

H.I. **University Equipment**

1. **Use of Equipment** -- The use of University equipment by individuals or organizations for activities not directly connected with the University of Missouri shall be prohibited and no loan of University equipment shall be made to any individual or organization except where reciprocal use of property is involved such as the exchange of chairs between the University of Missouri and Stephens College.
2. **Equipment to Remain on Property** -- No University equipment may be taken from University property except where such equipment is to be used in the line of official duty.

J. Fees

- ~~2.1.~~ The Chancellor (or designee) may impose service, use, cleaning, or other fees according to Section 110.020 of these Collected Rules and Regulations.

110.010 Regulations

Bd. Regs. Book dated 12-10-49, pp. 70-76; Bd. Min. 7-22-65, p. 30,624; Bd. Min. 9-26-69, p. 34,751; Bd. Min. 5-18-73, p. 36,693; Amended Bd. Min. 11-19-82; Revised Bd. Min. 9-16-88; Amended 11-18-21; Amended 12-10-21; Amended 6-29-23.

- A. **Facilities and Equipment** -- Unless otherwise specifically ordered by the Board, the President of the University may assign or reassign sites of the University for use by the University or any campus thereof. The use of sites assigned to the University shall be under the direction and control of the President. Sites assigned to a campus of the University shall be subject to the following regulations on use of facilities. Sites assigned to the University shall be subject to such regulations except that assignments or waivers provided for in such regulations shall be made by the President.
- B. **General Regulations**
 - 1. **Intended Purpose** -- University buildings and grounds are intended for use by students, faculty and staff in support of the University's mission of research, instruction and extension.
 - 2. **Direction of the Chancellor** -- The Chancellors of the UM System are delegated authority for the management of the buildings and grounds of each campus. Where regulations require direction of the Chancellor, said regulations may be administered by Chancellor's designee(s).
 - 3. **Religious Services or Groups** -- No advantage shall be given to any religion or religious group.
 - 4. **Requirements** -- All classes, meetings or assemblages and use by individuals of any sort held in University buildings or on University grounds are subject to applicable U.S. and Missouri laws and University requirements, rules and regulations. In addition, it is expected that proper care will be taken of the facility and that simple rules of courtesy, decency and good manners will be observed at all times. Any failure to abide by these requirements may cause the permission for the use of the facility to be withdrawn at any time, or for future permission for use of any University facilities to be denied.
 - a. The open possession of and discharge of firearms, weapons and explosives on University property including University farms is prohibited except in regularly approved programs or by University agents or employees in the line of duty. This rule shall not be construed as consent to the possession of concealed firearms, weapons, or explosives on University property.
 - b. The possession, use, or distribution of controlled substances under state or federal law is prohibited on University property and at University-sponsored or University-supervised activities. The possession, use, or distribution of alcoholic beverages is prohibited on University property and at University-sponsored or University-supervised activities except as approved in accordance with Section 110.050 of these Collected Rules and Regulations.
 - c. No University building, or part thereof, or grounds may be occupied as living rooms or bedroom except those duly set aside for such purposes.

- d. The University reserves the right to set reasonable time, place and manner restrictions on all meetings, gatherings or get-togethers to assure that the most beneficial use of the buildings and grounds of the University is made and that there is no interference with the right of students to obtain an education.
 - e. The use of University facilities should not imply an endorsement of any individual, group or organization and the name of the University shall not be identified in any way with the aims, policies, programs, products, or opinions of any individual, groups or organizations which may meet in University buildings or on University grounds in accordance with these regulations.
5. **Violations** -- Violations of the law or University policies and regulations may result in removal from campus. Students, faculty and staff may be subject to discipline in accordance with University policy. Non-affiliated individuals may be issued a no-trespass notice restricting access to University property when their actions are determined to constitute a threat to persons or property or a substantial disruption to the functioning of the institution.

C. Use for Classrooms, Laboratories and Office Space

- 1. Assignment of space in University buildings for continuing use by division, departments or other units for use as research laboratories, offices or other specific purposes will be made by the Chancellor.
- 2. Assignment of classrooms and laboratories for scheduled classes and examinations will be made on a semester-by-semester basis by the Chancellor.
- 3. Members of the University faculty, staff or students who are assigned office space in a building on the campus, and who have been authorized to have a building exterior key, shall be authorized to use such assigned office space whenever their work may require such use.

D. Use by Recognized Student Groups

- 1. In addition to the general rules and procedures, the following rules apply to use of University facilities by student groups and individuals.
- 2. University buildings and grounds may be utilized and open to the public for appropriate activities and programs sponsored by an officially recognized student organization, provided that such programs are in accordance with the rules and regulations established by the Board of Curators for such events, and further, that the organization file a written request for approval of the activity or program at least ten days prior to the event. The Chancellor is authorized to make an exception to the ten day rule in special circumstances.
- 3. University buildings or grounds may not be used by student organizations or enterprises which declare a dividend among its members or from which members derive financial profit; but such student organizations or enterprises may use facilities under the same conditions as nonstudent groups.
- 4. It is recognized that from time to time ad hoc groups or students may wish to use University facilities for purposes of meetings for social events. Such groups may do so only by written permission of the Chancellor.

E. Use by Non-Student Individuals and Groups

1. In addition to the general rules and procedures specified above, the following rules apply to use of University facilities by non-student individuals and non-student groups; but this section of the regulations does not apply to official University public functions.
2. Persons who are not students or employees of the University, while on University property, are required to abide by University policies and regulations.
3. Use of available University facilities may be granted to nonstudent groups for meetings, programs and activities:
 - a. When the meeting, program and activity is sponsored by or the group is invited by an instructional or administrative division or department as a part of its educational program with the approval of the dean or the appropriate administrative officer of that division or department.
 - b. When sponsored by a learned, educational, professional, or scientific society for organizational or educational purposes when recommended by a dean or other appropriate administrative officer.
 - c. Other nonaffiliated and nonsponsored groups may make use of the facilities of the University upon written approval of the Chancellor.
4. The Chancellor is authorized to establish specific procedures for scheduling and use of University facilities for all meetings of non-student groups to implement these regulations.

F. Noncommercial Expressive Activity

1. The Chancellor (or designee) may maintain and enforce reasonable time, place, and manner restrictions for noncommercial expressive activities on outdoor areas of any campus of the University, provided that such restrictions shall:
 - a. Be in service of significant institutional interests;
 - b. Employ clear, published, content- and viewpoint-neutral criteria; and
 - c. Provide for alternative means of expression.
2. Subject to such reasonable time, place, and manner restrictions, noncommercial expressive activity shall be permitted on outdoor areas of any campus of the University as long as such activity is not unlawful and does not materially and substantially disrupt the functioning of the institution.

G. Sales, Solicitation, Collections and Advertising in University Buildings or on University Grounds

1. The sale of anything, the soliciting of subscriptions or the collection of dues is prohibited in the University buildings and upon University grounds without prior authorization of the Chancellor.
2. Recognized student organizations may not solicit subscriptions or collect dues from prospective students or guests of the University when such guests are in University buildings or on University grounds.

H. Cleaning and Decorations

1. **Cleaning** -- All debris must be removed from buildings and premises immediately following an event by the organization concerned. In case extraordinary cleaning is necessary by the University, the cost of such work shall be paid by the organization creating such a necessity. Any damage to a building or a loss of University owned material or equipment resulting from the use of a

building by any organization shall likewise be charged to the responsible organization.

2. **Approval** -- No decorations shall be permitted in or on University buildings or grounds except as approved by the Business Officer.
3. Any rules and regulations not in conformity herewith are hereby repealed.

I. University Equipment

1. **Use of Equipment** -- The use of University equipment by individuals or organizations for activities not directly connected with the University of Missouri shall be prohibited and no loan of University equipment shall be made to any individual or organization except where reciprocal use of property is involved such as the exchange of chairs between the University of Missouri and Stephens College.
2. **Equipment to Remain on Property** -- No University equipment may be taken from University property except where such equipment is to be used in the line of official duty.

- J. **Fees** -- The Chancellor (or designee) may impose service, use, cleaning, or other fees according to Section 110.020 of these Collected Rules and Regulations.

110.020 Service and Use Fees

Executive Order No. 8, 10-1-70, Amended 12-23-70; Bd. Min. 11-21-80; Revised 10-1-98.

In accordance with the provisions of the Board of Curators Regulations, Section 110.0120 F, the following Fees and Rules for applications thereof are hereby ~~authorized~~established.

A. Service Fee

1. A service fee may be established by any Chancellor or designee for all facilities, including both buildings and grounds, -used or owned by the University for short courses, non-credit courses, conferences, seminars, symposia, colloquia, meetings, institutes, and activities similar in nature to these specified activities.
2. ~~The computation of such service fee shall be made by the Extension Division.~~

B. Use Fee

1. A use fee ~~may beis hereby~~ established by any Chancellor or designee for all ~~designated~~ facilities used or owned by the University, including both buildings and grounds, for those functions or activities for which such use fee is to be charged under this order.

~~2. Such use fee shall be established for the following buildings:~~

~~a. Columbia:~~

- ~~• Multipurpose Auditorium~~
- ~~• Livestock Center~~
- ~~• Memorial Union (when school is not in session)~~
- ~~• Brady Commons (when school is not in session)~~
- ~~• Memorial Stadium and Faurot Field~~

~~b. Kansas City:~~

- ~~• Pierson Hall~~

~~c. Rolla:~~

- ~~• Multipurpose Building~~
- ~~• University Center (when school is not in session)~~

~~d. St. Louis:~~

- ~~• Multipurpose Building~~
- ~~• J. C. Penney Building~~
- ~~• Student Center (when school is not in session)~~

~~3.2. Additional facilities on each campus may be designated when school is not in session upon the payment of the regularly~~

~~established use fee and upon recommendation of the Chancellor and approval of the President.~~

~~4.3.~~ Such use fee, when otherwise applicable under University regulations, may be waived or modified only by the ~~President upon recommendation of the~~ Chancellor or designee.

~~5.4.~~ Such use fee shall be collected by the Vice Chancellor for Finance and Administration~~Business Officer~~ or his or her representative.

~~6.5.~~ A written contract approved by the General Counsel shall be required for any facility requiring a use fee.

~~6.~~ Schedules of use fees shall be maintained and published ~~prepared by the Vice Chancellor for Finance and Administration or his or her representative.~~

~~7.~~ ~~Business Officer of each campus subject to approval by the Assistant Vice President for Management Services.~~

C. Application of Fees -- Who Shall Pay

1. No Fee Shall be Charged

a. For use of regularly assigned ~~facilities~~space in University buildings for the use by students faculty and staff for which the assignment is made under Section 110.010 B.1, B.2, ~~and B.3,~~ or C.

b. For duly recognized student organizations for normal activities. However,

-

~~(1) If~~ if the activity involves the charging of admission, the sale of anything, the solicitation of subscriptions or the collection of dues, or donations, or if the organization is engaged in any for-profit purpose or may declare a dividend; such activity requires the prior authorization of the ~~Business Officer or~~ Chancellor or designee.

c. Ad hoc groups of students with written prior approval of the Chancellor or designee.

d. Any advisory committee or board of the University.

~~d.e.~~ For outdoor space used for noncommercial expressive activity under Section 110.010.F.

2. A Service Fee Shall Be Charged

a. For a non-student group sponsored by or invited by an instructional or administrative division or department as a part of its educational program *with approval* of the dean or appropriate administrative officer.

b. For nonstudent groups sponsored by a learned, educational, professional or scientific society for organizational or educational purposes when

recommended by a dean or other appropriate administrative officer.

- c. All off campus University affiliated, sponsored or invited activities, if such fee would apply were such activity held on campus.

3. A Use Fee Shall be Charged for ~~Designated~~ Facilities

- a. For nonaffiliated, nonsponsored groups approved ~~in accordance with Section 110.010 E.4.c. in writing by the Chancellor.~~

- b. For any group or organization, including student, faculty or non-academic employees of the University:

- (1) Which is not specifically exempted under Section 110.020 C.1 hereof, or

- (2) Which charges admission to the function involved, or

- (3) ~~If Which the activity involves sale of anything, the solicitation of subscriptions or the collection of dues, or donations, solicits donations at the function involved,~~ or

- (4) Which derives a financial profit, or

- (5) Which declares a dividend among its members.

- D. **Scheduling of ~~Facilities~~Space** -- ~~Facilities~~~~Required space~~ shall be scheduled in accordance with ~~regulations established under Section 110.010 established procedures on each campus.~~

- E. **Student** -- For the purpose of this rule, the definition of a student as defined by the Board of Curators shall be restricted to one who has paid the incidental fee established by the Board of Curators either on a full-time or part-time basis. Where an incidental fee has been established for a specific educational activity or program of study, persons enrolled shall be considered a student only for that activity or program.

- F. **Special Services, Equipment, Labor or Materials** -- Any request or requirement for special services, equipment, labor or materials, ~~or for extraordinary cleaning or to repair any damage~~ shall be furnished on a cost reimbursable basis in addition to any use fee or service fee.

~~G. This Rule Shall Become Effective as Follows:~~

- ~~1. Upon this date for applications for approval of use of facilities filed on or after this date.~~

- ~~2. Upon this date for use of facilities not yet committed without fee.~~

- ~~3. For those activities for which the University is committed on this date for use of facilities without charge, such fees shall be waived.~~

110.020 Service and Use Fees

Executive Order No. 8, 10-1-70, Amended 12-23-70; Bd. Min. 11-21-80; Revised 10-1-98; Revised Bd. Min. 6-29-23.

In accordance with the provisions of the Board of Curators Regulations, Section 110.010.J, the following Fees and Rules for applications thereof are hereby authorized.

- A. **Service Fee** -- A service fee may be established by any Chancellor or designee for all facilities, including both buildings and grounds, used or owned by the University for short courses, non-credit courses, conferences, seminars, symposia, colloquia, meetings, institutes, and activities similar in nature to these specified activities.
- B. **Use Fee**
 - 1. A use fee may be established by any Chancellor or designee for all facilities used or owned by the University, including both buildings and grounds, for those functions or activities for which such use fee is to be charged under this order.
 - 2. Such use fee, when otherwise applicable under University regulations, may be waived or modified only by the Chancellor or designee.
 - 3. Such use fee shall be collected by the Vice Chancellor for Finance and Administration or his or her representative.
 - 4. A written contract approved by the General Counsel shall be required for any facility requiring a use fee.
 - 5. Schedules of use fees shall be maintained and published by the Vice Chancellor for Finance and Administration or his or her representative.
- C. **Application of Fees -- Who Shall Pay**
 - 1. **No Fee Shall be Charged**
 - a. For use of regularly assigned facilities for the use by students, faculty and staff for which the assignment is made under Section 110.010 B.1, B.2, B.3, or C.
 - b. For duly recognized student organizations for normal activities. However, if the activity involves the charging of admission, the sale of anything, the solicitation of subscriptions or the collection of dues, or donations, or if the organization is engaged in any for-profit purpose or may declare a dividend; such activity requires the prior authorization of the Chancellor or designee.
 - c. Ad hoc groups of students with written prior approval of the Chancellor or designee.
 - d. Any advisory committee or board of the University.
 - e. For outdoor space used for noncommercial expressive activity under Section 110.010.F.
 - 2. **A Service Fee Shall Be Charged**
 - a. For a non-student group sponsored by or invited by an instructional or administrative division or department as a part of its educational program with approval of the dean or appropriate administrative officer.

- b. For nonstudent groups sponsored by a learned, educational, professional or scientific society for organizational or educational purposes when recommended by a dean or other appropriate administrative officer.
 - c. All off campus University affiliated, sponsored or invited activities, if such fee would apply were such activity held on campus.
- 3. **A Use Fee Shall be Charged for Facilities**
 - a. For nonaffiliated, nonsponsored groups approved in accordance with Section 110.010 E.4.c.
 - b. For any group or organization, including student, faculty or non-academic employees of the University:
 - (1) Which is not specifically exempted under Section 110.020 C.1 hereof, or
 - (2) Which charges admission to the function involved, or
 - (3) If the activity involves sale of anything, the solicitation of subscriptions or the collection of dues, or donations, , or
 - (4) Which derives a financial profit, or
 - (5) Which declares a dividend among its members.
- D. **Scheduling of Facilities** -- Facilities shall be scheduled in accordance with regulations established under Section 110.010.
- E. **Student** -- For the purpose of this rule, the definition of a student as defined by the Board of Curators shall be restricted to one who has paid the incidental fee established by the Board of Curators either on a full-time or part-time basis. Where an incidental fee has been established for a specific educational activity or program of study, persons enrolled shall be considered a student only for that activity or program.
- F. **Special Services, Equipment, Labor or Materials** -- Any request or requirement for special services, equipment, labor or materials, or for extraordinary cleaning or to repair any damage shall be furnished on a cost reimbursable basis in addition to any use fee or service fee.

No. 2

Recommended Action – Resolution for Executive Session of the Board of Curators Governance, Compensation and Human Resources Committee Meeting, June 29, 2023

It was moved by Curator _____ and seconded by Curator _____, that there shall be an executive session with a closed record and closed vote of the Board of Curators Governance, Compensation and Human Resources Committee meeting June 29, 2023 for consideration of:

- **Section 610.021(1), RSMo**, relating to matters identified in that provision, which include legal actions, causes of action or litigation, and confidential or privileged communications with counsel; and
- **Section 610.021(3), RSMo**, relating to matters identified in that provision, which include hiring, firing, disciplining, or promoting of particular employees; and
- **Section 610.021(12), RSMo**, relating to matters identified in that provision, which include sealed bids and related documents and sealed proposals and related documents or documents related to a negotiated contract; and
- **Section 610.021 (13), RSMo**, relating to matters identified in that provision, which include individually identifiable personnel records, performance ratings, or records pertaining to employees or applicants for employment; and
- **Section 610.021 (17), RSMo**, relating to matters identified in that provision, which include confidential or privileged communications between a public governmental body and its auditor.

Roll call vote of the Committee: YES NO

Curator Blitz
Curator Brncic
Curator Holloway
Curator Wenneker

The motion _____.

June 29, 2023

ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE

Jeff L. Layman, Chair
Robert D. Blitz
Todd P. Graves
Jeanne C. Sinquefield

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

**Amendments to
CRR 200.010 Standard of Conduct and
CRR 200.020 Rules of Procedures in Student or Student Organization Conduct
Matters**

Sections 200.010 and 200.020 of the University's Collected Rules and Regulations establish, respectively, the standards of conduct for students (and student organizations) and the procedures for enforcing those standards. They play an important role in establishing and enforcing expectations for student conduct so the University can preserve a thriving and vibrant educational environment.

University student affairs professionals initiated a thorough review of these rules. This is a timely effort for several reasons. It has been a number of years since the rules have undergone a systematic review and revision. Over time, student affairs staff have developed ideas on ways in which the rules might be improved, based on their own observations and on conversations with students and organization representatives (including the Office of General Counsel) who have participated in the process. Expectations regarding processes for holding students accountable have shifted over time. In addition, the University's rules on equity resolution process (such as CRR 600.040) have been adopted more recently, so they already reflect updated considerations on procedures. It makes sense to bring the general student conduct rules and procedures into alignment with the more recent equity rules where appropriate.

Student affairs staff from the four universities, working with assistance from the Office of the General Counsel, reviewed current practices; pooled experiences and stakeholder feedback; and identified areas for possible revisions. Based on these efforts, proposed revisions were developed and shared with multiple stakeholders for feedback, including students, faculty, and academic administrators.

The attached proposed revisions represent the product of those efforts. They are aimed at updating the rules; focusing on the educational objectives of the student conduct process; ensuring processes that are fair and transparent to the participants, and providing additional process for students and organizations beyond the due process already established under the existing rules. Noteworthy areas addressed in the proposed changes include:

CRR 200.010 Standard of Conduct

- Additional explanation of the rule's purpose and expectations
- Revised statement of jurisdiction and purpose for applying the Standard of Conduct

- Additional detail related to factors for determining when action may be taken against a student organization
- Various updating / modernizing / clarifying revisions
- Revisions to descriptions of particular types of prohibited conduct, such as:
 - Clarification and update to rules on academic dishonesty
 - Clarification regarding providing false information
 - Updated language regarding physical and communicated threats
 - New provisions regarding safety issues
 - New provisions regarding conduct that violates laws and material conduct standards in contracts
 - Clarification regarding application of federal law regarding controlled substances
 - Updated provision regarding substantial disruption
 - Update provisions related to hazing
 - Provisions on retaliation, false reporting, witness intimidation or harassment, and interference (increasing alignment with equity resolution process rules)
 - New provision on attempting or aiding prohibited conduct

CRR 200.020 Rules of Procedures in Student or Student Organization Conduct Matters

- Additional explanation of the rule's purpose and expectations
- Various updating / modernizing / clarifying revisions
- Clarifying process for temporary action to suspend or place conditions on students or student organizations
- More specific statements on general policies and rights (many of which codify practices already in place), such as:
 - Statement on burden of proof and presumption that student / organization is not responsible
 - Clarification of relationship between student conduct proceedings and other proceedings
 - General rights of students / organizations and confidentiality (increasing alignment with equity resolution process rules)
 - Provision on how a student's responsible action in an emergency (or failure to take responsible action) may affect conduct proceedings
 - Processing fee
- More specific statements on preliminary procedures, such as:
 - Role of the Primary Administrative Officer
 - Alternative resolutions in lieu of formal conduct procedures
 - Clarifying use of referrals to non-binding student courts for recommendations
 - Clarifying rights of students in investigations, consultations, etc.

- Statement on how departing the University will impact pending proceedings
- Clarifying process and timing of informal disposition
- More specific provisions on selection, training, impartiality, and objections regarding hearing panel members
- Clarifying rules on timing, procedure and evidence
- More specific provisions on notice provided to student / organization
- Clarifying process and standards for review or appeal of hearing committee decisions (increasing alignment with equity resolution process rules)
- Clarifying process for disclosures of information to parties before a hearing
- Specific provisions on alternative means of attendance or questioning at a hearing
- Clarifying rights of parties at hearing
- More specific provisions on what a hearing committee's decision will contain
- Clarifying rules on evidentiary and procedural questions (increasing alignment with equity resolution process rules)
- More specific provisions allowing participation by advisers (including attorneys) to students / organizations in the conduct and hearing process
- Provision about noting expulsion on transcripts

No. 1

Recommended Action - Amendments to CRR 200.010 Standard of Conduct and CRR 200.020
Rules of Procedures in Student or Student Organization Conduct Matters

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

Collected Rules and Regulations 200.010 Standard of Conduct and CRR 200.020
Rules of Procedures in Student or Student Organization Conduct Matters be amended as indicated in the attached documents, to be effective August 1, 2023:

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

Curator Blitz

Curator Graves

Curator Layman

Curator Sinquefield

The motion _____.

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

Curator Blitz

Curator Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

The motion _____.

200.010 Standard of Conduct

Amended Bd. Min. 3-20-81; Bd. Min. 8-3-90, Bd. Min 5-19-94; Bd. Min. 5-24-01, Bd. Min. 7-27-12; Bd. Min. 12-7-12; Bd. Min. 6-19-14; Revised 9-22-14 by Executive Order 41; Revised 11-3-15 by Executive Order 41; Amended 2-9-17; Bd. Min. 9-24-20; Bd. Min. 11-19-20; Amended 6-29-23.

The Standard of Conduct exists to support the mission of the University of Missouri as an educational institution. The following expectations have been established in order to protect a specialized educational environment conducive to learning which fosters integrity, academic success, personal and professional growth, and responsible citizenship.

A student at the University assumes an obligation to behave in a manner compatible with the University's function as an educational institution and voluntarily enters into a community of high achieving scholars. A student organization recognized by the University of Missouri also assumes an obligation to behave in a manner compatible with the University's function as an educational institution. Consequently, students and student organizations must adhere to community standards in accordance with the University's mission and expectations. Students and student organizations are expected to demonstrate responsibility for their actions; respect the rights and property of others; and observe federal, state, and local laws, as well as University rules and policies.

The Standard of Conduct is implemented through Section 200.020 Rules of Procedures in Student or Student Organization Conduct Matters. It is to be implemented and interpreted in a manner that supports the University's mission as an educational institution and protects the University's educational environment.

- A. **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 200.020 and Chapter 600 of the Collected Rules and Regulations against students and student organizations for conduct occurring in other settings, including off campus, for the following purposes: (1) in order to protect the health, safety, welfare, and well-being of students, employees, and other members of the University community, or (2) if there are effects of the conduct that materially interfere with or limit any person's or entity's ability to participate in or benefit from the University's educational programs, activities, or employment. Jurisdiction of conduct occurring in other settings, including off campus, may be exercised at the discretion of the University for these stated purposes, but shall not be exercised in any way that would interfere with a student's protected constitutional rights.
- B. A **student organization** is a recognized student organization which has received official approval in accordance with Section 250.010 of the Collected Rules and Regulations. Action against student organizations under the Standard of Conduct and Rules of Procedure may be separate from action taken against individual members. A student organization will be considered responsible for conduct outlined in Section 200.010.C

only when there are circumstances indicating that the organization should bear collective responsibility for the conduct, and not solely because its individual members engaged in prohibited conduct. To determine whether a student organization is responsible for conduct outlined in Section 200.010.C and the extent to which it should be sanctioned, all relevant circumstances will be considered, including but not limited to the following:

1. Factors weighing in favor of organizational responsibility:
 - a. The student organization, through its officers or practices or customs, by any means approved, condoned, allowed, encouraged, assisted or promoted such prohibited conduct;
 - b. The prohibited conduct was committed, permitted, encouraged, aided, or assisted by one or more student organization executive officers or by one or more members while acting with authority on behalf of the student organization;
 - c. Student organization resources, such as funds, group communications, information technology resources, or organization property or venues, were used for the prohibited conduct;
 - d. The student organization, through its officers or advisers, materially interferes or interfered with any investigation or conduct proceedings related to the prohibited conduct;
 - e. A policy, protocol, or official practice of the student organization caused or materially contributed to the prohibited conduct; and/or
 - f. In the absence of any evidence of the factors listed in subdivisions 1. – 5. above, the prohibited conduct was committed, participated in, encouraged, aided, or assisted by twenty-five percent or more of the student organization's members;
2. Factors weighing against organizational responsibility:
 - a. The student organization had policies, protocols, or official practices in place to prevent or deter the prohibited conduct;
 - b. The student organization had provided guidance, education, or training to the individual members involved to prevent or deter the prohibited conduct;
 - c. The student organization took prompt and effective action to prevent or stop the prohibited conduct or mitigate its effects once the organization or its officers became aware or reasonably should have become aware of the prohibited conduct;
 - d. The student organization or its officers promptly reported the prohibited conduct to an appropriate University official and any other appropriate authorities; and/or
 - e. The student organization addressed any prohibited conduct of its members through an organizational sanction or punishment.

C. **Prohibited Conduct** for which students and student organizations, when applicable, are subject to sanctions falls into the following categories:

1. **Academic dishonesty**, including but not limited to cheating, plagiarism, unauthorized use of artificially generated content, or sabotage. The Board of Curators recognizes that academic honesty is essential for the intellectual life of the University. Faculty members have a special obligation to expect high

standards of academic honesty in all student work. Students have a special obligation to adhere to such standards. In all cases of academic dishonesty, the instructor shall make an academic judgment about the student's grade on that work and in that course, which shall not be considered a sanction for prohibited conduct under this rule. The instructor shall, consistent with other policies, report the alleged academic dishonesty to the Primary Administrative Officer.

- a. The term **cheating** includes but is not limited to: (i) use of any unauthorized assistance in taking quizzes, tests, examinations or other assessments; (ii) dependence upon the aid of sources beyond those authorized by the instructor in writing papers, preparing reports, solving problems, or carrying out other assignments; (iii) acquisition or possession without permission of tests or other academic material belonging to a member of the University faculty or staff; or (iv) knowingly providing any unauthorized assistance to another student on quizzes, tests, examinations, or other assessments.
 - b. The term **plagiarism** includes, but is not limited to: (i) use by paraphrase or direct quotation of the published work of another source without properly crediting the author with footnotes, citations or bibliographical reference; (ii) unacknowledged use of materials prepared by another person or agency engaged in the selling of term papers or other academic materials; or (iii) unacknowledged use of original work/material that has been produced through collaboration with others without release in writing from collaborators.
 - c. The term **unauthorized use of artificially generated content**, includes, but is not limited to (i) use of artificial intelligence tools or other tools that generate artificial content in taking quizzes, tests, examinations, or other assessments without permission from the instructor; (ii) submitting work for evaluation as one's own that was produced in material or substantial part through use of artificial intelligence tools or other tools that generate artificial content without permission from the instructor; (iii) using artificial intelligence tools or other tools that generate artificial content in a manner contrary to instructions from the instructor; or (iv) using artificial intelligence tools or other tools that generate artificial content in a manner that violates any other provision of these rules concerning academic dishonesty. Use of commonly available tools such as spelling or grammar checking software or features of software that propose anticipated words or phrases while text is being written will not be considered unauthorized use of artificially generated content unless such use is contrary to instructions from the instructor.
 - d. The term **sabotage** includes, but is not limited to, the unauthorized interference with, modification of, or destruction of the work or intellectual property of another member of the University community.
2. **Forgery, alteration, or misuse of University documents, records or identification, or furnishing information to the University that the student or student organization knows or reasonably should know is false.**

3. **Physical abuse or other physical conduct which threatens or endangers the health or safety of any person.**
4. **Stalking** another by following or engaging in a course of conduct with no legitimate purpose that puts another person reasonably in fear for one's safety or would cause a reasonable person under the circumstances to be frightened, intimidated or emotionally distressed.
5. **Violation of the University's Equal Employment/Education Opportunity and Nondiscrimination Policy** located at Section 600.010 of the Collected Rules and Regulations.
6. **Violation of the University's Sexual Harassment under Title IX Policy** located at Section 600.020 of the Collected Rules and Regulations.
7. **Threats**, defined as communication of a serious expression of intent to commit an act of unlawful violence against an individual or identifiable group, such that the individual or group would reasonably fear violence, regardless of whether the communicating individual actually intends to carry out the threat.
8. **Participating in attempted or actual taking of, damage to, or possession without permission of property of the University or of a member of the University community or a campus visitor.**
9. **Unauthorized possession, duplication or use of keys or other means of access to any University facilities or unauthorized entry to or use of University facilities, property or resources.**
10. **Misuse of University or personal property in a manner that creates a safety hazard or unauthorized use of safety equipment.**
11. **Deliberately setting off a fire or other emergency alarm without justified reason or knowingly giving a false report of a crime or emergency.**
12. **Violation of the available written policies, rules or regulations of the University or any of its units applicable to the student under the circumstances or of material conduct standards identified in contracts or agreements the student has entered into with the University**, including, but not limited to, those governing residence in the University-provided housing, or the use of University facilities, or student organizations, or the time, place or manner of public expression.
13. **Violation of applicable federal, state, foreign or local law or ordinance**, that directly impacts the University's activities, programs, property, students, employees, or volunteers or indicates that the individual poses a risk to the safety, welfare, or well-being of the University's students, employees, or volunteers.
14. **Manufacture, use, possession, sale or distribution of alcoholic beverages or any controlled substance under state or federal law without proper prescription or required license or as expressly permitted by law or University regulations**, including operating a vehicle on University property, or on streets or roadways adjacent to and abutting a campus, under the influence of alcohol or a controlled substance as prohibited by law of the state of Missouri. To the extent there is any inconsistency between state and federal law as to circumstances in which manufacture, use, possession, sale or distribution of a substance is expressly permitted, federal law will govern to the extent appropriate

to facilitate the University's compliance with the Drug Free Schools and Communities Act and any other applicable federal law.

15. **Substantially disrupting, or inciting others to substantially disrupt:**
 - a. University operations, functions or activities including, but not limited to classes or other teaching, research, study, lectures, performances, meetings, interviews, living or learning communities, administrative business, or ceremonies or other public events, regardless of whether such operations, functions or activities are conducted in-person or through information technology resources; or
 - b. Authorized or permissible non-University activities that occur at a location owned or controlled by the University or through information technology resources provided by the University.
16. **Failure to comply with lawful directions of University officials acting in the performance of their duties or failure to identify one's self to University officials acting in the performance of their duties when reasonably requested to do so and upon reasonable explanation of the reason for the request for identification.**
17. **Failure to comply with and complete all sanctions and remedial actions applied under Section 200.020 or Chapter 600 within the time frame specified.**
18. **The possession or use of firearms, explosives, other weapons, or hazardous chemicals that violates federal or state law or applicable foreign law or University rules.**
19. **Hazing**, defined as an act that endangers the mental or physical health or safety of a student, or an act that is likely to cause physical or psychological harm to any person within the University community, or that destroys or removes, damages, defaces, or tampers with public or private property, for the purpose of initiation, admission into, affiliation with, or as a condition for continued membership in a group or organization. Participation or cooperation by the person(s) being hazed does not excuse the violation. Failure by a group's or organization's executive officers to intervene to prevent, discourage, and/or report hazing of which they are aware or reasonably should be aware also will be deemed a violation of this policy.
20. **Misuse of information technology resources in accordance with University policy**, including but not limited to:
 - a. Actual or attempted theft or other abuse;
 - b. Unauthorized entry into a file to use, read, or change the contents, or for any other purpose;
 - c. Unauthorized transfer of a file;
 - d. Unauthorized use of another individual's identification and password;
 - e. Use of information technology facilities to interfere with the work of another student, faculty member, or University official;
 - f. Use of information technology facilities to interfere with normal operation of any University information technology system;

- g. Knowingly causing a virus, malware, or other means designed to disrupt, damage or gain unauthorized access to become installed in any information technology system or file; or
- h. Violation of Section 110.005 of the Collected Rules or Regulations or other University policy governing use of computing resources.

21. Retaliation, False Reporting, Witness Intimidation or Harassment, and Interference.

- a. 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 200.020, provided that the exercise of rights protected under the First Amendment does not constitute retaliation prohibited under this section. 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 Primary Administrative Officer. The University will promptly respond to all claims of retaliation in accordance with this policy.
- b. 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. False reporting is prohibited.
- c. No individual, directly or through others, may take any action which attempts to or actually intimidates any potential Party or witness in the student conduct process, or which may interfere with the student conduct process.
- d. All University employees and students must be truthful and candid when making any statement or providing any information or evidence to the University throughout the student conduct process, and all documentary evidence must be genuine and accurate. The fact that a determination has been made that a student has or has not engaged in prohibited conduct is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness.
- e. 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.

22. Attempting to commit or intentionally and materially aiding or inciting others to commit any of the forms of prohibited conduct stated in this rule.

200.010 Standard of Conduct

Amended Bd. Min. 3-20-81; Bd. Min. 8-3-90, Bd. Min 5-19-94; Bd. Min. 5-24-01, Bd. Min. 7-27-12; Bd. Min. 12-7-12; Bd. Min. 6-19-14; Revised 9-22-14 by Executive Order 41; Revised 11-3-15 by Executive Order 41; Amended 2-9-17; Bd. Min. 9-24-20; Bd. Min. 11-19-20;
Amended 6-29-23.

The Standard of Conduct exists to support the mission of the University of Missouri as an educational institution. ~~These~~ The following expectations have been established in order to protect a specialized educational environment conducive to learning which fosters integrity, academic success, personal and professional growth, and responsible citizenship.

A student at the University assumes an obligation to behave in a manner compatible with the University's function as an educational institution and voluntarily enters into a community of high achieving scholars. A student organization recognized by the University of Missouri also assumes an obligation to behave in a manner compatible with the University's function as an educational institution. Consequently, students and student organizations must adhere to community standards in accordance with the University's mission and expectations. Students and student organizations are expected to demonstrate responsibility for their actions; respect the rights and property of others; and observe federal, state, and local laws, as well as University rules and policies.

The Standard of Conduct is implemented through Section 200.020 Rules of Procedures in Student or Student Organization Conduct Matters. It is to be implemented and interpreted in a manner that supports the University's mission as an educational institution and protects the University's educational environment.

~~These expectations have been established in order to protect a specialized environment conducive to learning which fosters integrity, academic success, personal and professional growth, and responsible citizenship.~~

- A. **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 Sections 200.020 and Chapter 600.040 of the Collected Rules and Regulations against students and student organizations for conduct occurring in other settings, including off campus, for the following purposes: (1) in order to protect the physical health, safety, welfare, and well-being of students, ~~faculty, staff~~employees, and visitors and other members of the University community, or (2) if there are effects of the conduct that materially interfere with or limit any person's or entity's ability to participate in or benefit from the University's educational programs, and activities, or employment. Jurisdiction of conduct occurring in other settings, including off campus, may be exercised at the discretion of the University for these stated purposes, but shall not be exercised in any way that would interfere with a student's protected constitutional rights.

B. A **student organization** is a recognized student organization which has received official approval in accordance with Section 250.010 of the Collected Rules and Regulations. Action against student organizations under the Standard of Conduct and Rules of Procedure may be separate from action taken against individual members. A student organization will be considered responsible for conduct outlined in Section 200.010.C only when there are circumstances indicating that the organization should bear collective responsibility for the conduct, and not solely because its individual members engaged in prohibited conduct. To determine whether a student organization is responsible for conduct outlined in Section 200.010.C and the extent to which it should be sanctioned, all relevant circumstances will be considered, including but not limited to the following ~~whether~~:

1. Factors weighing in favor of organizational responsibility:

~~1.a.~~ The student organization, through its officers or practices or customs, by any means approved, condoned, allowed, encouraged, assisted or promoted such prohibited conduct;

~~b.~~ The prohibited ~~behavior~~ conduct in question was committed, permitted, encouraged, aided, or assisted by one or more student organization executive officers or by one or more members while acting with authority on behalf of the student organization;

2. ~~—or a significant number of student organization members;~~

~~c.~~ Student organization resources, such as funds, ~~listservs, message boards~~ group communications, information technology resources, or organization ~~locations~~ property or venues, ~~are~~ were used for the prohibited conduct; ~~and/or~~

~~3.d.~~ The student organization, through its officers or advisers, materially interferes or interfered with any investigation or conduct proceedings related to the prohibited conduct;

~~e.~~ A policy, protocol, or official ~~practice~~ of the student organization ~~resulted in~~ caused or materially contributed to the prohibited conduct; ~~and/or~~

~~f.~~ In the absence of any evidence of the factors listed in subdivisions 1. – 5. above, the prohibited conduct was committed, participated in, encouraged, aided, or assisted by twenty-five percent or more of the student organization’s members;

2. Factors weighing against organizational responsibility:

a. The student organization had policies, protocols, or official practices in place to prevent or deter the prohibited conduct;

b. The student organization had provided guidance, education, or training to the individual members involved to prevent or deter the prohibited conduct;

c. The student organization took prompt and effective action to prevent or stop the prohibited conduct or mitigate its effects once the organization or its officers became aware or reasonably should have become aware of the prohibited conduct;

d. The student organization or its officers promptly reported the prohibited conduct to an appropriate University official and any other appropriate authorities; and/or

4.e. The student organization addressed any prohibited conduct of its members through an organizational sanction or punishment.

C. **Prohibited Conduct** for which students and student organizations, when applicable, are subject to sanctions falls into the following categories:

1. **Academic dishonesty**, including but not limited to cheating, plagiarism, unauthorized use of artificially generated content, or sabotage. The Board of Curators recognizes that academic honesty is essential for the intellectual life of the University. Faculty members have a special obligation to expect high standards of academic honesty in all student work. Students have a special obligation to adhere to such standards. In all cases of academic dishonesty, the instructor shall make an academic judgment about the student's grade on that work and in that course, which shall not be considered a sanction for prohibited conduct under this rule. The instructor shall, consistent with other policies, report the alleged academic dishonesty to the Primary Administrative Officer.
 - a. The term **cheating** includes but is not limited to: (i) use of any unauthorized assistance in taking quizzes, tests, ~~or~~ examinations or other assessments; (ii) dependence upon the aid of sources beyond those authorized by the instructor in writing papers, preparing reports, solving problems, or carrying out other assignments; (iii) acquisition or possession without permission of tests or other academic material belonging to a member of the University faculty or staff; or (iv) knowingly providing any unauthorized assistance to another student on quizzes, tests, ~~or~~ examinations, or other assessments.
 - b. The term **plagiarism** includes, but is not limited to: (i) use by paraphrase or direct quotation of the published work of another ~~person~~ source without ~~fully and~~ properly crediting the author with footnotes, citations or bibliographical reference; (ii) unacknowledged use of materials prepared by another person or agency engaged in the selling of term papers or other academic materials; or (iii) unacknowledged use of original work/material that has been produced through collaboration with others without release in writing from collaborators.
 - c. The term **unauthorized use of artificially generated content**, includes, but is not limited to (i) use of artificial intelligence tools or other tools that generate artificial content in taking quizzes, tests, examinations, or other assessments without permission from the instructor; (ii) submitting work for evaluation as one's own that was produced in material or substantial part through use of artificial intelligence tools or other tools that generate artificial content without permission from the instructor; (iii) using artificial intelligence tools or other tools that generate artificial content in a manner contrary to instructions from the instructor; or (iv) using artificial intelligence tools or other tools that generate artificial content in a manner that violates any other provision of these rules concerning academic dishonesty. Use of commonly available tools such as spelling or grammar checking software or features of software that propose anticipated words or phrases while text is being written will not be

considered unauthorized use of artificially generated content unless such use is contrary to instructions from the instructor.

- b.
- ~~e.~~d. The term **sabotage** includes, but is not limited to, the unauthorized interference with, modification of, or destruction of the work or intellectual property of another member of the University community.
- 2. **Forgery, alteration, or misuse of University documents, records or identification, or ~~knowingly~~ furnishing ~~false~~ information to the University that the student or student organization knows or reasonably should know is false.**
- 3. ~~Obstruction or disruption of teaching, research, administration, conduct proceedings, or other University activities, including its public service functions on or off campus.~~
- 4. 3. **Physical abuse or other physical conduct which threatens or endangers the health or safety of any person.**
- 5. 4. **Stalking** another by following or engaging in a course of conduct with no legitimate purpose that puts another person reasonably in fear for one's safety or would cause a reasonable person under the circumstances to be frightened, intimidated or emotionally distressed.
- 6. 5. **Violation of the University's Equal Employment/Education Opportunity and Nondiscrimination Policy** located at Section 600.010 of the Collected Rules and Regulations.
- 7. 6. **Violation of the University's Sexual Harassment under Title IX Policy** located at Section 600.020 of the Collected Rules and Regulations.
- 7. Threats, defined as communication of a serious expression of intent to commit an act of unlawful violence against an individual or identifiable group, such that the individual or group would reasonably fear violence, regardless of whether the communicating individual actually intends to carry out the threat.
- 8. ~~ening or Intimidating Behaviors~~, defined as ~~written or verbal conduct that causes a reasonable expectation of injury to the health or safety of any person or damage to any property or implied threats or acts that cause a reasonable fear of harm in another.~~
- 9. 8. **Participating in attempted or actual taking of, damage to, or possession without permission of property of the University or of a member of the University community or a campus visitor.**
- 9. Unauthorized possession, duplication or use of keys or other means of access to any University facilities or unauthorized entry to or use of University facilities, property or resources.
- 10. Misuse of University or personal property in a manner that creates a safety hazard or unauthorized use of safety equipment.
- ~~10.~~11. Deliberately setting off a fire or other emergency alarm without justified reason or knowingly giving a false report of a crime or emergency.
- 12. **Violation of ~~University~~ the available written policies, rules or regulations of the University or any of its units applicable to the student under the circumstances or of material conduct standards identified in contracts or agreements the student has entered into with the University, ~~or of campus~~**

~~regulations~~ including, but not limited to, those governing residence in the University-provided housing, or the use of University facilities, or student organizations, or the time, place or manner of public expression.

- ~~11.~~13. **Violation of applicable federal, state, foreign or local law or ordinance**, that directly impacts the University's activities, programs, property, students, employees, or volunteers or indicates that the individual poses a risk to the safety, welfare, or well-being of the University's students, employees, or volunteers.
- ~~12.~~14. **Manufacture, use, possession, sale or distribution of alcoholic beverages or any controlled substance under state or federal law** without proper prescription or required license or as expressly permitted by law or University regulations, including operating a vehicle on University property, or on streets or roadways adjacent to and abutting a campus, under the influence of alcohol or a controlled substance as prohibited by law of the state of Missouri. To the extent there is any inconsistency between state and federal law as to circumstances in which manufacture, use, possession, sale or distribution of a substance is expressly permitted, federal law will govern to the extent appropriate to facilitate the University's compliance with the Drug Free Schools and Communities Act and any other applicable federal law.
- ~~15.~~ ~~**Disruptive conduct**~~**Substantially disrupting, or inciting others to substantially disrupt:**
- a. ~~Conduct that creates a substantial disruption of~~ University operations, functions or activities including, but not limited to ~~obstruction of classes or other~~ teaching, research, study, lectures, performances, meetings, interviews, living or learning communities, administrative business, or ceremonies or other public events, regardless of whether such operations, functions or activities are conducted in-person or through information technology resources; or
 - b. ~~administration, other University activities and/or other~~ A authorized or permissible non-University activities that occur ~~on campus~~ at a location owned or controlled by the University or through information technology resources provided by the University.:
- a.-
- ~~16.~~16. Failure to comply with lawful directions of University officials acting in the performance of their duties or failure to identify one's self to University officials acting in the performance of their duties when reasonably requested to do so and upon reasonable explanation of the reason for the request for identification.
- ~~13.~~17. **Failure to comply with and complete all sanctions and remedial actions applied under Section 200.020 or Chapter 600 within the time frame specified.**
- ~~14.~~18. **The illegal or unauthorized possession or use of firearms, explosives, other weapons, or hazardous chemicals that violates federal or state law or applicable foreign law or University rules.**
- ~~15.~~19. **Hazing**, defined as an act that endangers the mental or physical health or safety of a student, or an act that is likely to cause physical or psychological harm

to any person within the University community, or that destroys or removes, damages, defaces, or tampers with public or private property, for the purpose of initiation, admission into, affiliation with, or as a condition for continued membership in a group or organization. Participation or cooperation by the person(s) being hazed does not excuse the violation.- Failure by a group's or organization's executive officers to ~~Failing to~~ intervene to prevent, ~~failing to~~ discourage, and/~~or/or failing to~~ report hazing of which they are aware or reasonably should be aware ~~those acts may~~ also will be deemed a violation of ~~violate~~ this policy.

16.20. Misuse of ~~computing~~ information technology resources in accordance with University policy, including but not limited to:

- a. Actual or attempted theft or other abuse;
- b. Unauthorized entry into a file to use, read, or change the contents, or for any other purpose;
- c. Unauthorized transfer of a file;
- d. Unauthorized use of another individual's identification and password;
- e. Use of ~~computing~~ information technology facilities to interfere with the work of another student, faculty member, or University official;
- f. Use of ~~computing~~ information technology facilities to interfere with normal operation of ~~the any~~ University ~~computing~~ information technology system; ~~and~~
- g. Knowingly causing a ~~computer~~ virus, malware, or other means designed to disrupt, damage or gain unauthorized access to become installed in a ~~computer~~ any information technology system or file; ~~or~~
- h. Violation of Section 110.005 of the Collected Rules or Regulations or other University policy governing use of computing resources.

21. Retaliation, False Reporting, Witness Intimidation or Harassment, and Interference.

- a. 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 200.020, provided that the exercise of rights protected under the First Amendment does not constitute retaliation prohibited under this section. 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 Primary Administrative Officer. The University will promptly respond to all claims of retaliation in accordance with this policy.
- b. 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. False reporting is prohibited.
- c. No individual, directly or through others, may take any action which attempts to or actually intimidates any potential Party or witness in the student conduct process, or which may interfere with the student conduct process.

- d. All University employees and students must be truthful and candid when making any statement or providing any information or evidence to the University throughout the student conduct process, and all documentary evidence must be genuine and accurate. The fact that a determination has been made that a student has or has not engaged in prohibited conduct is not sufficient grounds, by itself, to declare that a false statement or fraudulent evidence has been provided by a Party or witness.
 - e. 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.
- ~~17.~~^{22.} **Attempting to commit or intentionally and materially aiding or inciting others to commit any of the forms of prohibited conduct stated in this rule.**

200.020 Rules of Procedures in Student or Student Organization Conduct Matters

Bd. Min. 11-8-68, Amended Bd. Min. 3-20-81; Bd. Min. 12-8-89; Amended 5-19-94; Bd. Min. 5-24-01; Bd. Min. 7-27-12, 6-19-14; Revised 9-22-14 by Executive Order 41; Revised 11-3-15 by Executive Order 41; Amended 2-9-17; Bd. Min. 9-24-20; **Amended 6-29-23**.

- A. **Preamble.** The following rules of procedure in student or student organization conduct matters are hereby adopted in order to ensure insofar as possible and practicable (a) that the requirements of procedural due process in student conduct proceedings will be fulfilled by the University, (b) that the immediate effectiveness of Section 10.030, which is Article VI of the Bylaws of the Board of Curators relating to student conduct and sanctions may be secured for all students in the University of Missouri, and (c) that procedures shall be definite and determinable within the University of Missouri. Student or student organization conduct involving discrimination and harassment, including sexual harassment is governed by Section 600.030: *Resolution Process for Resolving Complaints of Sexual Harassment under Title IX*, and Section 600.040: *Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization*.

The student conduct process, which is governed by these rules of procedure, is further intended to implement Section 200.010 Standard of Conduct in a manner that supports the University's mission as an educational institution and protects the University's educational environment. To the extent consistent with those goals, the student conduct process is intended to be a feature of an educational experience for the students involved, with a range of responses that may include educational responses, remedies or sanctions that will help students recognize the impact of their conduct for themselves and on the broader community and advance their academic and personal development.

The provisions of the Standard of Conduct, these Rules of Procedure, and any University policies concerning student conduct do not create any rights, expressly or by implication, in, for, or on behalf of any person or entity other than students and other members of the University community who are governed by such rules.

- B. **Definitions.** As used in these rules, the following definitions shall apply:
1. **Primary Administrative Officers.** As used in these procedures, the Chief Student Affairs Administrator on each campus shall appoint the Primary Administrative Officer except in cases of academic dishonesty, where the Chief Academic Administrator is the Primary Administrative Officer. Each Primary Administrative Officer may appoint designee(s) who are responsible for the administration of these conduct procedures, provided all such appointments are made in writing and filed with the Chancellor of the campus and the Office of General Counsel. The Primary Administrator's Office will certify in writing that

the given designee has been trained in the administration of student conduct matters.

2. **Student Panelist Pool.** The student panelist pool is a panel of students appointed by the Chief Student Affairs Administrator, who may participate on the Student Conduct Committee. Specifically, if requested by the accused student or student organization, the Chair of the Student Conduct Committee shall select not more than three students from the Student Panelist Pool to serve as members on the Student Conduct Committee, or not more than two students to serve as members on a Hearing Panel.
3. **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.
4. **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 in all proceedings. The registered faculty/staff adviser may be present, but may not act on behalf of the student organization. The organization may utilize an attorney in all proceedings as it chooses, subject to other provisions in this rule. Each student organization shall designate, and such designation shall be on file with the University, the individual who will receive all notices, findings, determinations and decisions on behalf of the student organization. If the student organization fails to have a designation on file with the University, the President of the organization is the default designee. The registered faculty/staff adviser will also be sent a courtesy copy of all notices, findings, determinations and decisions.
5. **Student Conduct Committee.** As used in these procedures, "Student Conduct Committee," hereinafter referred to as the Committee, is that body on each campus which is authorized to conduct hearings and to make dispositions under these procedures or a Hearing Panel of such body as herein defined.
6. **Hearing Panel.** As used in these procedures, the term "hearing panel" refers to the part of the Student Conduct Committee described in Section 200.020.E.4 below.
7. **Party or Parties.** The term "Party" or "Parties" refers to accused students or student organization and the Primary Administrative Officer in the context of formal procedure and disposition.

C. Sanctions.

1. The following sanctions, when applicable, may be imposed upon any student or student organization found to have violated the Standard of Conduct. More than one of the sanctions may be imposed for any single violation. Sanctions include but are not limited to:
 - a. Warning. A notice in writing to the student or student organization that there is or has been a violation of the institutional regulations.
 - b. 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 student or student organization is found to be violating any institutional regulation(s) during the probationary period.

- c. Loss of Privileges. Denial of specified privileges of the student or student organization for a designated period of time.
 - d. Restitution. Compensation by the student or student organization for loss, damage, or injury to the University or University property. This may take the form of appropriate service and/or monetary or material replacement.
 - e. Discretionary Sanctions. Work assignments, service to the University or community, or other related discretionary assignments, or completion of educational programming or counseling.
 - f. University System Housing Suspension. Separation of the student or student organization from University owned or operated housing for a definite period of time, after which the student or student organization is eligible to return. Conditions for readmission may be specified.
 - g. University System Housing Expulsion. Permanent separation of the student or student organization from University owned or operated housing.
 - h. University System Dismissal. An involuntary separation of the student from the University System for misconduct. It is less than permanent in nature and does not imply or state a minimum separation time.
 - i. Campus Suspension. A 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 Administrator (or Designee) of that campus. Conditions for readmission may be specified.
 - j. University System Suspension. Separation of the student from the University System for a definite period of time, after which the student is eligible to return. Logistical modifications consistent with the sanction imposed, may be granted at the discretion of the Chief Student Affairs Administrator (or Designee) of the campus where the modifications would apply. Conditions for readmission may be specified.
 - k. University System Expulsion. Permanent separation of the student from the University System.
 - l. Withdrawal of Recognition. Student organization loses its official approval as a recognized student organization. May be either temporary or permanent. Conditions for future approval may be specified.
- 2. The sanctions listed above shall be imposed in a manner that is reasonably proportionate to the violation in question, with consideration given to the severity of the violation, culpability of those involved, past dispositions in similar cases, and other factors as appropriate.
 - 3. **Temporary Action for a Student.** The Chancellor or Designee may at any time temporarily suspend, deny readmission to, or place conditions on the attendance or participation of a student, effective immediately, pending formal procedures when the Chancellor or Designee finds and believes from available information that the student's continued attendance or participation would seriously disrupt the University operations or constitute a danger to the health, safety, or welfare of

members of the University community. The Chancellor or Designee will give the student notice of such temporary action and the detailed reason for it in the same manner as for a Notice of Hearing described in these Rules of Procedure. Notice shall be deemed delivered in the same manner as a Notice of Hearing. Within five (5) business days of delivery of the notice, the student may submit a written response requesting reconsideration and/or modification of the temporary action. The time for submitting such written response may be extended upon written request at the discretion of the Chancellor or Designee for good cause. After due consideration of the response and all relevant circumstances, the Chancellor or Designee will sustain, remove, or modify the temporary action and notify the student of that decision. The appropriate procedure to determine the future status of the student will be initiated within seven (7) business days from the date the temporary action is taken.

4. **Temporary Action for a Student Organization.** The Chancellor or Designee may at any time temporarily suspend or place conditions on the student organization's University recognition, access to and use of the University campus/facilities/events and/or all other University activities or privileges for which the student organization might otherwise be eligible, effective immediately, pending formal procedures when the Chancellor or Designee finds and believes from available information that the student organization's continued recognition, access, or use would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The Chancellor or Designee will give the student organization notice of such temporary action and the detailed reason for it in the same manner as for a Notice of Hearing described in these Rules of Procedure. Notice shall be deemed delivered in the same manner as a Notice of Hearing. Within five (5) business days of delivery of the notice, the student organization may submit a written response requesting reconsideration and/or modification of the temporary action. The time for submitting such written response may be extended upon written request at the discretion of the Chancellor or Designee for good cause. After due consideration of the response and all relevant circumstances, the Chancellor or Designee will sustain, remove, or modify the temporary action and notify the student organization of that decision. The appropriate procedure to determine the future status of the student organization will be initiated within seven (7) business days from the date the temporary action is taken.
- D. **Records Retention.** Student conduct records shall be maintained in accordance with applicable University rules and records retention policies.
- E. **Policy and Procedures.**
1. **General Policies and Rights.**
 - a. **Standard of proof and presumption of non-responsibility.** A student or student organization is presumed not responsible for any alleged violation of the Standard of Conduct until a determination regarding responsibility is made at the conclusion of the student conduct process. The standard of proof will be "preponderance of the evidence," defined as determining whether evidence shows it is more likely than not that a violation occurred. The burden of proof and the burden of gathering evidence

sufficient to reach a determination regarding responsibility rests on the University.

- b. **Other proceedings.** Students may potentially be held accountable through the University's student conduct process and other educational operations, as well as through other systems, such as the criminal justice system, civil litigation, or proceedings of various regulatory agencies or outside non-governmental organizations. The University's student conduct process is separate from other systems, and action under the University's student conduct process may occur before, during or after any proceedings through other systems. The University's student conduct process, including any hearing, is not a criminal or judicial proceeding and is designed to address student conduct in an educational context; therefore, alleged violations of the Standard of Conduct will be addressed independently of any outcome or proceedings in other non-University systems.
- c. **General rights of students and student organizations involved in the student conduct 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 receive timely detailed written notice of any charges against them and the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings;
 - (5) To have an adviser of the student's or organization's choice, who may be, but is not required to be, an attorney, accompany the student or organization's representatives to all interviews, meetings, hearings and proceedings throughout the conduct process;
 - (6) To refuse to have an allegation resolved through informal disposition without prejudice;
 - (7) Not to present self-incriminating information;
 - (8) To remain silent, with such silence not considered as evidence supporting a finding of a violation;
 - (9) To receive written notice of any delay of the process or limited extension of time frames; and
 - (10) Not to be subject to charges under these procedures if in a prior proceeding the student or student organization has received a notice of proposed informal disposition or notice of hearing under these rules regarding the same incident of alleged misconduct.
- d. **Responsible action in emergencies.** The University encourages students to take responsible action in emergency situations, even if prohibited conduct may have occurred in conjunction with such an emergency.
 - (1) Examples of such responsible action include:
 - (a) Immediately alerting appropriate officials (e.g., calling 911) of the emergency, including providing the student's

- own name and the location and description of the emergency;
 - (b) Remaining at the scene of the emergency, so long as it is safe to do so; and
 - (c) Cooperating with emergency officials.
 - (2) Decision makers acting under these rules of procedure will favorably consider the positive impact of taking responsible action in an emergency situation when determining the appropriate response to any alleged prohibited conduct by a student or student organization that may have occurred in conjunction with the emergency situation. This may include implementing educational responses or remedies other than conduct proceedings or reduced sanctions. Further, the University will not use statements made by a student in the course of immediately reporting an emergency situation to appropriate authorities as evidence to support a finding of a violation of the Standard of Conduct by the reporting student or a student organization of which the student is a member.
 - (3) Failure to take responsible actions in an emergency situation may be considered an aggravating factor in determining sanctions for prohibited conduct.
 - (4) Students who are acting in capacities as student workers or student volunteers are encouraged to follow applicable policies or training they have received from the university in addressing any emergency situation.
 - e. **Confidentiality.** The University must keep confidential the identity of any student who has made a report of alleged prohibited conduct, any student or student organization that has been accused or is otherwise suspected of prohibited conduct, 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. The University will not prevent any review or copying of law enforcement records that is allowed by law.
 - f. **Processing fee.** As approved and modified by the Chancellor from time to time, each campus may adopt a processing fee not to exceed \$300 to be charged to any student or student organization found responsible for prohibited conduct to defray costs of the student conduct process. Such fee may be set at different levels for student organizations than for individual students, but shall not otherwise vary by organization or individual.
2. **Preliminary Procedures.** The Primary Administrative Officer or Designee (hereafter “Primary Administrative Officer”) is responsible for application and interpretation of the Standard of Conduct and determining appropriate approaches to implement it. Upon receiving a report of or otherwise becoming aware of potential misconduct, the Primary Administrative Officer will devise and implement an educational response on how to proceed based on relevant factors,

including but not limited to the severity of the potential misconduct; health, safety, or welfare of the student and members of the University community; and impact on members of the University community and the educational environment.

- a. **Alternative resolutions.** At any point in the process, the Primary Administrative Officer may work with students involved under the circumstances to explore alternative educational solutions or remedies or other alternative resolutions in lieu of formal conduct procedures, findings of responsibility or possible sanctions. Informal negotiated resolutions without necessity of a hearing are encouraged and statements made by a student or student organization or their adviser during such negotiations shall not be used against the student or student organization in later hearings. A student or student organization may refuse to participate in alternative educational solutions or remedies or other alternative resolutions and in the event of such refusal, the matter will be addressed under these Rules of Procedure.
- b. **Investigation; Consultations.** The Primary Administrative Officer shall investigate any student or student organization misconduct before initiating formal conduct procedures and give the student or student organization the opportunity to present a personal or organizational version of the incident or occurrence. The Primary Administrative Officer shall utilize the preponderance of the evidence standard in deciding whether or not to initiate formal conduct procedures and in deciding whether or not to offer an informal disposition in accordance with Section 200.020.E.2 below. The Primary Administrative Officer may discuss with any student or student organization such alleged misconduct and the student or student organization shall attend such consultation as directed by the Primary Administrative Officer. If directing attendance at a consultation, the Primary Administrative Officer will inform the student or student organization of the right to have an adviser attend and participate. Parties involved in the student conduct process are not prohibited from discussing the allegations under investigation or from gathering and presenting relevant evidence. Parties may present witnesses and other inculpatory and exculpatory evidence so long as such evidence is relevant.
- c. **Use of Non-Binding Student Courts, Etc.** The Primary Administrative Officer, in making an investigation and informal disposition, may choose to utilize student courts and boards and/or divisional deans to make non-binding recommendations to the Primary Administrative Officer. In that event, the Primary Administrative Officer shall notify the student or student organization of the identity and contact information of the student court, board, or divisional dean from which a recommendation is being sought. Such notification also shall inform the student or student organization that participation in any proceeding before the student court, board, or divisional dean is voluntary on the part of the student or student organization and that any resulting recommendation is non-binding. There will be no adverse consequence or inference from declining to participate

in any proceeding before the student court, board, or divisional dean. Neither the choice to decline to participate nor the recommendation of the student court, board, or divisional dean will be shared with the Committee in connection with any subsequent hearing.

- d. **Departure from University During Process.** Should a student decide to leave the University and not participate in the investigation or other steps of the student conduct process without signing a Voluntary Permanent Separation and General Release Agreement and without the approval of the Primary Administrative Officer, the Primary Administrative Officer may place a hold up on the student's readmission and the student will not be permitted to return to the University System until the student conduct process is completed with respect to the potential prohibited conduct. Should a student organization decide to abandon recognition by the University and not participate in the investigation or other steps of the student conduct process, the Primary Administrative Officer may direct that the student organization may not be granted recognition in the future until the student conduct process is completed with respect to the potential prohibited conduct.

3. **Informal Dispositions.** The Primary Administrative Officer shall have the authority to propose an informal disposition consisting of a preliminary determination and proposed appropriate remedies and/or sanctions. The Primary Administrative officer shall provide written notice of the proposed informal disposition. The notice shall inform the student or student organization that the failure to reject the proposed informal disposition within ten (10) business days may be considered as acceptance. If the student or student organization fails to submit a rejection to the Primary Administrative Officer within ten (10) business days, the proposed informal disposition shall become final. The time for rejecting the informal disposition may be extended upon written request at the discretion of the Primary Administrative Officer for good cause. If the student or student organization rejects informal disposition it must be in writing and shall be forwarded to the Committee. The Primary Administrative Officer may refer cases to the Committee without first offering informal disposition.

4. **Formal Procedure and Disposition.**

- a. **Student Conduct Committee:**

- (1) The Committee shall be appointed by the Chief Student Affairs Administrator and shall have the authority to impose appropriate sanctions upon any accused student or students or student organization appearing before it.
- (2) When deemed appropriate or convenient by the Chair of the Committee, the Chair may divide the Committee into Hearing Panels each consisting of no less than five (5) Committee members of which no more than two (2) shall be students. If the Chair creates such Hearing Panels, the Chair of the Committee shall designate a Hearing Panel Chair. A Hearing Panel has the authority of the whole Committee in those cases assigned to it. The Chair of the Committee or a Hearing Panel Chair shall count as one

member of the Committee or Hearing Panel and have the same rights as other members.

- (3) The Chief Student Affairs Administrator shall appoint a panel of students, to be known as the Student Panelist Pool. Upon written request of an accused student or the student organization designee before the Committee made at least seventy-two (72) hours prior to the hearing, the Chair of the Committee shall appoint from the Student Panelist Pool not more than three students to sit with the Committee or the Hearing Panel Chair shall appoint two students to sit with the Hearing Panel for that particular case. When students from the Student Panelist Pool serve as members of the Committee or as members of the Hearing Panel, they shall have the same rights as other members of the Committee or Hearing Panel.
- (4) The Chief Student Affairs Administrator shall ensure that members of the Committee and Student Panelist Pool receive training on the Standard of Conduct and these Rules of Procedure. Members of the Committee and Student Panelist Pool will be removed if they fail to satisfy training requirements, as determined by the Chief Student Affairs Administrator.
- (5) Hearing Panel members, including the chair, or other Student Conduct Committee members who are to participate in the hearing of a case shall not have a conflict of interest with respect to or bias for or against accused students or student organizations generally, or for or against any Party, individual who reported alleged prohibited conduct, or Party affected by the alleged prohibited conduct. If such a member identifies a conflict of interest or bias, or otherwise cannot make an objective determination, the member must recuse from the proceedings in advance of the hearing.
- (6) The accused student or student organization will have been given the names of the Committee or Hearing Panel members and Chair who will hear the case in the Notice of Hearing. Should any accused student or student organization object to any member or chair, they must raise all objections, in writing, to the Chief Student Affairs Administrator no later than five (5) business days prior to the hearing unless, for good cause, the Chief Student Affairs Administrator allows objections to be raised later. Such objection shall be confidential and shall not be disclosed to the Committee or Hearing Panel. A member may be unseated by the Chief Student Affairs Administrator for good cause. Good cause may include, but is not limited to, bias that would preclude an impartial hearing or circumstances in which the member's or chair's involvement could impact the accused student's work or learning environment due to current or potential interactions with the member or chair (e.g., a panel member serving as an instructor or adviser to the accused student or student organization). If the

Chief Student Affairs Administrator determines that a member or chair should be replaced, the Chief Student Affairs Administrator will select a replacement from the Student Conduct Committee. The Chief Student Affairs Administrator will provide a written response to all Parties addressing any objections to a member or chair.

- b. **General Statement of Procedures.** A student or student organization accused of violating the Student Conduct Code is entitled to a written notice of the specific charges at issue and a formal hearing unless the matter is disposed of under the rules for informal disposition. Student conduct proceedings serve educational purposes identified in the Standard of Conduct and these Rules of Procedure and are not to be construed as judicial trials. Formal rules of evidence and civil procedure do not apply; but care shall be taken to comply as fully as possible with the spirit and intent of the procedural safeguards set forth in these Rules of Procedure. For formal hearing dispositions, decisions on responsibility for conduct violations must be based on relevant information submitted at the hearing, and any relevant information provided to the hearing panel in advance of the hearing with notice to the accused student or student organization and the Primary Administrative Office and the opportunity for the Parties to respond to such information. The Office of the General Counsel shall be legal adviser to the Committee and the Primary Administrative Officer, but the same attorney from the Office of the General Counsel shall not perform both roles with regard to the same case and attorneys from the Office of the General Counsel performing distinct roles on the same case will not discuss the merits of the case with one another.
- c. **Notice of Hearing.** At least twenty (20) business days prior to the Student Conduct Committee Hearing, or as far in advance as is reasonably possible if an accelerated resolution process is scheduled with the consent of the accused student or student organization, the Primary Administrative Officer will send a letter to the accused student or student organization (or to the student or student organization's adviser if requested by the student or student organization) with the following information:
 - (1) A detailed description of the alleged conduct at issue and applicable policies, rules, or regulations alleged to be violated;
 - (2) A description of the applicable procedures, including right to have an adviser, who may be, but is not required to be, an attorney;
 - (3) A statement of the potential sanctions/remedial actions that could result;
 - (4) A statement notifying the student or student organization that they will be permitted to inspect, copy, and review any evidence obtained as part of the investigation that is directly related to the allegations to be addressed at the hearing, including the evidence upon which the University does not intend to rely in reaching a

determination regarding responsibility and including inculpatory or exculpatory evidence;

- (5) 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 student conduct process, and all documentary evidence must be genuine and accurate;
- (6) A statement that nothing in these procedures is intended to alter any rights the individual may have under applicable state or federal statutory laws or the U.S. Constitution;
- (7) The names of the Committee or Hearing Panel members and Chair who will hear the case, and information on how to raise an objection to any member or chair and the timeline in which to raise any objections; and
- (8) The time, date and location of the hearing. If any Party does not appear at the hearing, the hearing will be held in their absence.

This Notice of Hearing letter will be made in writing and will be delivered either: 1) in person, 2) by email only to the Party's University-issued email account if the Party has consented electronically or in writing to receipt of all notifications by email; or 3) mailed to the mailing address of the respective Party as indicated in the official University records and emailed to the Party's University-issued email account. If there is no local address on file, mail will be sent to the Party's permanent address. Notice also shall be mailed and emailed to the Party's adviser, if an adviser has been identified by the Party.

Notice is presumptively deemed delivered, when: 1) provided in person or 2) emailed to the Party (when prior consent - whether electronically or in writing - has been given to receipt of all notifications by email or 3) when mailed and emailed to the Party and the Party's adviser, if an adviser has been identified by the Party.

Any request to reschedule the hearing shall be made in writing to the Chair, who shall have the authority to reschedule the hearing if the request is timely and made for good cause. The Chair shall notify the Primary Administrative Officer and the accused student or student organization of the new date for the hearing. If the accused student or student organization fails to appear at the scheduled time, the Committee may hear and determine the matter.

5. Right to Petition for Review.

- a. Except in cases where a right of appeal applies, the Primary Administrative Officer or the accused student or student organization may petition the Chancellor or Designee in writing for a review of the decision within ten (10) business days after written notification. A copy of the Petition for Review must also be served upon the non-appealing Party or

Parties within such time. The Petition for Review must state the grounds for review in detail, and the non-appealing Party or Parties may answer the petition within ten (10) business days. Upon written request, the Chancellor or Designee may extend the time for petition or answer for good cause.

- b. The Chancellor or Designee may review or refuse to review the decision. In all cases where the Petition for Review is refused, the action of the Committee shall be final. If review is granted, the Chancellor or Designee may affirm, reverse or modify the decision, or remand the case for further proceedings. The action of the Chancellor or Designee after review shall be final unless it is to remand the matter for further proceedings.
6. **Right of Appeal** (involving issues of University expulsion, University dismissal, University suspension or Withdrawal of Recognition only).
- a. When an accused student is expelled, dismissed, or suspended from the University or when a student organization has its recognition withdrawn, either temporarily or permanently, by the Committee or when such sanctions have been expressly requested by the Primary Administrative Officer and refused by the Committee, the Primary Administrative Officer or the accused student or student organization may appeal such decision to the Chancellor by filing written notice of appeal stating the grounds for appeal in detail with the Chancellor within ten (10) business days after notification of the decision of the Committee. The appealing Party may file a written memorandum for consideration by the Chancellor with the Notice of Appeal. A copy of the Notice of Appeal and any memorandum must also be served upon the non-appealing Party or Parties within such time, and any other Party may submit a reply to such memorandum within ten (10) business days. Upon written request, the Chancellor or Designee may extend the time for appeal or reply for good cause.
 - b. The Chancellor shall review the record of the case and the appeal documents and may affirm, reverse or modify the decision, or remand the case for further proceedings. The Chancellor shall notify the accused student or student organization in writing of the decision on the appeal. The action of the Chancellor shall be final unless it is to remand the matter for further proceedings.
7. **Grounds for Review or Appeal.** Grounds for appeals are limited to the following:
- a. A material deviation from established procedures that affected the outcome of the matter;
 - b. To consider new evidence that was not reasonably available at the time the decision was made that could affect the outcome of the matter;
 - c. The Committee members or Student Panelists demonstrated a conflict of interest or bias against students or student organizations generally or against the particular student or student organization that affected the outcome of the case; and/or
 - d. The sanctions fall outside the range typically imposed for this offense, or for the cumulative conduct record of the student or student organization.

Review or appeal is not intended to be a full rehearing of the case and is 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 review or appeal. A review or appeal granted based on new evidence should normally be remanded to the original decision-maker for reconsideration. The Chancellor or Designee will normally render a written decision, with an explanation of reasons, on the review or appeal to all Parties within ten (10) business days after receiving the answer or reply, or after the deadline for answer or reply has passed without a submission being made. In the event the Chancellor or Designee is unable to render a written decision within ten (10) business days, the Chancellor or Designee will promptly notify the Parties in writing of the delay. Once a review or appeal is decided, the outcome is final. Further appeals and grievances are not permitted.

8. **Status During Appeal.**

- a. In cases of suspension, dismissal, or expulsion where a Notice of Appeal is filed within the required time, a student may petition the Chancellor in writing for permission to attend classes pending final determination of appeal. The Chancellor may permit a student to continue in school under such conditions as may be designated pending completion of appellate procedures, provided such continuance will not seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. In such event, however, any final sanctions imposed shall be effective from the date of the action of the Committee.
- b. In cases of withdrawal of recognition where a Notice of Appeal is filed within a required time, a student organization may petition the Chancellor in writing to stay the withdrawal of recognition while the appeal is pending. The Chancellor may stay the withdrawal of recognition under such conditions as may be designated pending completion of appellate procedures, provided such continuance will not seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community.

9. **Student Honor System.** Forums under the student honor systems established for investigating facts, holding hearings, and recommending and imposing sanctions are authorized when the student honor code or other regulations containing well defined jurisdictional statements and satisfying the requirements of Article VI of the Bylaws of the Board of Curators, Section 10.030, and notice thereof in writing has been furnished to students subject thereto. Though the student honor system has jurisdiction, together with procedures set forth therein, instead of the Primary Administrative Officer, the standard of conduct called for in any such student honor system shall be deemed to contain at a minimum the same standards set forth in Section 200.010, entitled Standards of Conduct. Procedures shall satisfy the requirements of Article VI of the Board of Curators' Bylaws, Section 10.030, and shall contain procedures herein before stated insofar as appropriate and adaptable to the particular situation. Before it can be implemented, a student

honor system and any amendment to a student honor system must be approved as provided herein. A proposed student honor system or amendment must be approved by the applicable dean, then the Chancellor, and then the Office of the General Counsel. After such approvals, the proposed student honor system or amendment must be submitted to the Board of Curators for approval. Students subject to student honor systems shall have the rights of appeal as set forth in Section 200.020.E.6.

F. Hearing Procedures.

1. Pre-Hearing Disclosures.

- a. **Primary Administrative Officer's Disclosure.** At least ten (10) business days prior to the hearing, the Primary Administrative Officer will provide the accused student or student organization, the student's or organization's adviser if an adviser has been identified by the student or organization, and the Chair:

- (1) An investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and any written response as described below;
- (2) A list of the names of the proposed witnesses to be called by the Primary Administrative Officer;
- (3) Copies of all proposed documentary, photographic, video, or audio evidence;
- (4) Notification that all of the evidence gathered in the course of the investigation that is directly related to the allegations to be addressed at the hearing is available to the student or student organization and instructions regarding how to request access to that information, which shall include evidence upon which the University does not intend to rely in reaching a determination regarding responsibility and including inculpatory or exculpatory evidence;

1. If any evidence that otherwise would have been subject to inclusion in the notice is received after the notice is issued, such evidence will be provided to the accused student or student organization as soon as practicable before the hearing date; and

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

- b. **Student or Student Organization's Disclosure.** At least five (5) business days prior to the hearing, the accused student or student organization will provide to the Primary Administrative Officer and the Chair:

- (1) Any written response to the investigative report that the student or student organization may wish to submit;
- (2) A list of the names of proposed witnesses to be called by the student or student organization and the name of any adviser who will be attending; and
- (3) Copies of all proposed documentary, video, or audio evidence.

- c. **Rebuttal Disclosure.** If the Primary Administrative Officer identifies rebuttal witnesses or evidence to be called or submitted, the Primary Administrative Officer shall provide notice of such witnesses or evidence to the accused student or student organization at least two (2) business days before the hearing.
2. **Request for Alternative Attendance or Questioning Mechanisms.** The Chair, in consultation with and by agreement of the Parties, may decide in advance of the hearing that certain witnesses do not need to be physically present if their testimony can be adequately summarized in the investigative report or during the hearing. All Parties will have ample opportunity to present facts and arguments in full and question and cross examine all present witnesses during the hearing. All Parties shall have the right to have an adviser, who may be, but is not required to be, an attorney, participate in the hearing.

All hearings will be live (in person or virtually). 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 Committee, the Parties and their advisers to simultaneously see and hear the Party or the witness answering questions. Should any hearing take place in this manner, the Chief Student Affairs Administrator 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. Such witnesses, however, shall still be subject to cross-examination.

3. **Conduct of Hearing.** The Chair shall preside at the hearing, call the hearing to order, call the roll of the Committee in attendance, ascertain the presence or absence of the student or representatives of the student organization accused of misconduct, verify the receipt of notices of hearing by the student or student organization, report any continuances requested or granted, establish the presence of any adviser of the student or student organization (who may be, but is not required to be, an attorney) and the registered faculty/staff adviser of the student organization, and call to the attention of the accused student or student organization and the adviser any special or extraordinary procedures to be employed during the hearing and permit the student or student organization to make suggestions regarding or objections to any procedures for the Committee to consider.
 - a. **Opening Statements.**
 - (1) The Primary Administrative Officer shall make opening remarks outlining the general nature of the case.
 - (2) The accused student or student organization or adviser may make a statement to the Committee about the charge at this time or at the conclusion of the University's presentation.
 - b. **University Evidence.**
 - (1) The Primary Administrative Officer may state any facts the investigation has revealed. University witnesses are to be called and identified or written reports of evidence introduced as appropriate. The

Committee or Panel may not rely on information in a report provided by a witness whose identity has not been disclosed to the accused Party.

(2) The Committee may question witnesses at any time.

(3) The accused student or student organization or the adviser may question and cross examine witnesses or examine evidence at the conclusion of the University's presentation.

c. **Accused Student or Student Organization Evidence.**

(1) If the accused student or student organization has not elected to make a statement earlier under a.(2) above, the accused student or student organization or adviser shall have the opportunity to make a statement to the Committee about the charge.

(2) The accused student or student organization may present evidence through witnesses or in the form of written memoranda.

(3) The Committee or Hearing Panel may question the accused student or representatives of the accused student organization or witnesses at any time. The Primary Administrative Officer may question the accused student or witnesses. Provided, however, that the accused student or student organization retains the right to remain silent and such silence shall not be considered as evidence supporting a finding of a violation.

d. **Rebuttal Evidence.** The Committee may permit the University or the accused student or student organization or adviser to offer a rebuttal of the others' presentation(s).

e. **Rights of Student Conduct Committee.** The Committee shall have the right to:

(1) Hear together cases involving more than one student or more than one student organization which arise out of the same transaction or occurrence, but in that event shall make separate findings and determinations for each student or student organization;

(2) Permit a stipulation of facts by the Primary Administrative Officer and the student or student organization involved;

(3) Permit the incorporation in the record by reference of any documentation, produced and desired in the record by the University or the accused, provided the other Party has had an opportunity to review and respond to the documentation;

(4) Question witnesses or challenge other evidence introduced by either the University or the student or student organization at any time;

(5) Hear from the Primary Administrative Officer about dispositions made in similar cases and any dispositions offered to the accused student or student organization appearing before the Committee;

(6) Call additional witnesses or require additional investigation;

(7) Dismiss any action at any time or permit informal disposition as otherwise provided;

(8) Permit or require at any time amendment of the Notice of Hearing to include new or additional matters which may come to the attention of the Committee before final determination of the case; provided, however, that in such event the Committee shall grant to the student or student

organization or Primary Administrative Officer such time as the Committee may determine reasonable under the circumstances to answer or explain such additional matters;

(9) 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 Committee; and

(10) Suspend summarily students from the University who, during the hearing, obstruct or interfere with the course of the hearing or persistently fail to abide by the ruling of the Chair of the Committee on any procedural question or request of the Chair for order.

- f. **Communications.** The Committee shall avoid communication with either Party or their advisers regarding the merits of a pending case prior to the hearing without the other Party or its adviser included. Communications for purposes of scheduling are permitted.
4. **Rights of Accused Upon Hearing.** A student or student organization appearing before a Committee shall have the right to:
- a. Be present at the hearing, which right may be waived by either written notification to the Chair or by failure to appear;
 - b. Have an adviser (who may be, but is not required to be, an attorney) present during the hearing, who may actively participate and assist the student as described herein;
 - c. To testify at the hearing or refuse to testify at the hearing;
 - d. Hear or examine evidence presented to the Committee;
 - e. Question witnesses present and testifying;
 - f. Present evidence by witnesses or affidavit;
 - g. Make any statement to the Committee in mitigation or explanation of the conduct in question;
 - h. Request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other;
 - i. Be informed in writing of the findings of the Committee and any sanctions it imposes; and
 - j. Request review or appeal to the Chancellor or Designee as herein provided.
5. **Rights of the Primary Administrative Officer Upon Hearing.** The Primary Administrative Officer appearing before a Committee shall have the right to:
- a. Be present at the hearing;
 - b. Have an attorney from the Office of the General Counsel present as legal adviser to the Primary Administrative Officer, who may actively participate and assist the Primary Administrative Officer as described herein;
 - c. To state any facts the investigation has revealed;
 - d. Hear or examine evidence presented to the Committee;
 - e. Question witnesses present and testifying;
 - f. Present evidence by witnesses or affidavit;
 - g. Request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other;

- h. Be informed in writing of the findings of the Committee and any sanctions it imposes; and
 - i. Request review or appeal to the Chancellor or Designee as herein provided.
- 6. **Determination by the Student Conduct Committee.** The Committee shall make its findings and determinations based on the preponderance of the evidence in executive session out of the presence of the Primary Administrative Officer and the accused student or student organization. Separate findings are to be made:
 - a. As to the conduct of the accused student or student organization, and
 - b. On the sanctions, if any, to be imposed. No sanctions shall be imposed on the accused student or student organization unless a majority of the Committee present is convinced by the preponderance of the evidence that the student or student organization has committed the violation charged. In determining what sanction, if any, is appropriate, the Committee may take into consideration the previous disciplinary history of the accused student or student organization.
- 7. **Official Report of Findings and Determinations.** The Committee shall promptly consider the case on the merits and make its findings and determination and transmit them to the Primary Administrative Officer/Designee(s) and the accused student or student organization designee. The Committee's report shall detail the following:
 - a. Identification of the allegations potentially constituting prohibited conduct and the determination of the Committee;
 - b. A description of the procedural steps taken;
 - c. Findings of fact supporting the determination and any information the Committee excluded from its consideration and why;
 - d. Conclusions regarding the application of the University's Standard of Conduct to the facts;
 - e. A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility;
 - f. Any disciplinary sanctions to be imposed on the student or student organization; and
 - g. The procedures and permissible bases for the Parties to seek review or appeal.
- 8. **Evidentiary and Procedural Questions.** The relevancy and admissibility of any evidence offered and procedural questions shall be determined by the Chair, whose ruling shall be final unless the Chair shall present the question to the Committee at the request of a member of the Committee, in which event the ruling of the Committee by majority vote shall be final. In considering evidentiary and procedural questions, the Chair will apply the following rules:
 - a. The Chair has the discretion to determine the relevance of any witness or documentary evidence and may exclude any witness, document, or information that is irrelevant, immaterial, cumulative, or more prejudicial than informative.
 - b. The Committee shall consider the trustworthiness of all oral or written statements and no oral or written statement shall be considered if the

source of the statement has not been disclosed to the Committee and the Parties.

- 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 a Party's character is of limited utility and shall not be admitted unless deemed relevant by the decision-maker.
 - 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 decision-maker.
 - e. A student'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 student, may not be used without that student's express consent.
 - f. The Chair and Committee 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.
9. **General Rules of Decorum.** The following general rules of decorum shall be adhered to:
- a. All requests to address the Committee shall be addressed to the Chair.
 - b. The Chair will rule on all requests and points of order and may consult with Committee's legal adviser prior to any ruling. The Chair's ruling shall be final and all participants shall abide thereby, unless the Chair shall present the question to the Committee at the request of a member of the Committee, in which event the ruling of the Committee by majority vote shall be final.
 - c. The Chair or Committee may dismiss any person from the hearing who interferes with or obstructs the hearing or fails to abide by the rulings of the Chair or the Committee.
 - d. Rules of common courtesy and decency shall be observed at all times.
10. **Advisers / Attorneys.** A student or student organization may have an adviser, who may be, but is not required to be, an attorney. Prior to the hearing, the adviser may communicate with the Chair on behalf of the student or student organization, including raising questions or objections or making requests regarding procedural matters.

At the hearing, the adviser may ask any witnesses all relevant questions and follow-up questions, including those challenging credibility, and conduct cross-examination and other questioning. An adviser may request clarification of a procedural matter or object on the basis of procedure at any time by addressing the Chair after recognition. An adviser may make presentations and speak on

behalf of their Party and may consult with the student or representatives of the student organization quietly or in writing, or outside the hearing during breaks.

11. **Record of Hearing.** An audio, video, digital or stenographic record of the hearing shall be maintained. The notice, exhibits, hearing record and the findings and determination of the Committee shall become the "Record of the Case" and shall be filed in the Office of the Primary Administrative Officer and for the purpose of review or appeal be accessible at reasonable times and places to the University, and the accused student(s) or student organization designee.
12. **Transcripts.** Information regarding expulsions will be noted on transcripts and shared system-wide. The Primary Administrative Officer will inform the Registrar or designee, who will make the transcript notation.

200.020 Rules of Procedures in Student or Student Organization Conduct Matters

Bd. Min. 11-8-68, Amended Bd. Min. 3-20-81; Bd. Min. 12-8-89; Amended 5-19-94; Bd. Min. 5-24-01; Bd. Min. 7-27-12, 6-19-14; Revised 9-22-14 by Executive Order 41; Revised 11-3-15 by Executive Order 41; Amended 2-9-17; Bd. Min. 9-24-20; **Amended 6-29-23.**

A. Preamble. The following rules of procedure in student or student organization conduct matters are hereby adopted in order to ensure insofar as possible and practicable (a) that the requirements of procedural due process in student conduct proceedings will be fulfilled by the University, (b) that the immediate effectiveness of Section 10.030, which is Article VI of the Bylaws of the Board of Curators relating to student conduct and sanctions may be secured for all students in the University of Missouri, and (c) that procedures shall be definite and determinable within the University of Missouri. Student or student organization conduct involving discrimination and harassment, including sexual harassment is governed by Section 600.030: *Resolution Process for Resolving Complaints of Sexual Harassment under Title IX*, and Section 600.040: *Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization*.

The student conduct process, which is governed by these rules of procedure, is further intended to implement Section 200.010 Standard of Conduct in a manner that supports the University's mission as an educational institution and protects the University's educational environment. To the extent consistent with those goals, the student conduct process is intended to be a feature of an educational experience for the students involved, with a range of responses that may include educational responses, remedies or sanctions that will help students recognize the impact of their conduct for themselves and on the broader community and advance their academic and personal development.

The provisions of the Standard of Conduct, these Rules of Procedure, and any University policies concerning student conduct do not create any rights, expressly or by implication, in, for, or on behalf of any person or entity other than students and other members of the University community who are governed by such rules.

A-B. Definitions. As used in these rules, the following definitions shall apply:

- 1. Primary Administrative Officers.** As used in these procedures, the Chief Student Affairs Administrator on each campus ~~is~~ shall appoint the Primary Administrative Officer except in cases of academic dishonesty, where the Chief Academic Administrator is the Primary Administrative Officer. Each Primary Administrative Officer may appoint designee(s) who are responsible for the administration of these conduct procedures, provided all such appointments are made in writing and filed with the Chancellor of the campus and the Office of General Counsel. The Primary Administrator's Office will certify in writing that

the given designee has been trained in the administration of student conduct matters.

2. **Student Panelist Pool.** The student panelist pool is a panel of students appointed by the Chief Student Affairs Administrator~~Vice Chancellor for Student Affairs~~, who may participate on the Student Conduct Committee. Specifically, if requested by the accused student or student organization, the Chair of the Student Conduct Committee shall select not more than three students from the Student Panelist Pool to serve as members on the Student Conduct Committee, or not more than two students to serve as members on a Hearing Panel.
3. **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.
4. **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 in all proceedings. ~~and~~The registered faculty/staff advisor may be present, ~~though~~but may not act on behalf of the student organization. The organization may utilize an attorney in all proceedings as it chooses, subject to other provisions in this rule. Each student organization shall designate, and such designation shall be on file with the University, the individual who will receive all notices, findings, determinations and decisions on behalf of the student organization. If the student organization fails to have a designation on file with the University, the President of the organization is the default designee. The registered faculty/staff ~~advisor~~ will also be sent a courtesy copy of all notices, findings, determinations and decisions.
5. **Student Conduct Committee.** As used in these procedures, "Student Conduct Committee," hereinafter referred to as the Committee, is that body on each campus which is authorized to conduct hearings and to make dispositions under these procedures or a Hearing Panel of such body as herein defined.
6. **Hearing Panel.** As used in these procedures, the term "hearing panel" refers to the part of the Student Conduct Committee described in Section 200.020.E.~~43(b)~~ below.
- ~~6-7.~~**Party or Parties.** The term "Party" or "Parties" refers to accused students or student organization and the Primary Administrative Officer in the context of formal procedure and disposition.

~~B-C.~~ **Sanctions.**

1. The following sanctions, when applicable, may be imposed upon any student or student organization found to have violated the ~~Student Conduct Code~~Standard of Conduct. More than one of the sanctions may be imposed for any single violation. Sanctions include but are not limited to:
 - a. Warning. A notice in writing to the student or student organization that there is or has been a violation of the institutional regulations.
 - b. 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 student or student organization is found to be violating any institutional regulation(s) during the probationary period.

- c. Loss of Privileges. Denial of specified privileges of the student or student organization for a designated period of time.
 - d. Restitution. Compensation by the student or student organization for loss, damage, or injury to the University or University property. This may take the form of appropriate service and/or monetary or material replacement.
 - e. Discretionary Sanctions. Work assignments, service to the University or community, or other related discretionary assignments, or completion of educational programming or counseling.
 - f. University [System](#) Housing Suspension. Separation of the student or student organization from University owned or operated housing for a definite period of time, after which the student or student organization is eligible to return. Conditions for readmission may be specified.
 - g. University [System](#) Housing Expulsion. Permanent separation of the student or student organization from University owned or operated housing.
 - h. University [System](#) Dismissal. An involuntary separation of the student from the ~~institution~~ [University System](#) for misconduct. It is less than permanent in nature and does not imply or state a minimum separation time.
 - ~~h.i.~~ [Campus Suspension. A 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 Administrator \(or Designee\) of that campus. Conditions for readmission may be specified.](#)
 - ~~i.j.~~ [University System Suspension. Separation of the student from the University System for a definite period of time, after which the student is eligible to return. Logistical modifications consistent with the sanction imposed, may be granted at the discretion of the Chief Student Affairs Administrator \(or Designee\) of the campus where the modifications would apply. Conditions for readmission may be specified.](#)
 - ~~j.k.~~ [University System Expulsion. Permanent separation of the student from the University System.](#)
 - l. Withdrawal of Recognition. Student organization loses its official approval as a recognized student organization. May be either temporary or permanent. Conditions for future approval may be specified.
- ~~k.2.~~ [The sanctions listed above shall be imposed in a manner that is reasonably proportionate to the violation in question, with consideration given to the severity of the violation, culpability of those involved, past dispositions in similar cases, and other factors as appropriate.](#)
- ~~2.3.~~ **Temporary Action for Suspension of a Student.** The Chancellor or Designee may at any time temporarily suspend, ~~or deny readmission to, or place conditions on the attendance or participation of~~ a student, ~~effective immediately, from the University~~ pending formal procedures when the Chancellor or Designee finds and believes from available information that the ~~presence of a~~ student's [continued](#)

attendance or participation on-campus would seriously disrupt the University operations or constitute a danger to the health, safety, or welfare of members of the University community. The Chancellor or Designee will give the student notice of such temporary action and the detailed reason for it in the same manner as for a Notice of Hearing described in these Rules of Procedure. Notice shall be deemed delivered in the same manner as a Notice of Hearing. Within five (5) business days of delivery of the notice, the student may submit a written response requesting reconsideration and/or modification of the temporary action. The time for submitting such written response may be extended upon written request at the discretion of the Chancellor or Designee for good cause. After due consideration of the response and all relevant circumstances, the Chancellor or Designee will sustain, remove, or modify the temporary action and notify the student of that decision. The appropriate procedure to determine the future status of the student will be initiated within seven (7) business days from the date the temporary action is taken.

3.4. Temporary ~~Suspension of~~ Action for a Student Organization. The Chancellor or Designee may at any time temporarily suspend or place conditions on the 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 student organization might otherwise be eligible, effective immediately, pending formal procedures when the Chancellor or Designee finds and believes from available information that the ~~presence of the~~ student organization's continued recognition, access, or use on-campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The Chancellor or Designee will give the student organization notice of such temporary action and the detailed reason for it in the same manner as for a Notice of Hearing described in these Rules of Procedure. Notice shall be deemed delivered in the same manner as a Notice of Hearing. Within five (5) business days of delivery of the notice, the student organization may submit a written response requesting reconsideration and/or modification of the temporary action. The time for submitting such written response may be extended upon written request at the discretion of the Chancellor or Designee for good cause. After due consideration of the response and all relevant circumstances, the Chancellor or Designee will sustain, remove, or modify the temporary action and notify the student organization of that decision. The appropriate procedure to determine the future status of the student organization will be initiated within seven (7) business days from the date the temporary action is taken.

~~C.D.~~ Records Retention. Student conduct records shall be maintained in accordance with applicable University rules and records retention policies~~for seven years after University action is completed.~~

~~D.E.~~ Policy and Procedures.

1. General Policies and Rights.

a. Standard of proof and presumption of non-responsibility. A student or student organization is presumed not responsible for any alleged violation of the Standard of Conduct until a determination regarding responsibility

is made at the conclusion of the student conduct process. The standard of proof will be “preponderance of the evidence,” defined as determining whether evidence shows it is more likely than not that a violation occurred. The burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rests on the University.

- b. **Other proceedings.** Students may potentially be held accountable through the University’s student conduct process and other educational operations, as well as through other systems, such as the criminal justice system, civil litigation, or proceedings of various regulatory agencies or outside non-governmental organizations. The University’s student conduct process is separate from other systems, and action under the University’s student conduct process may occur before, during or after any proceedings through other systems. The University’s student conduct process, including any hearing, is not a criminal or judicial proceeding and is designed to address student conduct in an educational context; therefore, alleged violations of the Standard of Conduct will be addressed independently of any outcome or proceedings in other non-University systems.

a-c. **General rights of students and student organizations involved in the student conduct 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 receive timely detailed written notice of any charges against them and the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings;
- (5) To have an adviser of the student’s or organization’s choice, who may be, but is not required to be, an attorney, accompany the student or organization’s representatives to all interviews, meetings, hearings and proceedings throughout the conduct process;
- (6) To refuse to have an allegation resolved through informal disposition without prejudice;
- (7) Not to present self-incriminating information;
- (8) To remain silent, with such silence not considered as evidence supporting a finding of a violation;
- (9) To receive written notice of any delay of the process or limited extension of time frames; and
- (10) Not to be subject to charges under these procedures if in a prior proceeding the student or student organization has received a notice of proposed informal disposition or notice of hearing under these rules regarding the same incident of alleged misconduct.

- d. **Responsible action in emergencies.** The University encourages students to take responsible action in emergency situations, even if prohibited conduct may have occurred in conjunction with such an emergency.
- (1) Examples of such responsible action include:
 - (a) Immediately alerting appropriate officials (e.g., calling 911) of the emergency, including providing the student's own name and the location and description of the emergency;
 - (b) Remaining at the scene of the emergency, so long as it is safe to do so; and
 - (c) Cooperating with emergency officials.
 - (2) Decision makers acting under these rules of procedure will favorably consider the positive impact of taking responsible action in an emergency situation when determining the appropriate response to any alleged prohibited conduct by a student or student organization that may have occurred in conjunction with the emergency situation. This may include implementing educational responses or remedies other than conduct proceedings or reduced sanctions. Further, the University will not use statements made by a student in the course of immediately reporting an emergency situation to appropriate authorities as evidence to support a finding of a violation of the Standard of Conduct by the reporting student or a student organization of which the student is a member.
 - (3) Failure to take responsible actions in an emergency situation may be considered an aggravating factor in determining sanctions for prohibited conduct.
 - (4) Students who are acting in capacities as student workers or student volunteers are encouraged to follow applicable policies or training they have received from the university in addressing any emergency situation.
- e. **Confidentiality.** The University must keep confidential the identity of any student who has made a report of alleged prohibited conduct, any student or student organization that has been accused or is otherwise suspected of prohibited conduct, 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. The University will not prevent any review or copying of law enforcement records that is allowed by law.
- f. **Processing fee.** As approved and modified by the Chancellor from time to time, each campus may adopt a processing fee not to exceed \$300 to be charged to any student or student organization found responsible for prohibited conduct to defray costs of the student conduct process. Such fee may be set at different levels for student organizations than for individual students, but shall not otherwise vary by organization or individual.

2. Preliminary Procedures. The Primary Administrative Officer or Designee (hereafter "Primary Administrative Officer") is responsible for application and interpretation of the Standard of Conduct and determining appropriate approaches to implement it. Upon receiving a report of or otherwise becoming aware of potential misconduct, the Primary Administrative Officer will devise and implement an educational response on how to proceed based on relevant factors, including but not limited to the severity of the potential misconduct; health, safety, or welfare of the student and members of the University community; and impact on members of the University community and the educational environment.

a. **Alternative resolutions.** At any point in the process, the Primary Administrative Officer may work with students involved under the circumstances to explore alternative educational solutions or remedies or other alternative resolutions in lieu of formal conduct procedures, findings of responsibility or possible sanctions. Informal negotiated resolutions without necessity of a hearing are encouraged and statements made by a student or student organization or their adviser during such negotiations shall not be used against the student or student organization in later hearings. A student or student organization may refuse to participate in alternative educational solutions or remedies or other alternative resolutions and in the event of such refusal, the matter will be addressed under these Rules of Procedure.

b. **Investigation; Consultations.** The Primary Administrative Officer shall investigate any ~~reported~~ student or student organization misconduct before initiating formal conduct procedures and give the student or student organization the opportunity to present a personal or organizational version of the incident or occurrence. The Primary Administrative Officer shall utilize the preponderance of the evidence standard in deciding whether or not to initiate formal conduct procedures and in deciding whether or not to offer an informal disposition in accordance with Section 200.020.E.2 below. The Primary Administrative Officer may discuss with any student or student organization such alleged misconduct and the student or student organization shall attend such consultation as ~~requested~~ directed by the Primary Administrative Officer. If directing attendance at a consultation, the Primary Administrative Officer will inform the student or student organization of the right to have an adviser attend and participate. Parties involved in the student conduct process are not prohibited from discussing the allegations under investigation or from gathering and presenting relevant evidence. Parties may present witnesses and other inculpatory and exculpatory evidence so long as such evidence is relevant.

c. **Use of Non-Binding Student Courts, Etc.** The Primary Administrative Officer, in making an investigation and informal disposition, may choose to utilize student courts and boards and/or divisional deans to make non-binding recommendations to the Primary Administrative Officer. In that event, the Primary Administrative Officer shall notify the student or

student organization of the identity and contact information of the student court, board, or divisional dean from which a recommendation is being sought. Such notification also shall inform the student or student organization that participation in any proceeding before the student court, board, or divisional dean is voluntary on the part of the student or student organization and that any resulting recommendation is non-binding. There will be no adverse consequence or inference from declining to participate in any proceeding before the student court, board, or divisional dean. Neither the choice to decline to participate nor the recommendation of the student court, board, or divisional dean will be shared with the Committee in connection with any subsequent hearing.

- d. **Departure from University During Process.** Should a student decide to leave the University and not participate in the investigation or other steps of the student conduct process without signing a Voluntary Permanent Separation and General Release Agreement and without the approval of the Primary Administrative Officer, the Primary Administrative Officer may place a hold up on the student's readmission and the student will not be permitted to return to the University System until the student conduct process is completed with respect to the potential prohibited conduct. Should a student organization decide to abandon recognition by the University and not participate in the investigation or other steps of the student conduct process, the Primary Administrative Officer may direct that the student organization may not be granted recognition in the future until the student conduct process is completed with respect to the potential prohibited conduct.

2.3. Informal Dispositions. The Primary Administrative Officer shall have the authority to ~~make~~ propose an informal disposition consisting of a preliminary determination and to propose appropriate remedies and/or sanctions. ~~and shall fix a reasonable time within which the student or student organization shall accept or reject a proposed informal disposition~~ The Primary Administrative officer shall provide written notice of the proposed informal disposition. The notice shall inform the student or student organization that the failure to reject the proposed informal disposition within ten (10) business days may be considered as acceptance. -If A failure of the student or student organization fails to submit a rejection to the Primary Administrative Officer either to accept or reject within the time fixed ten (10) business days, may be deemed by the University to be an acceptance of the determination, provided the student or student organization has received written notice of the proposed determination and the result of the student or student organization's failure to formally reject and, in such event, the proposed informal disposition shall become final upon expiration of such time. The time for rejecting the informal disposition may be extended upon written request at the discretion of the Primary Administrative Officer for good cause. If the student or student organization rejects informal disposition it must be in writing and shall be forwarded to the Committee. The Primary Administrative Officer may refer cases to the Committee without first offering informal disposition.

3.4. Formal Procedure and Disposition.

a. Student Conduct Committee:

(1)

~~(1)~~ The Committee shall be appointed by the ~~Vice Chancellor for Student Affairs~~ Chief Student Affairs Administrator and shall have the authority to impose appropriate sanctions upon any accused student or students or student organization appearing before it.

(2)

~~(2)~~ When deemed appropriate or convenient by the Chair of the Committee, the Chair may divide the Committee into Hearing Panels each consisting of no less than five (5) Committee members of which no more than two (2) shall be students. If the Chair creates such Hearing Panels, the Chair of the Committee shall designate a Hearing Panel Chair. A Hearing Panel has the authority of the whole Committee in those cases assigned to it. The Chair of the Committee or a Hearing Panel Chair shall count as one member of the Committee or Hearing Panel and have the same rights as other members.

(3)

~~(3)~~ The ~~Vice Chancellor for Student Affairs~~ Chief Student Affairs Administrator shall appoint a panel of students, to be known as the Student Panelist Pool. Upon written request of an accused student or the student organization designee before the Committee made at least seventy-two (72) hours prior to the hearing, the Chair of the Committee shall appoint from the Student Panelist Pool not more than three students to sit with the Committee or the Hearing Panel Chair shall appoint two students to sit with the Hearing Panel for that particular case. When students from the Student Panelist Pool serve as members of the Committee or as members of the Hearing Panel, they shall have the same rights as other members of the Committee or Hearing Panel.

(4) The Chief Student Affairs Administrator shall ensure that members of the Committee and Student Panelist Pool receive training on the Standard of Conduct and these Rules of Procedure. Members of the Committee and Student Panelist Pool will be removed if they fail to satisfy training requirements, as determined by the Chief Student Affairs Administrator.

(5) Hearing Panel members, including the chair, or other Student Conduct Committee members who are to participate in the hearing of a case shall not have a conflict of interest with respect to or bias for or against accused students or student organizations generally, or for or against any Party, individual who reported alleged prohibited conduct, or Party affected by the alleged prohibited conduct. If such a member identifies a conflict of interest or bias, or otherwise cannot make an objective determination, the member must recuse from the proceedings in advance of the hearing.

~~(4)~~(6) The accused student or student organization will have been given the names of the Committee or Hearing Panel members and Chair who will hear the case in the Notice of Hearing. Should any accused student or student organization object to any member or chair, they must raise all objections, in writing, to the Chief Student Affairs Administrator no later than five (5) business days prior to the hearing unless, for good cause, the Chief Student Affairs Administrator allows objections to be raised later. Such objection shall be confidential and shall not be disclosed to the Committee or Hearing Panel. A member may be unseated by the Chief Student Affairs Administrator for good cause. Good cause may include, but is not limited to, bias that would preclude an impartial hearing or circumstances in which the member's or chair's involvement could impact the accused student's work or learning environment due to current or potential interactions with the member or chair (e.g., a panel member serving as an instructor or adviser to the accused student or student organization). If the Chief Student Affairs Administrator determines that a member or chair should be replaced, the Chief Student Affairs Administrator will select a replacement from the Student Conduct Committee. The Chief Student Affairs Administrator will provide a written response to all Parties addressing any objections to a member or chair.

- b. **General Statement of Procedures.** A student or student organization accused of violating the Student Conduct Code is entitled to a written notice of the specific charges at issue and a formal hearing unless the matter is disposed of under the rules for informal disposition. Student conduct proceedings serve educational purposes identified in the Standard of Conduct and these Rules of Procedure and are not to be construed as judicial trials. ~~and need not wait for legal action before proceeding~~ Formal rules of evidence and civil procedure do not apply; but care shall be taken to comply as fully as possible with the spirit and intent of the procedural safeguards set forth ~~herein~~ in these Rules of Procedure. For formal hearing dispositions, decisions on responsibility for conduct violations must be based on relevant information submitted at the hearing, and any relevant information provided to the hearing panel in advance of the hearing with notice to the accused student or student organization and the Primary Administrative Office and the opportunity for the Parties to respond to such information. The Office of the General Counsel shall be legal adviser to the Committee and the Primary Administrative Officer, but the same attorney from the Office of the General Counsel shall not perform both roles with regard to the same case and attorneys from the Office of the General Counsel performing distinct roles on the same case will not discuss the merits of the case with one another.
- c. **Notice of Hearing.** At least ~~fourteen~~ twenty (~~14~~20) business days prior to the Student Conduct Committee Hearing, or as far in advance as is reasonably possible if an accelerated resolution process is scheduled with the consent of the accused student or student organization, the Primary Administrative Officer will send a letter to the accused student or student

organization (or to the student or student organization's adviser if requested by the student or student organization) with the following information:

- (1) ~~(1)~~ A detailed description of the alleged ~~violation(s)~~ conduct at issue and applicable policies, rules, or regulations alleged to be violated;
- (2) ~~(2)~~ A description of the applicable procedures, including right to have an adviser, who may be, but is not required to be, an attorney;
- (3) ~~(3)~~ A statement of the potential sanctions/remedial actions that could result;
- (4) A statement notifying the student or student organization that they will be permitted to inspect, copy, and review any evidence obtained as part of the investigation that is directly related to the allegations to be addressed at the hearing, including the evidence upon which the University does not intend to rely in reaching a determination regarding responsibility and including inculpatory or exculpatory evidence;
- (5) 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 student conduct process, and all documentary evidence must be genuine and accurate;
- (6) A statement that nothing in these procedures is intended to alter any rights the individual may have under applicable state or federal statutory laws or the U.S. Constitution;
- (7) The names of the Committee or Hearing Panel members and Chair who will hear the case, and information on how to raise an objection to any member or chair and the timeline in which to raise any objections; and
- ~~(1)~~(8) ~~(4)~~ The time, date and location of the hearing. If any Pparty does not appear at the hearing, the hearing will be held in their absence. ~~For compelling reasons, the hearing may be rescheduled.~~

This Notice of ~~Charges~~ Hearing letter will be made in writing and will be delivered either: 1) in person, 2) by email only to the Party's University-issued email account if the Party has consented electronically or in writing to receipt of all notifications by email; or 3) mailed to the mailing address of the respective Party as indicated in the official University records and emailed to the Party's University-issued email account. If there is no local address on file, mail will be sent to the Party's s permanent address. Notice

also shall be mailed and emailed to the Party's adviser, if an adviser has been identified by the Party.

Notice is presumptively deemed delivered, when: 1) provided in person or 2) emailed to the ~~individual~~ Party (when prior consent - whether electronically or in writing - has been given to receipt of all notifications by email or 3) when mailed and emailed to the Party and the Party's adviser, if an adviser has been identified by the Party.

Any request to reschedule the hearing shall be made in writing to the Chair, who shall have the authority to reschedule the hearing if the request is timely and made for good cause. The Chair shall notify the Primary Administrative Officer and the accused student or student organization of the new date for the hearing. If the accused student or student organization fails to appear at the scheduled time, the Committee may hear and determine the matter.

~~4.5.~~ Right to Petition for Review: ~~(other than University expulsion, University dismissal, or University suspension or Withdrawal of Recognition).~~

- a. ~~In all cases where the sanction imposed by the Committee is other than University expulsion, University dismissal, University suspension or Withdrawal of Recognition~~ Except in cases where a right of appeal applies, the Primary Administrative Officer or the accused student or student organization may petition the Chancellor or Designee in writing for a review of the decision within ~~five~~ ten (~~5~~ 10) business days after written notification. A copy of the Petition for Review must also be served upon the non-appealing ~~p~~ Party or ~~p~~ Parties within such time. The Petition for Review must state the grounds ~~or reasons~~ for review in detail, and the non-appealing ~~p~~ Party or ~~p~~ Parties may answer the petition within ~~five~~ ten (~~5~~ 10) business days. Upon written request, the Chancellor or Designee may extend the time for petition or answer for good cause.
- b. The Chancellor or Designee (~~hereafter "the Chancellor"~~) may grant review or refuse ~~the right of to~~ review the decision. In all cases where the Petition for Review is refused, the action of the Committee shall be final. If review is granted, the Chancellor or Designee ~~reviews the decision~~ may affirm, reverse or modify the decision, or remand the case for further proceedings. ~~;~~ The action of the Chancellor or Designee after review shall be final unless it is to remand the matter for further proceedings.

~~5.6.~~ Right of Appeal (involving issues of University expulsion, University dismissal, University suspension or Withdrawal of Recognition only).

- a. When an accused student is expelled, dismissed, or suspended from the University or when a student organization has its recognition withdrawn, either temporarily or permanently, by the Committee or when such sanctions have been expressly requested by the Primary Administrative Officer and refused by the Committee, the Primary Administrative Officer or ~~;~~ the accused student or student organization may appeal such decision

to the Chancellor by filing written notice of appeal stating the grounds ~~or reasons~~ for appeal in detail with the Chancellor within ten (10) business days after notification of the decision of the Committee. The appealing ~~P~~party may file a written memorandum for consideration by the Chancellor with the Notice of Appeal. A copy of the Notice of Appeal and any memorandum must also be served upon the non-appealing Party or Parties within such time, and the Chancellor may request any other Party may submit a reply to such memorandum by the appropriate party within ten (10) business days. Upon written request, the Chancellor or Designee may extend the time for appeal or reply for good cause.

- b. The Chancellor shall review the record of the case and the appeal documents and may affirm, reverse or modify the decision, or remand the case for further proceedings. The Chancellor shall notify the accused student or student organization in writing of the decision on the appeal. The action of the Chancellor shall be final unless it is to remand the matter for further proceedings.

7. **Grounds for Review or Appeal.** Grounds for appeals are limited to the following:

- a. A material deviation from established procedures that affected the outcome of the matter;
- b. To consider new evidence that was not reasonably available at the time the decision was made that could affect the outcome of the matter;
- c. The Committee members or Student Panelists demonstrated a conflict of interest or bias against students or student organizations generally or against the particular student or student organization that affected the outcome of the case; and/or
- d. The sanctions fall outside the range typically imposed for this offense, or for the cumulative conduct record of the student or student organization.

Review or appeal is not intended to be a full rehearing of the case and is 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 review or appeal. A review or appeal granted based on new evidence should normally be remanded to the original decision- maker for reconsideration. The Chancellor or Designee will normally render a written decision, with an explanation of reasons, on the review or appeal to all Parties within ten (10) business days after receiving the answer or reply, or after the deadline for answer or reply has passed without a submission being made. In the event the Chancellor or Designee is unable to render a written decision within ten (10) business days, the Chancellor or Designee will promptly notify the Parties in writing of the delay. Once a review or appeal is decided, the outcome is final. Further appeals and grievances are not permitted.

~~6.8.~~**Status During Appeal.**

- a. In cases of suspension, dismissal, or expulsion where a Notice of Appeal is filed within the required time, a student may petition the Chancellor in

writing for permission to attend classes pending final determination of appeal. The Chancellor may permit a student to continue in school under such conditions as may be designated pending completion of appellate procedures, provided such continuance will not seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. In such event, however, any final sanctions imposed shall be effective from the date of the action of the Committee.

- b. In cases of withdrawal of recognition where a Notice of Appeal is filed within a required time, a student organization may petition the Chancellor in writing to stay the withdrawal of recognition while the appeal is pending. The Chancellor may stay the withdrawal of recognition under such conditions as may be designated pending completion of appellate procedures, provided such continuance will not seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community.

~~7.9.~~**Student Honor System.** Forums under the student honor systems established for investigating facts, holding hearings, and recommending and imposing sanctions are authorized when the student honor code or other regulations containing well defined jurisdictional statements and satisfying the requirements of ~~Section 10.030, which is~~ Article VI of the Bylaws of the Board of Curators, Section 10.030, have been reduced to writing and have been approved by the Chancellor and the Board of Curators and notice thereof in writing has been furnished to students subject thereto. Though the student honor system has jurisdiction, together with procedures set forth therein, instead of the Primary Administrative Officer, the standard of conduct called for in any such student honor system shall be deemed to contain at a minimum the same standards set forth in Section 200.010, entitled Standards of Conduct. Procedures shall satisfy the requirements of Article VI of the Board of Curators' Bylaws, Section 10.030, ~~which is Article V,~~ and shall contain procedures herein before stated insofar as appropriate and adaptable to the particular situation. Before it can be implemented, a student honor system and any amendment to a student honor system must be approved as provided herein. A proposed student honor system or amendment must be approved by the applicable dean, then the Chancellor, and then the Office of the General Counsel. After such approvals, the proposed student honor system or amendment must be submitted to the Board of Curators for approval. ~~and shall be approved by the Chancellor and the General Counsel.~~ Students subject to student honor systems shall have the rights of appeal as set forth in Section 200.020.E.6 and 7.

~~E-F.~~ **Hearing Procedures.**

1. **Pre-Hearing ~~Disclosures~~ ~~Witness List and Documentary Evidence.~~**

- a. **Primary Administrative Officer's Disclosure.** At least ~~seven~~ ten (710) business days prior to the hearing, the Primary Administrative Officer will provide the accused student or student organization, the student's or organization's adviser if an adviser has been identified by the student or organization, and the Chair:

- (1) An investigative report that fairly summarizes the relevant evidence in an electronic format or hard copy for their review and any written response as described below;
- (2) ~~the student or representatives of the student organization will provide the Primary Administrative Officer a~~ A list of the names of the proposed witnesses to be called by the Primary Administrative Officer; and
- (3) ~~e~~ Copies of all proposed documentary, photographic, video, or audio evidence;
- (4) Notification that all of the evidence gathered in the course of the investigation that is directly related to the allegations to be addressed at the hearing is available to the student or student organization and instructions regarding how to request access to that information, which shall include evidence upon which the University does not intend to rely in reaching a determination regarding responsibility and including inculpatory or exculpatory evidence;

1. If any evidence that otherwise would have been subject to inclusion in the notice is received after the notice is issued, such evidence will be provided to the accused student or student organization as soon as practicable before the hearing date; and

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

b. Student or Student Organization's Disclosure. At least five (5) business days prior to the hearing, the accused student or student organization will provide to the Primary Administrative Officer and the Chair:

- (1) Any written response to the investigative report that the student or student organization may wish to submit;
- (2) ~~will have~~ A list of the names of proposed witnesses to be called by the student or student organization and the name of any adviser who will be attending; and
- (3) ~~e~~ Copies of all ~~pertinent~~ proposed documentary, video, or audio evidence.

a.c. Rebuttal Disclosure. If the Primary Administrative Officer identifies rebuttal witnesses or evidence to be called or submitted, the Primary Administrative Officer shall provide notice of such witnesses or evidence to the accused student or student organization at least two (2) business days before the hearing. ~~and a copy of any investigative report available for the student or representatives of the student organization, and a copy of the same will be sent to the Hearing Panel Chair.~~

2. Request for Alternative Attendance or Questioning Mechanisms. The Chair, in consultation with and by agreement of the Parties, may decide in advance of the hearing that certain witnesses do not need to be physically present if their testimony can be adequately summarized in the investigative report or during the

hearing. All Parties will have ample opportunity to present facts and arguments in full and question and cross examine all present witnesses during the hearing. All Parties shall have the right to have an adviser, who may be, but is not required to be, an attorney, participate in the hearing.

All hearings will be live (in person or virtually). 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 Committee, the Parties and their advisers to simultaneously see and hear the Party or the witness answering questions. Should any hearing take place in this manner, the Chief Student Affairs Administrator 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. Such witnesses, however, shall still be subject to cross-examination.

2.3. Conduct of Hearing. The Chair shall preside at the hearing, call the hearing to order, call the roll of the Committee in attendance, ascertain the presence or absence of the student or representatives of the student organization accused of misconduct, ~~read the notice of hearing and charges,~~ verify the receipt of notices of ~~charges~~ hearing by the student or student organization, report any continuances requested or granted, establish the presence of any adviser ~~or counselor~~ of the student or student organization (who may be, but is not required to be, an attorney) and the registered faculty/staff adviser of the student organization, and call to the attention of the accused student or student organization and the adviser any special or extraordinary procedures to be employed during the hearing and permit the student or student organization to make suggestions regarding or objections to any procedures for the ~~Conduct~~ Committee to consider.

a. Opening Statements.

(1) The Primary Administrative Officer shall make opening remarks outlining the general nature of the case ~~and testify to any facts the investigation has revealed.~~

(2) The accused student or student organization or adviser may make a statement to the Committee about the charge at this time or at the conclusion of the University's presentation.

b. University Evidence.

(1) The Primary Administrative Officer may state any facts the investigation has revealed. University witnesses are to be called and identified or written reports of evidence introduced as appropriate. The Committee or Panel may not rely on information in a report provided by a witness whose identity has not been disclosed to the accused Party.

(2) The Committee may question witnesses at any time.

(3) The accused student or student organization or ~~with permission of the Committee,~~ the adviser ~~or counselor~~ may question and cross examine witnesses or examine evidence at the conclusion of the University's presentation.

c. **Accused Student or Student Organization Evidence.**

(1) If the accused student or student organization has not elected to make a statement earlier under a.(2) above, the accused student or student organization or adviser shall have the opportunity to make a statement to the Committee about the charge.

(2) The accused student or student organization may present evidence through witnesses or in the form of written memoranda.

(3) The Committee or Hearing Panel may question the accused student or representatives of the accused student organization or witnesses at any time. The Primary Administrative Officer may question the accused student or witnesses. Provided, however, that the accused student or student organization retains the right to remain silent and such silence shall not be considered as evidence supporting a finding of a violation.

d. **Rebuttal Evidence.** The Committee may permit the University or the accused student or student organization or adviser to offer a rebuttal of the others' presentation(s).

e. **Rights of Student Conduct Committee.** The Committee shall have the right to:

(1) Hear together cases involving more than one student or more than one student organization which arise out of the same transaction or occurrence, but in that event shall make separate findings and determinations for each student or student organization;

(2) Permit a stipulation of facts by the Primary Administrative Officer and the student or student organization involved;

(3) Permit the incorporation in the record by reference of any documentation, produced and desired in the record by the University or the accused, provided the other Party has had an opportunity to review and respond to the documentation;

(4) Question witnesses or challenge other evidence introduced by either the University or the student or student organization at any time;

(5) Hear from the Primary Administrative Officer about dispositions made in similar cases and any dispositions offered to the accused student or student organization appearing before the Committee;

(6) Call additional witnesses or require additional investigation;

(7) Dismiss any action at any time or permit informal disposition as otherwise provided;

(8) Permit or require at any time amendment of the Notice of Hearing to include new or additional matters which may come to the attention of the Committee before final determination of the case; provided, however, that in such event the Committee shall grant to the student or student organization or Primary Administrative Officer such time as the Committee may determine reasonable under the circumstances to answer or explain such additional matters;

(9) 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 Committee; and

(10) Suspend summarily students from the University who, during the

hearing, obstruct or interfere with the course of the hearing or persistently fail to abide by the ruling of the Chair of the Committee on any procedural question or request of the Chair for order.

~~e.f.~~ **Communications.** The Committee shall avoid communication with either Party or their advisers regarding the merits of a pending case prior to the hearing without the other Party or its adviser included. Communications for purposes of scheduling are permitted.

~~3.4.~~ **Rights of Accused Upon Hearing.** A student or student organization appearing before a Committee shall have the right to:

- a. Be present at the hearing, which right may be waived by either written notification to the Chair or by failure to appear;
- b. Have an adviser (who may be, but is not required to be, an attorney) present ~~or counselor and to consult with such adviser or counselor~~ during the hearing, who may actively participate and assist the student as described herein;
- ~~b.c.~~ To testify at the hearing or refuse to testify at the hearing;
- ~~e.d.~~ Hear or examine evidence presented to the Committee;
- ~~d.e.~~ Question witnesses present and testifying;
- ~~e.f.~~ Present evidence by witnesses or affidavit;
- g. Make any statement to the Committee in mitigation or explanation of the conduct in question;
- ~~f.h.~~ Request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other;
- ~~g.i.~~ Be informed in writing of the findings of the Committee and any sanctions it imposes; and
- ~~h.j.~~ Request review or appeal to the Chancellor or Designee as herein provided.

5. Rights of the Primary Administrative Officer Upon Hearing. The Primary Administrative Officer appearing before a Committee shall have the right to:

- a. Be present at the hearing;
- b. Have an attorney from the Office of the General Counsel present as legal adviser to the Primary Administrative Officer, who may actively participate and assist the Primary Administrative Officer as described herein;
- c. To state any facts the investigation has revealed;
- d. Hear or examine evidence presented to the Committee;
- e. Question witnesses present and testifying;
- f. Present evidence by witnesses or affidavit;
- g. Request that the hearing be held virtually, with technology enabling participants simultaneously to see and hear each other;
- h. Be informed in writing of the findings of the Committee and any sanctions it imposes; and
- i. Request review or appeal to the Chancellor or Designee as herein provided.

~~4.6.~~ **Determination by the Student Conduct Committee.** The Committee shall make its findings and determinations based on the preponderance of the evidence in

executive session out of the presence of the Primary Administrative Officer and the accused student or student organization. Separate findings are to be made:

- a. As to the conduct of the accused student or student organization, and
- b. On the sanctions, if any, to be imposed. No sanctions shall be imposed on the accused student or student organization unless a majority of the Committee present is convinced by the preponderance of the evidence that the student or student organization has committed the violation charged. In determining what sanction, if any, is appropriate, the Committee may take into consideration the previous disciplinary history of the accused student or student organization.

7. Official Report of Findings and Determinations. The Committee shall promptly consider the case on the merits and make its findings and determination and transmit them to the Primary Administrative Officer/Designee(s) and the accused student or student organization designee. The Committee's report shall detail the following:

- a. Identification of the allegations potentially constituting prohibited conduct and the determination of the Committee;
- b. A description of the procedural steps taken;
- c. Findings of fact supporting the determination and any information the Committee excluded from its consideration and why;
- d. Conclusions regarding the application of the University's Standard of Conduct to the facts;
- e. A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility;
- f. Any disciplinary sanctions to be imposed on the student or student organization; and
- ~~e.g.~~ The procedures and permissible bases for the Parties to seek review or appeal.

8. Other Evidentiary and Procedural Questions. The relevancy and admissibility of any evidence offered and Procedural questions ~~which arise during the hearing not covered by these general rules~~ shall be determined by the Chair, whose ruling shall be final unless the Chair shall present the question to the Committee at the request of a member of the Committee, in which event the ruling of the Committee by majority vote shall be final. In considering evidentiary and procedural questions, the Chair will apply the following rules:

- a. The Chair has the discretion to determine the relevance of any witness or documentary evidence and may exclude any witness, document, or information that is irrelevant, immaterial, cumulative, or more prejudicial than informative.
- b. The Committee shall consider the trustworthiness of all oral or written statements and no oral or written statement shall be considered if the source of the statement has not been disclosed to the Committee and the Parties.
- 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 a Party's

character is of limited utility and shall not be admitted unless deemed relevant by the decision-maker.

- 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 decision-maker.
- e. A student'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 student, may not be used without that student's express consent.
- d.f. The Chair and Committee 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.

5.9. General Rules of Decorum. The following general rules of decorum shall be adhered to:

- a. All requests to address the Committee shall be addressed to the Chair.
- b. The Chair will rule on all requests and points of order and may consult with Committee's legal adviser prior to any ruling. The Chair's ruling shall be final and all participants shall abide thereby, unless the Chair shall present the question to the Committee at the request of a member of the Committee, in which event the ruling of the Committee by majority vote shall be final.
- b.c. The Chair or Committee may dismiss any person from the hearing who interferes with or obstructs the hearing or fails to abide by the rulings of the Chair or the Committee.
- e.d. Rules of common courtesy and decency shall be observed at all times.

10. Advisers / Attorneys. A student or student organization may have a~~An~~ adviser, who may be, but is not required to be, an attorney. Prior to the hearing, the adviser may communicate with the Chair on behalf of the student or student organization, including raising questions or objections or making requests regarding procedural matters.

At the hearing, the adviser may ask any witnesses all relevant questions and follow-up questions, including those challenging credibility, and conduct cross-examination and other questioning. ~~or counselor may be permitted to address the Committee at the discretion of the Committee.~~ An adviser or counselor may request clarification of a procedural matter or object on the basis of procedure at any time by addressing the Chair after recognition. An adviser may make presentations and speak on behalf of their Party and may consult with the student or representatives of the student organization quietly or in writing, or outside the hearing during breaks.

11. Record of Hearing. An audio, video, digital or stenographic record of the hearing shall be maintained. The notice, exhibits, hearing record and the findings and determination of the Committee shall become the "Record of the Case" and shall be filed in the Office of the Primary Administrative Officer and for the purpose of review or appeal be accessible at reasonable times and places to the University,

and the accused student(s) or student organization designee.

- ~~6.12.~~ **Transcripts.** Information regarding expulsions will be noted on transcripts and shared system-wide. The Primary Administrative Officer will inform the Registrar or designee, who will make the transcript notation.

Executive Summary

New Degree Program, MLS in Master of Legal Studies University of Missouri – Kansas City

The Master's in Legal Studies (MLS) provides master's-level training for non-lawyers who work in jobs that would benefit from legal skills and a deeper understanding of law and the legal system but who do not want to make the commitment to obtain a three- year professional JD degree. The MLS program requires completion of 30 credit hours in a part-time, online modality completed over five semesters allowing students to maintain full-time employment.

An example of a typical MLS student is a human resources professional who would benefit from legal training to improve performance and better interact with lawyers. Such a person may not want to complete the JD degree because it is highly selective, requires three years of full-time study (91 credit hours), and is designed to prepare students for licensure as attorneys. The MLS program is one-third of the credit hours and provides knowledge and skills to help students perform better in their current jobs and to prepare for advancement and promotion within their current career track.

The MLS program will fill a market need in the Kansas City metropolitan area, with a larger draw from Kansas and Missouri more generally. Legal skills are in high demand in job postings for various non-lawyer positions that are growing. Although more than 80 law schools now offer an MLS-type of degree, none of those programs target the Kansas City metropolitan area. Washington University in St. Louis offers an online MLS program, but at a much higher price-point (\$64,000 compared to approximately \$21,000 for the UMKC MLS) and focuses on a national market. Washburn University School of Law has a small (six students), in-residence Master of Studies in Law program in Topeka, Kansas.

Nationally, enrollment in online MLS programs has grown at a very rapid pace since 2013. Although data that segregates the MLS programs from LLM programs is not available, the vast majority of online non-JD programs are MLS-type programs. Enrollment in online non-JD programs has grown by 448% from 2013 to 2020, from 1,677 students in 2013 to 9,187 in 2020. Market research by prospective partners suggests that demand for UMKC's MLS program will be strong. One prospective partner projected enrollment of 85 students (incoming and returning) annually, another projected enrollment of 114, and Missouri Online projects 129 students annually.

UMKC School of Law's resources and experience in training JD and LLM students makes the MLS program economically feasible. The law school will direct some time from current faculty to teach MLS students (as a part of their annual teaching load or in courses combining MLS and JD students) and will hire a full-time director of the program and some adjunct faculty to meet teaching needs. Marketing of the program through Missouri Online will be supported initially by the UMKC Provost Office and revenue from the program will cover those initial costs and future marketing expenses with 2 years. Under these circumstances, the program is projected to produce a positive direct margin in its second year of operation and thereafter.

No. 2

Recommended Action – MLS in Master of Legal Studies – University of Missouri- Kansas City

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 – Kansas City be authorized to submit the attached proposal for a MLS in Master of Legal Studies to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee: YES NO

Curator Blitz

Curator Graves

Curator Layman

Curator Sinquefield

The motion _____.

Roll call vote of Board: YES NO

Curator Blitz

Curator Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Sinquefield

Curator Wenneker

Curator Williams

The motion_____.

New Degree Program Proposal:

Master's in Legal Studies

University of Missouri - Kansas City
June 2023 Board of Curators Meeting

Contents

Executive Summary.....	3
1. Introduction.....	4
2. University Mission & Program Analysis.....	5
2.A. Alignment with University Mission & Goals	5
2.B. Duplication & Collaboration Within Campus, Across System	7
3. Business-Related Criteria & Justification.....	8
3.A. Market Analysis.....	8
3.A.1 Rationale & Workforce Demand for the Program	8
3.A.2 Student Demand for the Program.....	12
3.B. Financial Projections.....	15
3.B.1 Additional Resources Needed	16
3.B.2. Revenue	17
3.B.3. Net Revenue	18
3.B.4. Academic and Financial Viability	20
3.C. Business Plan: Marketing, Student Success, Transition & Exit Strategies.....	20
3.C.1 Marketing Plan	20
3.C.2. Student Success Plan.....	21
3.C.3. Transition Plan	21
3.C.4. Exit Strategy	22
4. Institutional Capacity.....	22
5. Program Characteristics	24
5.A. Program Outcomes.....	24
5.B. Program Design & Content.....	25
5.C. Program Structure	32
5.C.1. Program Structure Form.....	33
5.D. Program Goals and Assessment.....	34
5.E. Student Preparation	35
5.F. Faculty and Administration.....	36
5.G. Alumni and Employer Survey	37
5.H. Program Accreditation	38
6. Appendices.....	38

Executive Summary

The Master's in Legal Studies (MLS) provides master's-level training for non-lawyers who work in jobs that would benefit from legal skills and a deeper understanding of law and the legal system but who do not want to make the commitment to obtain a three- year professional JD degree. The MLS program requires completion of 30 credit hours in a part-time, online modality completed over five semesters allowing students to maintain full-time employment.

An example of a typical MLS student is a human resources professional who would benefit from legal training to improve performance and better interact with lawyers. Such a person may not want to complete the JD degree because it is highly selective, requires three years of full-time study (91 credit hours), and is designed to prepare students for licensure as attorneys. The MLS program is one-third of the credit hours and provides knowledge and skills to help students perform better in their current jobs and to prepare for advancement and promotion within their current career track.

The MLS program will fill a market need in the Kansas City metropolitan area, with a larger draw from Kansas and Missouri more generally. Legal skills are in high demand in job postings for various non-lawyer positions that are growing. Although more than 80 law schools now offer an MLS-type² of degree, none of those programs target the Kansas City metropolitan area. Washington University in St. Louis offers an online MLS program, but at a much higher price-point (\$64,000 compared to approximately \$21,000 for the UMKC MLS) and focuses on a national market. Washburn University School of Law has a small (six students), in-residence Master of Studies in Law program in Topeka, Kansas.

Nationally, enrollment in online MLS programs has grown at a very rapid pace since 2013. Although data that segregates the MLS programs from LLM programs is not available, the vast majority of online non-JD programs are MLS-type programs.

Enrollment in online non-JD programs has grown by 448% from 2013 to 2020, from 1,677 students in 2013 to 9,187 in 2020. Marketing research by prospective partners suggests that demand for UMKC's MLS program will be strong. One prospective partner projected enrollment of 85 students (incoming and returning) annually, another projected enrollment of 114, and Missouri Online projects 129 students annually.³

UMKC School of Law's resources and experience in training JD and LLM students makes the MLS program economically feasible. The law school will direct some time from current faculty to teach MLS students (as a part of their annual teaching load or in courses combining MLS and JD students) and will hire a full-time director of the program and some adjunct faculty to meet teaching needs. Marketing of the program through Missouri Online will be

² There are a variety of names used for this program in addition to Master's in Legal Studies. See American Bar Association, Overview of Post-J.D. and Non-J.D. Programs (2023), available at https://www.americanbar.org/groups/legal_education/resources/llm-degrees_post_j_d_non_j_d/

³ In developing the MLS proposal, UMKC School of Law considered three possible outside partners: AllCampus, Carolina Academic Press, and Everspring. Each potential partner did its own market research and analysis and made a proposal to the School of Law. Some of their market research is relied upon in this proposal. Two proposals were revenue-sharing with up-front marketing costs borne by the partner. One was a fee-for-service proposal for marketing support. The School of Law also met with representatives of Missouri Online to evaluate the use of its services compared to the proposals received from prospective third-party partners, and with the input and support of the Provost at UMKC, the School of Law decided to work with Missouri Online rather than any of the prospective partners considered.

supported initially by the UMKC Provost Office and revenue from the program will cover those initial costs and future marketing expenses with 2 years. Under these circumstances, the program will produce a positive direct margin in its second year of operation and thereafter.

1. Introduction

The Master's in Legal Studies (MLS) provides master's-level legal training for non-lawyers. It requires completion of 30 credit hours in a part-time, online modality over five semesters. Students will be required to take five introductory courses (11 credit hours) and two required capstone courses (3 credit hours). The remaining 16 credits will be electives. In addition to a general MLS, students may choose an emphasis in compliance, health law, or human resources law, areas that are in high demand. To satisfy the emphasis, students must take at least 12 credits from approved emphasis courses. The required introductory classes will be for MLS students only modeled on courses currently offered to JD and LLM students. Elective classes will include some that combine JD/LLM and MLS enrollment. Classes will be taught by full-time faculty (tenure-track and non-tenure track), by a director of the program, and by some adjunct faculty.

The MLS is designed for those who are currently working in fields that require some legal knowledge and skills. The part-time, online modality allows students to maintain full-time employment. One of the capstone courses, the Learning from Practice Seminar, will allow students to reflect on their work experience with an academic framing. Students will typically proceed within their career path with improved knowledge and skills making them more effective and providing skills for promotion and advancement.

For example, a human resources specialist currently works with many labor and employment law issues. The MLS will provide training to improve that person's understanding of the law and their skills in using it and will help the person interact more effectively with legal professionals. The MLS graduate will have skills to take on greater responsibilities within their current role and will be qualified for promotion to, for example, a Human Resources Manager and perhaps eventually to Vice President of Human Resources.

The MLS addresses a different market than the JD program, which is designed to prepare lawyers for legal practice. The MLS program will take less time and will be about one-third the cost of a JD degree. Students will choose the MLS program if they want improved legal knowledge and skills but do not want to become a practicing lawyer.

The School of Law became aware of the need for this kind of legal training some years ago through its continuing legal education program which serves non-lawyers as well as lawyers. A decline in JD enrollment that started in 2011 created an incentive for many law schools to explore serving this new market to diversify while using their existing expertise. In the past ten years, some eighty law schools nationally have developed and are offering an MLS program or its equivalent. UMKC's MLS program will be the first one in the Kansas City metropolitan area.

The person currently responsible for the program is Jeffrey E. Thomas, Associate Dean for Strategic Initiatives and Graduate Programs, thomasje@umkc.edu, 816-235-2378. Once the program is approved, the Provost of UMKC has authorized initial funding to hire a Director of the MLS. This person will have demonstrated expertise in online teaching, a masters or JD degree, experience with higher education program management, and teaching experience. Preferred qualifications include experience with law education, experience with MLS programs/students, teaching experience in law, and marketing or recruiting experience. After the first year, the program is projected to generate sufficient revenue to cover the salary and benefits for the director.

2. University Mission & Program Analysis

2.A. Alignment with University Mission & Goals

The University of Missouri System's mission includes the "dissemination . . . and application of knowledge." The MLS program will disseminate legal knowledge and legal skills to a new market segment, non-lawyers who work with the law.

The University of Missouri System also "promotes lifelong learning by Missouri's citizens" and advances "the educational . . . and economic interests to benefits the people of Missouri." The MLS program is directed to working professionals and provides training and an opportunity to engage in lifelong learning. It meets educational needs of non-lawyers who work with the law and promotes economic interests of the state by improving employee effectiveness and efficiency.

The MLS program aligns with the first and third principles of the Missouri Compacts for Achieving Excellence: Excellence in Student Success and Excellence in Engagement and Outreach.

The first principle of the Missouri Compacts, Excellence in Student Success, includes the objectives of increasing flexible paths to learning and degree completion and increasing professional development. The MLS supports both of these objectives. Because it is a part-time, online program designed for working professionals, it adds a new, more flexible pathway for law-related education to the current JD and LLM programs. It also enhances professional development by providing curriculum and a degree option for professionals who work with law but who do not want to become lawyers.

As part of the third principle of the Missouri Compacts, Excellence in Engagement and Outreach, the UM System seeks to "develop effective programs for educational . . . outreach with local, state and global communities." The MLS program, which in part is an outgrowth of UMKC's continuing legal education program, will provide effective legal education for non-lawyers in the Kansas City Metropolitan area and in the State of Missouri. Because it is an online program, it can also reach a regional, national, and global audience.

The MLS Program Supports UMKC's Strategic Plan

UMKC's Strategic Plan is built around five pillars. The MLS proposal supports pillars one, three, and five: Provide exceptional student learning, success, and experience; Transform our community and region with impactful engagement, and Develop a strong and resilient people, process, and physical infrastructure.

The MLS proposal supports the first strategic pillar of student learning, success, and experience by providing a new degree program to reach a new segment of the student market, working professionals who need additional knowledge and skills about law but do not want to become lawyers. Goal 1.2 is to "increase enrollment in targeted areas to assist in meeting regional workforce needs." One strategy for this goal is to "target enrollment growth in areas of market opportunity that meet regional, national and global workforce needs." The MLS fits with this strategy. It will provide an opportunity for enrollment growth in a new market segment (non-lawyers) and will meet the needs of those who work with law but do not wish to become lawyers. The market demand for this program will be described more fully below, but no other program in the region provides this opportunity.

The MLS proposal also will help to meet Goal 1.4 of pillar one to "implement new academic programs and opportunities that embody academic quality and personalized, flexible, diverse and engaging learning experiences." The MLS is a new degree program and is designed for working professionals. It uses an online delivery that allows for greater flexibility. The curriculum includes innovative courses modeled in JD and LLM courses that allow students to reflect on their work experience and to personalize their educational experience through the use of academic portfolios.

The MLS proposal supports UMKC's third strategic pillar, to "Transform our community and region with impactful engagement." This pillar recognizes that the "needs of the Greater Kansas City region are the utmost importance and driving what UMKC is doing. The university is a change agent and plays a vital role in economic development and workforce development." Goal 3.1 is for UMKC to "Partner with Greater Kansas City employers to meet the region's workforce needs, creating jobs and economic development opportunities for the region."

The MLS program will serve professionals who work with law on a regular basis but who do not have optimal training and do not want to become lawyers. The MLS program will engage with these professionals to improve their knowledge and skills for workforce development to improve their productivity and prepare them for advancement within their current career path. Examples are those working in human resources, corporate compliance, health care management, and other management positions with significant legal responsibilities.

The MLS proposal also supports the fifth pillar, "Developing a strong and resilient people, process and physical infrastructure." This pillar seeks to promote "being strategic with our time and resources." It seeks to significantly increase student credit hour production. Goal 5.5 is to "Increase revenue to account for declining share of costs covered by state appropriations."

The MLS program will support this pillar by providing a new degree program and a new revenue source for UMKC and the School of Law. Most of the resources at the law school are currently devoted to the JD program, which produces outstanding legal professionals for the region. This program will target a different market segment, those whose job responsibilities include law and legal issues but who do not want to become lawyers. The market for this degree program is substantial, and other schools that have adopted such programs have seen significant increases in enrollment and revenue (more on this below). While the new degree program will require new investment, the law school has also identified some resources in the JD program curriculum that can be used to support the MLS program. The law school offers a large number of upper-level specialty courses in which MLS students could enroll. In addition, some faculty have expressed willingness to teach an MLS course as part of their teaching package (the JD courses would still be taught but somewhat less frequently) or to restructure some courses to accommodate both JD and MLS students.

The MLS Program Supports the School of Law in Reaching its Goals

The MLS program supports the goals of the School of Law by diversifying the revenue stream that supports the school and by enlarging the audience and market for legal education. This builds on the School of Law's strong reputation in the community for legal education, and on the successful Continuing Legal Education program that serves thousands of lawyers, as well as some non-lawyers, in the region. The School of Law leadership is fully committed to the proposal, and on multiple occasions it has been presented to the faculty, which also strongly supports the program.

The School of Law fully supports the MLS program. The Dean of the School of Law has made it a priority for her Deanship and the Faculty has formally voted to support the MLS program.

2.B. Duplication & Collaboration Within Campus, Across System

There are no MLS programs anywhere in the UM System. In the state the only similar program is offered by Washington University in St. Louis, but that is offered at a much higher price-point than UMKC's program (\$64,000 compared to \$21,000) and it has only a small presence in Western Missouri and Eastern Kansas.

UMKC's proposed MLS program has been discussed in regular meetings of the Deans of the UMKC School of Law and the University of Missouri – Columbia School of Law, and both Deans have supported the program. The program is being initiated by UMKC on its own at this point, in part because of a leadership transition underway at University of Missouri – Columbia School of Law and in part because the faculty there is less enthusiastic about online teaching than the faculty at UMKC School of Law. However, as the program develops the discussions between the schools will continue with the objective of exploring ways to share resources to support the program so that the schools can share revenue from the program. For example, University of Missouri – Columbia may be able to devote some faculty resources for the development of one or more courses taught in the program with an opportunity to share revenue generated by that course or courses. A letter of support for the

UMKC MLS program from Interim Dean Paul Litton is included in Appendix 2.

3. Business-Related Criteria & Justification

3.A. Market Analysis

3.A.1. Rationale & Workforce Demand for the Program

Workforce demand for the knowledge and skills represented by the MLS degree is strong, but because it is a relatively new degree within the market, precise data on the degree program is difficult to obtain. Looking at the jobs in which legal skills are useful shows a strong demand for those jobs. The chart below is based on Burning Glass (now Lightcast) data (query: last twelve months, Missouri, Illinois, Iowa, Kansas, or Nebraska, and skill cluster family: legal) and was prepared by a potential partner, Everspring, Inc., a digital services company serving the Higher Education Market.⁴

MSL/LLM/MJ

Regional Labor Outlook

MSL/LLM/MJ Regional Labor Outlook					
Occupation	Number of job postings, TTM	Number Employed 2020	Mean Salary 2020	Projected Change in Employment 2018-2028	New Jobs Added in Region by 2028
Managers, All Others	7,892	469,160	\$123,980	5.4%	25,335
Lawyers	7,192	658,120	\$148,910	7.0%	46,068
Registered Nurses	5,912	2,986,500	\$80,010	12.65	376,299
Paralegals and Legal Assistants	5,416	332,720	\$56,610	13.1%	43,586
First-Line Supervisors of Retail Sales Workers	4,974	1,063,110	\$47,300	-1.3%	(13,820)
Human Resources Specialists	4,816	647,810	\$69,430	5.5%	35,630
Computer Occupations, All Other	3,827	332,340	\$96,740	10.0%	33,234
Medical and Health Services Managers	3,819	402,540	\$118,800	14.0%	56,536
Compliance Officers	3,508	327,360	\$75,620	6.3%	20,624
Human Resources Managers	2,746	156,600	\$125,740	8.2%	12,841

This chart includes Lawyers, who earn the JD degree and are licensed as lawyers, for comparison. Projected growth for lawyers is strong, 7%, but it is even stronger for Medical and Health Services Managers (14%), Paralegals and Legal Assistants (13.1%), and Human Resources Managers (8.2%). While not as strong as the demand for lawyers, there is strong demand for Compliance Officers (6.3%), Human Resources Specialists (5.5%), and Managers, All Other (5.4%). Even though the demand for these positions is not as strong as for lawyers, these represent new markets for the law school and positive demand for the

⁴ With the input and support of the Provost at UMKC, the law school ultimately decided to work with Missouri Online rather than any of the prospective partners considered. See *supra* n. 3.

MLS.

Registered Nurses are also in very high demand (12.6% projected increase), and while many nurses are providing care to patients, those in supervisory positions often have a need for legal knowledge and skills (as indicated by the skill cluster in the search).

The mean salaries also show the appeal of the MLS degree. While lawyers' mean salary is the highest, \$148,000, to qualify as a lawyer requires a JD degree, which takes three years of full-time study and an investment of nearly \$125,000 (using UMKC School of Law cost of attendance for 2022-23). The MLS will be considerably less expensive, in part because it is shorter and in part because students can continue to work while completing the degree. Cost of attendance is likely to be around \$25,000, which is a good investment compared to the cost of the JD and can support employment in Human Resources Management (\$125,740), Managers, All Other (\$123,980), Medical and Health Services Managers (\$118,800), and Compliance Officers (\$75,620).

Another analysis of Burning Glass (now Lightcast) data was conducted by another potential partner, AllCampus, an online program management services provider for universities.⁵ This chart shows overall demand for law-related skill metrics:

Demand for Law-Related Skills



The MLS program is designed around the development of law-related skills. Students will obtain broad background knowledge of the law and training in analysis and legal writing through the required curriculum (U.S. Legal Framework, Legal Method, Professional Writing

⁵ UMKC School of Law received a proposal from AllCampus to provide marketing in exchange for revenue sharing, but ultimately decided to use the services of Missouri Online. See *supra* n. 3.

with Legal Issues, and Legal Research). Legal education is very skills oriented, so advanced classes will include both knowledge of particular areas of law and application of that knowledge. Examples of advanced courses that will include knowledge and skills include: Equal Employment Opportunity Compliance, Law, Health Law, and Insurance Law. In addition, some advance courses will focus on specific legal skills that will benefit MLS students such as Contract Drafting, Compliance Drafting and Fundamentals of Legal Investigations.

Another way to measure workforce demand is based on internet searches. The charts below were created by AllCampus based on data from Google analytics and use the emphasis areas of Health Law and Human Resources as examples.

Market Trends by Search Volume – Master of Legal Studies

General Keywords			
Field	Key Term	Search Volume	Total
Heath Law	hipaa compliance	19,000	30,560
	hipaa regulations	6,280	
	healthcare law	1,500	
	health law	1,300	
	medical law	600	
	medicare regulations	550	
	mental health law	450	
	healthcare regulations	380	
	health insurance law	200	
	medicare compliance	150	
	healthcare law and ethics	150	

General Keywords			
Field	Key Term	Search Volume	Total
Employment Law	Employment Law	2,600	2,630
	Employment Law Compliance	30	
HR Law	HR Compliance	1,200	1,960
	HR Law	600	
	Human Resources Law	100	
	Human Resources Compliance	60	

The School of Law, with the assistance of an outside consultant, also prepared and administered a market survey in the Kansas City metro area. Although the number of responses was low (the response rate was a respectable 15% or so), 50% of respondents said that that the training offered by the MLS program would be extremely useful to employees in the respondent's organization. Another 35% responded that it would be somewhat or moderately useful. Only 7% of respondents said that the training from the MLS would not be useful for employees in their organization. The survey also asked about the economic value of the training represented by the MLS degree.

Respondents indicated that an MLS degree could justify an increase in salary by as much as 60%, with the mean increase in salary of 23.58%. The Survey Data is included in Appendix 1.

Letters of support also show market demand for the MLS and for the various emphasis areas planned for the program. For example, Lischen Reeves Gibson, Corporate Counsel at Oracle Cerner, reported that she was excited that the MLS program would allow employees “to advance their knowledge and skillset applicable to highly regulated industries.” She reported that she had “worked with many employees who have some responsibilities that would benefit from the kind of training being offered in the MLS program.” She gave numerous examples of responsibilities related to data and other privacy regulations that would benefit from MLS training.

Similarly, Dana Drieier, a partner with a national firm of Certified Public Accountants, reported that she had worked with many employees” who would benefit “from the kind of training that is being offered by the MLS program.” She provided the example of “employees in human resources whose responsibilities include reviewing employment offers, temporary employee contracts, remote employee work arrangements and various other types of employment contracts.” She predicted that once the degree becomes established, “employess who have earned an MLS degree with be in greater demand and will earn higher salaries.”

Michelle Wimes, a Senior Vice President at Children’s Mercy, wrote that the MLS would provide “a much-needed avenue of education and for employees and employers in the greater KC area and beyond.” She said that with the training from the MLS degree, “employees would be better equipped to carry out” responsibilities in human resources, legal compliance, and healthcare policy. This training will offer employees “opportunities for advancement in their caeers,” and other employers beyond Children’s Mercy “would also find the MLS to be valuable for their employees.”

Joy Roberts, Interim Dean at the UMKC School of Nursing and Health Studies, reported that “many of our nursing graduates and our health sciences graduates enter administrative positions that require them to have a deep understanding of legal regulations.” The MLS would help these employees “be better equipped for their positions and even more valuable to their employing institutions.” She concluded that employers “will value the MLS degree and [she anticipated that] employees with the degree will be in greater demand and earn higher salaries.”

Andrew Talbert, managing partner at ELUX Capital Management, said that his team included people “whose responsibilites include needing more than a basic understanding of the legal process” as they “take land through the entitlement process, receive approvals, and ultimately develop properties.” He reported that he was “not aware of other schools yet offering the MLS program in the Kansas City area, so this seems like a great opportunity for UMKC to take a leap of leadership forward . . . to better equip students with a legal background in the business world.”

Finally, a letter of support from law professor Joel Friedman who has been working in the MLS area for some years now, confirms our assessment of market demand and the value of the

degree. He reported having “received scores of unsolicited emails from students detailing how the [MLS] program had changed their life, both personally and professionally. So many of them recounted how they had received either raises, promotions, or new and better jobs because of (a) the skills they obtained in the programs; and (b) the presense of a Masters degree from a law school on their resume.” He said that his MLS program in Labor and Employment Law at Tulane Law School was so successful that Tulane asked him “to create additional programs” in the “areas of Energy Law, Environmental Law, and Title IX compliance.”

Copies of these letters of support are included as Appendix 2.

3.A.2 Student Demand for the Program

Nationally, student demand for the MLS degree is strong. This can be seen in overall trends in law school enrollments in programs that are non-JD programs. While this includes some LLM programs (which typically have the same CIP codes), nearly all of the online non-JD enrollment is in MLS programs. This table provides the aggregate annual enrollment in Non-JD programs and Non-JD online programs for all ABA accredited law school in the US.

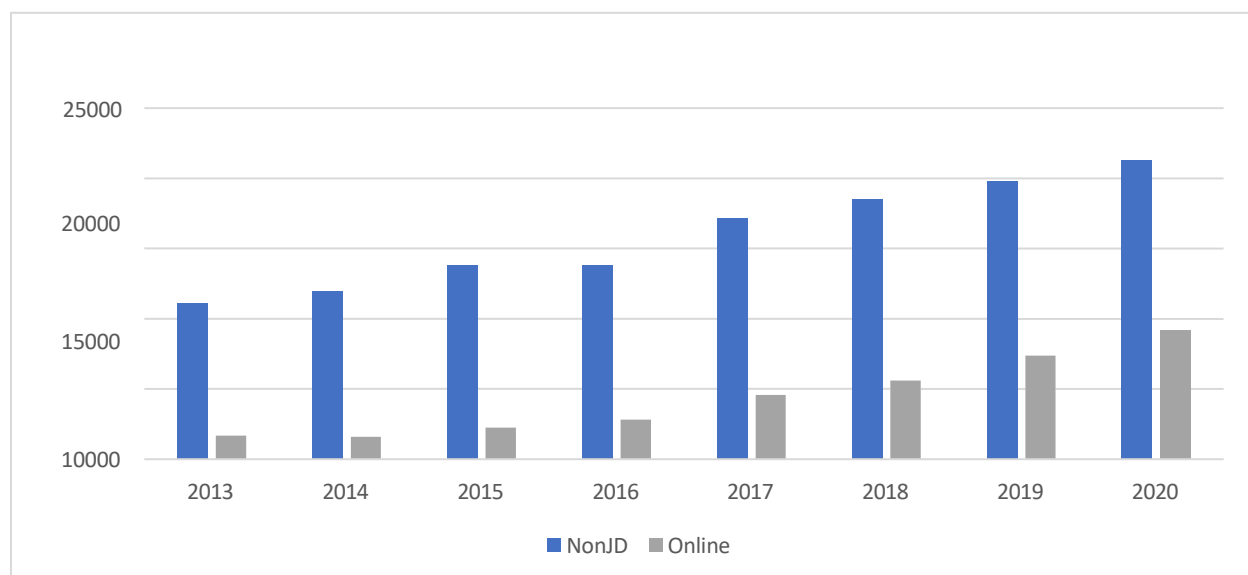
National Law School Non-JD and Non-JD Online Enrollment

	2013	2014	2015	2016	2017	2018	2019	2020
NonJD	11132	11974	13806	13826	17117	18523	19819	21292
Online	1677	1590	2239	2820	4558	5588	7378	9187

From 2013 to 2020, the total Non-JD enrollment has grown by 10,155 student or 91% (from 11,137 to 21,292). The online growth is even more dramatic, with growth of 448% from 2013 to 2020 (from 1,677 students to 9,187, an increase of 7,510 students).

The following chart provides a visual presentation of the national enrollment growth.

National Enrollment in Non-JD programs and Non-JD Online programs (ABA data)

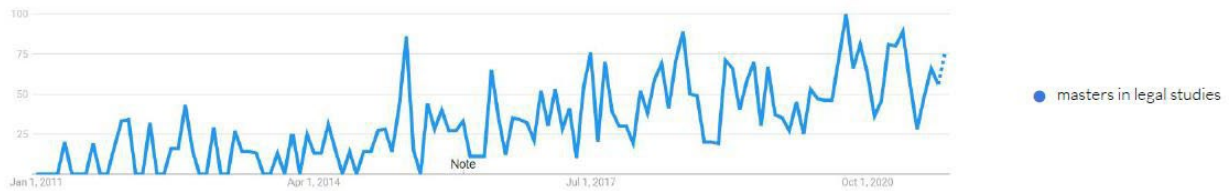


Internet search data confirms the strong demand for the MLS program. The following chart was developed by AllCampus and shows the average monthly searches for the MLS degree (or its equivalent). It also shows the number who are seeking online degree options and is based on data provided by Google Ads Keyword Planner.

MLS – Average Monthly Internet Searches

General Key Term	Avg. Monthly Searches	"Online" Qualified Search Volume
master of legal studies	1,600	720
mls degree	1,600	270
legal studies degree	590	320
mls programs	480	390
msl degree	390	40
master of science in law	260	30
master of studies in law	260	50
ms law	260	0
masters degree in legal studies	170	70
masters in law without law degree	110	0
ma in law	90	0
ms mls	90	0
mls masters	70	0
msl program	70	0
msls degree	70	0
Total	6,110	1,890

The searches for the MLS programs are trending upward over time, as can be seen in the following chart (also based on Google Ads Keyword Planner) that covers 2011- 2021.



A final indication of market demand for the program is that Carolina Academic Press, AllCampus, and Everspring are willing to partner with the School of Law in developing and promoting the MLS program. These third parties are willing to invest hundreds of thousands of dollars into the partnership with the School of Law because their research and experience shows that there is a meaningful market for the MLS program and that UMKC is well situated for that market.

Table 1a. Student Enrollment Projections – First Ten Semesters (Spring start)

Semester:	1	2	3	4	5	6	7	8	9	10
New students	25	0	45	23	0	39	20	0	39	20
Continuing students	0	23	23	64	85	62	97	74	53	90
Total	25	23	68	87	85	101	117	74	92	110

These enrollment projections show total number of students enrolled in the program during the first ten semesters following implementation. New cohorts will start in both Spring and Fall semesters, but not in the Summer. All students are part-time; the program is designed for people who are working full-time. All students are new to the University because students will come from people currently working, not those who are currently students. The model used for projections assumes a 10% attrition rate after the first semester which, based on prior experience at the law school, is higher than what is likely to be the case. Because the program lasts five semesters, students graduate at different times, including after summer term, resulting in an uneven number of continuing students. The model presumes students will take summer school until they graduate.

Table 1b. Projected Number of Degrees Awarded Per Cohort

Cohort:	1	2	3	4	5	6	7	8	9	10
# of Degrees Awarded	23	41	21	35	18	35	18	39	19	41

Degrees awarded are projected by cohort because cohorts start in both the Spring and Fall semesters. The projections assume the 10% attrition assumption used above. The program will take five semesters (counting Summer term as a semester), so Spring matriculants are expected to graduate after the Spring semester the second year. Fall starters will graduate after the Summer semester of the second year. Of course, students may slow down the pace of their studies or choose not to enroll in Summer term and could graduate later than their cohort.

Table 1c. Projected Number of Degrees Awarded Per Academic Year

Year:	1	2	3	4	5	6	7	8	9	10
# of Degrees Awarded	0	23	41	56	53	57	60	61	61	61

Because the program will take five semesters to complete, and because the program will start in Spring 2024, the first cohort will graduate in Summer of 2025. No students will graduate in the first year. The second cohort, starting in Fall 2024, will graduate in Spring of 2026, year 3. Cohorts three and four will graduate in the fourth year of the program (Summer and Spring), and so on. As with the other projections, these numbers assume a 10% attrition rate, which likely to be higher than actual attrition.

3.B. Financial Projections

Financial projections for the MLS program were developed assuming the program would use Missouri Online for marketing. Enrollment projections came from Missouri Online based on their experience with other masters-level online degree programs in the Missouri Online portfolio and with the marketing investment included in the financial projections. Marketing costs in the first two years will be advanced by the Provost's Office as an investment in the program, but that advance will be repaid through revenues generated in the first two years of the program.

The financial projections show that by the end of the second year, the program revenue will cover all of the direct costs associated with the program and will generate a positive net revenue of more than \$500,000. This will be sufficient to repay the marketing funds advanced in the startup phase of the program (years 0 and 1) and will produce nearly

\$400,000 of cumulative net revenue after accounting for campus overhead. In years 3 through 7, the program will generate a net margin of between \$730,000 and \$875,000 depending on enrollment. By year 7, the cumulative net revenue to the campus after overhead will be more than \$4,000,000.

The details about the financial projections are included in the pro forma attached as Appendix 3.

3.B.1 Additional Resources Needed

Although the School of Law has expertise that can be used for the MLS program, launching the degree program requires investment in teaching resources, program administration, and marketing.

Teaching and Program Administration

After surveying the faculty and studying the teaching needs for the JD program, we determined that five courses for the MLS program could be taught by existing full-time faculty at the School of Law. This is possible in three ways: First, some faculty are willing and able to teach MLS students in courses that are currently being taught to JD students. While not all courses are suitable for this use, the School of Law has similar experience with courses taught to a combination of JD and LLM students and courses taught to JD students and graduate students from business, engineering, and other academic units. Second, some faculty members teach some small-enrollment courses that can be offered somewhat less often to make room for teaching an MLS course.

Third, some faculty with administrative responsibilities who have been reduced teaching responsibilities are willing to take on an MLS course as part of their teaching package. The Associate Dean for Strategic Initiatives and Graduate Programs has an opening for a course and will teach in the MLS program. The Dean, who will be stepping down at the end of the 2023 academic year, will teach an MLS course when she returns to the faculty. In addition to a portion of the faculty salary and benefits attributable to the MLS courses (10% of the average faculty salary per course, plus benefits), the proposal includes three course development grants for full-time faculty.

The second source of teaching resources is the director of the MLS program, which will also have administrative responsibilities for the program. This position will be a full-time, non-tenure track position with a five-course teaching package and administrative responsibilities for oversight of the MLS program. Administrative responsibilities include supervising marketing and recruitment, supervision of adjuncts, advising students, and working with the Dean and Associate Deans to ensure sufficient course offerings and coverage. The Provost has agreed to invest in the MLS program by providing salary for the director for the first year. By the second year the revenue from the program will cover the cost of the director.

The third source of teaching resources will be adjunct faculty. The School of Law has a robust program with adjunct faculty who are lawyers that bring practical and professional perspectives to the JD program. A similar model will be used for the MLS faculty in that adjuncts will be recruited from the professional ranks of those working with the professionals who can benefit from the MLS program. One difference, however, is that while the JD adjuncts volunteer their time to teach, the MLS adjuncts will be compensated as they will need to have training and develop online teaching skills to teach in the program. Based on market research of what other

MLS programs are paying adjunct faculty, we plan to pay them \$5000 per course. In addition, the financial projections include ten stipends of \$5000 each for course development.

Marketing Resources

Marketing will be provided by Missouri Online, which has experience marketing UM System online programs. Missouri Online also works with an established digital marketing company, Carnegie, that has significant experience in marketing online academic programs. Missouri Online will help to develop marketing content and will work with Carnegie to optimize that content for use in the digital promotion of the program. The budget used for financial projections includes \$75,000 for marketing in year 0 and year 1, the startup phase of the program, and then reduces the marketing budget somewhat in the following years as revenue grows to support moving the budget back to \$75,000 per year. The Provost Office has agreed to advance funds as needed during this startup phase with the understanding that as revenues grow, the startup marketing costs will be repaid.

As part of the development of the MLS proposal, UMKC School of Law met with three third-party providers who work in the online marketing area: AllCampus, Carolina Academic Press, and Everspring. Two proposals were submitted for marketing in exchange for a 35% profit sharing agreement, and one proposal was submitted using a fee-for-service model. After discussions with Campus leadership and with Missouri Online, it was determined that the optimum balance of cost and risk-bearing was to use Missouri Online for marketing the MLS program.

3.B.2. Revenue

The revenue for the program will be generated by educational fees. New student enrollment is projected to start with 25 students in the Spring semester of year 1, growing to 91 in year two, and 120 year three. By year six, the program will regularly have more than 120 students. Because this is a part-time program, students will be enrolled for five semesters (including summer term), so that total head count includes both new and continuing students. The enrollment projections assume a 10% attrition rate, which is likely to be higher than actual attrition. The School of Law has attrition well below 5% in both its JD and LLM programs.

Based on these enrollment projections assuming an educational fee of \$695 per hour and scholarship allowances of 10% of revenue, the program will generate \$234,563 in revenue in year one, more than \$850,000 of revenue in year two, and by the third year and thereafter will produce more than \$1,000,000 in revenue per year.

3.B.3. Net Revenue

By the second year the MLS program will produce enough revenue to cover all of its costs and leave direct margin of more than \$500,000. The cumulative direct margin by the second year will be more than \$470,000, and the cumulative margin after campus overhead will be nearly \$400,000. Thus, by the second year the program will be producing significant net revenue and covering all of its costs, including the startup costs for marketing. By year seven, the net revenue is consistently greater than \$700,000, and the cumulative marginal net revenue to the campus is more than \$4.4 million, with cumulative marginal net revenue after overhead above \$4 million.

Detailed projections and expenses are included in the pro forma attached as Appendix 3. A year-by-year summary for the first five years of the program after launch is provided in Table 2, below.

Table 2. Financial Projections for Proposed Program for Years 1 Through 5.

	Year 1	Year 2	Year 3	Year 4	Year 5
1. Expenses per year					
A. One-time					
<i>New/Renovated Space</i>					
<i>Equipment</i>	2500				
<i>Library</i>					
<i>Consultants</i>					
<i>Other- Course Dev. Grants (4)</i>	21,530	21,530	21,530		
Total one-time	24,030	21,530	21,530	0	0
B. Recurring					
<i>Faculty</i>	111,100	149,900	173,298	197,572	201,523
<i>Staff</i>					
<i>Benefits</i>	39,442	49,061	51,303	53,621	54,394
<i>Supplies</i>	250	255	260	265	271
<i>Library</i>					
<i>Other - Marketing</i>	75,000	65,000	65,000	70,000	75,000
Total recurring	225,792	264,216	289,861	321,458	331,188
Total expenses (A+B)	249,822	285,746	311,391	321,458	331,458
2. Revenue per year					
<i>Tuition/Fees</i>	234,563	853,808	1,125,900	1,050,840	1,097,753
<i>Institutional Resources</i>					
<i>State Aid -- CBHE</i>					
<i>State Aid -- Other</i>					
Total revenue	234,563	853,808	1,125,900	1,050,840	1,097,753
3. Net revenue (loss) per year	(15,259)	568,062	814,509	729,382	766,295
4. Cumulative revenue (loss)	(15,259)	552,803	1,367,312	2,096,694	2,862,989

3.B.4. Academic and Financial Viability

Academic and financial viability numbers are provided below. The UMKC School of Law has most of the resources it needs to create a vibrant, active learning environment. For student enrollment to be academically viable, cohorts should have at least eight students entering in the Spring and Fall Semesters. Because the program is part-time over five semesters, in a two-year cycle there would be four cohorts starting, for total enrollment of 32 students.

To reach break-even at year five, the enrollment would need to be somewhat higher, 36 students (although with a smaller enrollment it is likely that fewer adjuncts would be needed, thereby reducing costs). With enrollment of 36 students the program would generate \$337,000 in revenue which would cover the \$331,000 in costs.

For both academic and financial viability, the program needs to reach enrollment of 36 students (with the assumptions for scholarship discounting and without any reduction in anticipated expenses).

The academic and financial viability numbers are reported in Table 3, below.

Table 3. Enrollment for Academic and Financial Viability

Viability	Minimum Enrollment
Academic	32
Financial	36
Overall	36

3.C. Business Plan: Marketing, Student Success, Transition & Exit Strategies

3.C.1 Marketing Plan

The UMKC School of Law will work with Missouri Online to develop and implement a specific marketing plan. Although much of this work will be done after the program is approved, Missouri Online has reported that it has more than adequate marketing expertise, and resources to prepare a digital marketing campaign. Missouri Online uses Carnegie, a marketing company, to assist with development of the plan and placement of digital advertising. Both Missouri Online and Carnegie have experience with, and will use, Search Engine Optimization. The MLS program will have a dedicated webpage and marketing will use digital advertising to drive traffic to the website. UMKC plans to opt into the Missouri Online Student Lifecycle Support services so that dedicated Missouri Online student services professionals will help in recruitment and assist students with applying to the

program.

The proposed budget includes an initial \$75,000 for marketing in year 0 to prepare the website and other materials and to start recruitment for the first cohort of MLS students. This budget continues in year 1, but then is reduced somewhat in years 2 and 3 to conserve resources and help to ensure profitability. As enrollment grows and revenue increases, additional funds are invested in marketing starting in year four and thereafter.

Missouri Online projects that enrollment will grow quickly with this marketing plan and budget, with incoming enrollment growing to 68 students in year two with total enrollment of 90 students. By year 3 Missouri Online predicts enrollment of 120 students.

3.C.2. Student Success Plan

The UMKC School of Law has very low attrition rates in the JD and LLM programs. Last year, the attrition in the JD program was 5 students for non-academic reasons and 6 for academic reasons out of a total of 438 students for an overall attrition rate of 2.5% and an academic attrition rate of only 1.4%. The LLM program is smaller but also has very low attrition rates. The financial projections were made assuming an attrition rate of 10%, but the School of Law, based on its experience in the JD and LLM programs, expects that it will retain more than 90% of matriculating students through graduation.

The UMKC School of Law's high retention is in part because of the very strong sense of community it has developed that supports students and shows them that they are valued. In addition, the School of Law has been providing outstanding academic support for at-risk students for over 30 years and has been using a supplemental instruction model for nearly that long. The culture of support will benefit MLS students as it has JD and LLM students. The academic support program will be available to at-risk MLS students. While this program was originally designed for the JD students, as the LLM enrollment increased and as the need for academic support for international LLM students became apparent, academic support programming and individual coaching was extended to LLM students. As the School of Law gains experience with the MLS students, it will extend academic support to MLS students and optimize the manner in which it is provided, including academic support programming, individual coaching, and possible use of supplemental instruction.

Missouri Online also will provide support for student success through the Student Lifecycle Support services provided to UMKC online students, including those in the MLS program. Although UMKC did not initially opt for these services, the Provost has made a commitment that UMKC will opt into those services as part of the Campus support for the MLS program.

3.C.3. Transition Plan

The individual primarily responsible for the program at inception will be Jeffrey E. Thomas, Associate Dean for Strategic Initiatives and Graduate Programs. Once the MLS program is approved, the School of Law will hire a director for the program and that person will become

the person primarily responsible for it. Should Associate Dean Thomas leave the University, Dean Barbara Glesner Fines, who is stepping down from the Deanship at the end of academic year 2023, would be the ideal person to take over responsibility for the program until the director is in a position to do so. Dean Glesner Fines has been intimately involved in the development of the program and is planning to teach the required Professional Ethics course in the program. Alternatively, two experienced faculty members, Professors Rana Lehr-Lehnardt and Michael Tripp, have been significantly involved in the development of the program and could be asked to assist in its implementation if Associate Dean Thomas and Dean Glesner Fines were unavailable.

3.C.4. Exit Strategy

The UMKC School of Law will carefully monitor enrollments and expenses associated with the MLS program. If enrollment substantially underperforms expectations, it will evaluate the program to determine the optimal response. As the program starts, there are possible expenses that could be reduced or avoided, such as the hiring of adjunct faculty. The level of market demand for the different emphasis areas will be evaluated and if an emphasis area is not in sufficient demand, it may be suspected or discontinued, with resources from that emphasis area being reallocated to an emphasis area of greater demand.

The UMKC School of Law will also carefully monitor the effectiveness of the marketing campaign, and if it is not successful, will consider alternatives. In the course of developing the MLS program the UMKC School of Law reviewed and considered marketing proposals from All Campus, Carolina Academic Press, and Everspring, and should marketing efforts by Missouri Online underperform expectations, the School of Law may consider proposals from those, or other, vendors. Should the program underperform to the extent that after five years it is operating at a deficit, or if it were to so underperform that it had a substantial deficit prior to the five- year mark, the School of Law, after developing a teach-out plan for MLS students, would discontinue the program and focus on other revenue-generating initiatives. One of the primary reasons for developing the MLS program was to develop a new stream of revenue for the law school; if that does not happen then the law school would discontinue it.

4. Institutional Capacity

The UMKC School of Law has expertise, a strong brand, and some capacity to support the MLS program. The School of Law has had a small LLM program since the 1950s, and in 2007, restructured that program to meet the needs of students whose first degree in law was earned outside of the United States. To support that restructuring, several required LLM classes were developed with elective classes being offered from the JD curriculum. Although the MLS model is not exactly the same, it has some similarities in that a core of required MLS classes are being developed and that some (although not all) elective classes will be offered to both JD and MLS

students. The experience with the LLM has helped build institutional capacity for developing the MLS program.

The Associate Dean for Strategic Initiatives and Graduate Programs was the person responsible for restructuring of the LLM program and promoting its growth to 20-30 students. He continues to have oversight responsibility for the program. In addition, the Associate Dean for Strategic Initiatives and Graduate Programs is responsible for developing the MLS program, will teach in the MLS program, and will have oversight responsibility for it. During the pandemic, the Associate Dean for Strategic Initiatives was certified as an online teacher and provided training and mentoring for the law faculty to become certified as well. Nearly all of the law faculty were certified as online teachers in 2020.

The Associate Dean for Strategic Initiatives will be assisted by a Director of the MLS program who will be hired in the first year of the MLS program. This will be a full-time, non-tenure track position. The position will have administrative responsibilities for direct oversight and management of the program and responsibility for teaching five courses in the program. The person will have demonstrated expertise in online teaching, a masters or JD degree, experience with higher education program management and teaching experience. Preferred qualifications for this person include experience in legal education, experience with MLS programs or students, teaching experience in law, and marketing or recruiting experience.

The current curriculum at the School of Law includes a number of courses that would be appropriate for MLS students. For example, Health Law I and Health Law II would be appropriate for an MLS student with an emphasis in Health Law. These two courses have been offered in the past few years in an online modality and will be made available for MLS students to enroll alongside JD students. While this introduces some challenges because their backgrounds are different, the School of Law faculty has addressed similar challenges with LLM students whose background is different from the JD students. On the other hand, this offers a richer learning environment for the JD students because the MLS students will come from the health care field which will provide an opportunity for interaction between them and law students. We expect that five to as many as ten courses can be offered in conjunction with JD students, or by those who teach in the JD program offering an MLS course within their course package (by putting a JD course into a multi-year rotation with other course offerings).

The School of Law also has some capacity in existing faculty and administration. The Associate Dean for Strategic Initiatives and Graduate Programs has an opening for a new course in his teaching package and the current Dean, who will be stepping down from the Deanship at the end of the academic year, plans to teach and MLS course as part of her teaching package upon her return to the full-time faculty.

The full-time faculty and the Director of the MLS program will be supplemented by hiring of adjunct faculty. Although the School of Law uses unpaid adjuncts in the JD program, the school plans to hire and pay adjuncts who teach in the MLS program because of the online modality. The budget includes development grants for both full-time and adjunct faculty to develop

online courses for the MLS program. Adjunct faculty will be trained and certified as online teachers and their courses will be certified. Using adjunct faculty in the early years requires less capital investment, reduces financial risk, and makes the program more scalable and flexible. Once enrollment is sufficient and consistent, the School of Law plans to aggregate adjunct positions into one or more full-time faculty positions.

5. Program Characteristics

5.A. Program Outcomes

The program outcomes for the MLS are similar to those for the JD program tailored to the needs of working professionals working with legal issues who are not trained to be lawyers and are not qualified to be licensed as practicing attorneys. The program outcomes for the MLS program are as follows:

1. Knowledge. To demonstrate mastery of core doctrinal knowledge relevant to the delivery of legal services in industry settings.
2. Legal analysis. To demonstrate competency in objective legal analysis.
3. Legal research. To demonstrate competency in effective legal research.
4. Legal writing. To demonstrate competency in professional writing involving legal issues in industry settings.
5. Professional work environment. To demonstrate the ability to work with people in a professional environment; in particular, the ability to recognize the need for attorney assistance and the ability to work effectively with attorneys and regulators.
6. Professional ethics. To demonstrate the ability to identify ethical constraints in the delivery of legal services by non-lawyer professionals.

The expectation is that many students in the program will have work experience with legal issues and consequently will have varying levels of knowledge and skills at the time of entry. The objectives of the program are to improve all students' knowledge and skills and to reach mastery of knowledge in the core areas for that student's career path and to competency (or better) in skills of legal analysis, legal research and legal writing. These legal skills are the most impactful for graduates as most will have had relatively little training specific to these skills. Additionally, the program will enhance professional's abilities to engage with attorneys and regulators and appreciate and observe ethical boundaries in these interactions.

5.B. Program Design & Content

Design process

The MLS program was designed as an adaptation of the JD and LLM programs for a broader audience. The JD program, which is a long-established, three-year program at UMKC School of Law and is subject to rigorous accreditation review by the American Bar Association (under a delegation of authority from the U.S. Department of Education), prepares students for professional licensure as attorneys at law. The LLM program at UMKC School of Law, which is a one-year master's program, has been offered since 1956, and in 2007 was adapted to meet the needs of international students who had already received a first degree in law. Both programs teach U.S. law and legal skills to students using a highly engaged pedagogy. The MLS program builds on the success of these programs and is designed to reach similar objectives.

In addition to the current degree programs, UMKC School of Law provides hundreds of hours of continuing legal education to lawyers and other professionals. Those involved in the continuing legal education programs have provided useful input in the program design for the MLS. In addition, faculty members at the School of Law who teach in the target subject areas, several of whom have many years of practice experience in those areas, were involved in the program design.

Finally, in designing the MLS program, the School of Law has reviewed the curricular offerings at other law schools for similar programs.

The MLS program will be a 30-credit-hour master's degree program offered in an online and hybrid modality to accommodate those who maintain full-time jobs. The typical semester load will be approximately 6 credit hours. The program will be offered in Fall, Spring, and Summer and designed so that a student can complete the program in five semesters (counting summer as a semester). Twelve credit hours will be required, and eighteen credits will be elective. Emphasis sub-degrees will require 12 credits of the 18 elective credits to be within an emphasis area.

Like the JD and the LLM programs, the MLS program will require that students earn a 2.0 grade point average to qualify for graduation. If the student's GPA falls below 2.0, the student will be provided additional academic support and put on probation with an opportunity to bring the GPA back up to 2.0 by the end of the next semester. If the student cannot bring the GPA back to 2.0 in the next semester, the student will be dismissed. Like the JD and LLM programs, the student can seek readmission after dismissal by petitioning the Student Affairs Committee.

The MLS program is designed to be independent from the JD program even though in some instances MLS students may be in classes with JD students. Credits earned in the MLS program will not transfer to the JD program, and we do not expect students to move from one program to the other, though that may happen in some cases where a student in the MLS program desires more intensive legal training and licensure as a lawyer, or where a student in the JD program

decides to leave that program but enters the MLS program to pursue a career path that involves some legal training and expertise but does not require licensure.

Required Courses

The MLS program has three categories of required courses, foundational, advanced, and capstone, for a total of 14 credits. The introductory courses are designed to build a foundation of understanding and skills to prepare students for elective courses. The JD and the LLM programs have similar introductory required courses (e.g., the JD degree requires LAW 8531 Lawyering Skills I and LAW 8432 Lawyering Skills II while the LLM degree requires LAW 8730I Introduction to the American Law and Culture; and LAW 8531I Common Law, Legal Analysis & Writing). The introductory required courses for the MLS are:

1. U.S. Legal Framework (2 credits)
2. Legal Method (3 credits)
3. Professional Writing with Legal Issues (3 credits)
4. Legal Research (1 credit)

The advanced required course is Professional Ethics (2 credits). Although this course is labeled as an advanced required course, that is primarily to distinguish it from foundational courses. Although most students will take the course after the foundational courses are completed, it may be offered to some students still enrolled in foundational required courses. The Professional Ethics course is modeled on the required Professional Responsibility course for JD students, adapted to the needs and perspectives of MLS students.

The capstone courses are designed to provide all students with capstone experiences for their studies. Students in the MLS program are likely to be working in a field that handles some legal issues. The LAW 8749 Learning from Practice course is currently offered in the JD program as a means to provide an academic framework to help capture and reflect on the learning that comes from an internship experience. A similar course will be offered to MLS students to provide a framework to help capture and reflect on learning in the students' work environments.

Similar to the graduation requirement for the LLM degree (LAW 8743F LLM Capstone Portfolio), the Capstone Portfolio course requires the MLS student to assemble a portfolio reflecting the knowledge and skills they have developed during the MLS program. This portfolio provides a mechanism for reflection and is presented to a committee that includes faculty and professionals in the fields served by the MLS.

The capstone required courses are:

1. Learning from Practice Seminar (1 credit)
2. Capstone Portfolio (2 credits)

Elective Courses

The elective courses allow students to specialize in one area or to take a more generalized approach. Some courses will be designed specifically for MLS students, but some will be offered to MLS students to take with JD and/or LLM students. Courses from the current School of Law catalog that could be used for elective credit are listed below. Those that are in **bold** type are already online. Those that are underlined are in the process of moving online. Other courses will need to be adapted to an online format. Others may be provided as in-person or hybrid electives for interested MLS students.

The need for specialized upper-level courses to support the JD program, along with a trend toward smaller enrollments nationwide and at UMKC, means that some law school courses have excess capacity that could be used for the MLS program. A robust volunteer adjunct faculty, who enthusiastically provide specialized courses capitalizing on their expertise, permits the School of Law to provide these small courses with no impact on our compensation budget. While core adjunct faculty in the MLS program will be paid to support their development of online coursework, we anticipate that many of our volunteer adjunct faculty would welcome MLS students with experience in their fields into their upper-level courses.

Courses Currently Offered by School of Law

1. **LAW 8764 Administrative Law** (3 credits)
2. LAW 8643T Advanced Legal Research: Transactional Law (1-2 credits)
3. **LAW 8605 Antitrust and Fair Competition Law** (2-3 credits)
4. LAW 8643C Competitive Business Intelligence and Transactional Research (1 Credit)
5. LAW 8707B Advanced Legal Writing: Business Contract Drafting (3 credits)
6. LAW 8707J Advanced Legal Writing: Compliance Drafting (3 credits)
7. LAW 8912 Client Interviewing (1-3 credits)
8. LAW 8532I Introduction to American Legal Skills (counseling, negotiation, adr) (2-3 credits)
9. LAW 8815R Disabilities and the Law (2-3 credits)
10. LAW 8813 Employment Discrimination Law (2 credits)
11. LAW 8814R Employment Law (2-3 credits)
12. LAW 8773C Environmental Compliance Auditing and Permitting (3 credits)
13. LAW 8903 Fundamentals of Legal Investigations (2 credits)
14. **LAW 8793A Health Law I: Liability and Quality Issues in Health Care (2-3 credits)**
15. **LAW 8793B Health Law II: Regulation, Organization and Finance (2-3 credits)**
16. **LAW 8746R Independent Study (1-3 credits)**
17. **LAW 8760 Insurance Law (2 credits)**
18. LAW 8639 Legal Practice Technology Skills (1 credit)

19. **LAW 8639B Legal Tech-Competency Training (1 credit)**
20. LAW 8902 Topics and Cases Related to In-House Counsel (1 credit)
21. LAW 8921 Selected Projects in Law, Technology and Public Policy (1-6 credits)

New Courses

To support the MLS program, the following new courses are being developed. Those in **bold** are first priority for development, those that are underlined are second priority, and those in regular typeface are third priority:

1. **Corporate Compliance** (3 credits)
2. Drafting Policies and Procedures (1 credit)
3. Employment Dispute Investigation and Mediation (2 units)
4. Health Care Compliance (2 credits)
5. **Professional Ethics** (2 credits)
6. **Fraud and Abuse** (2 credits)
7. **Health Information Management** (2 credits)
8. **EEO Compliance** (2 credits)
9. Public Health Care Management (2 credits)
10. **Privacy Regulation** (2 credits)
11. Regulatory Compliance (2 credits)

Course Sequencing and Offering

The MLS program and its emphasis areas will be phased in over time. By year three, the full curriculum should be developed and offered. Each year additional courses (identified in **bold type**) will be added to the curriculum. Many of these courses are pre-existing courses (as noted above).

Year One

- Fall semester:
 - U.S. Legal Framework (2 credits)
 - Legal Method (3 credits)
 - Electives
 - Legal Tech-Competency Training (1 credit)
 - Insurance Law (2 credits)
- Spring semester
 - Professional Writing with Legal Issues (3 credits)
 - Legal Research (1 credit)
 - Electives
 - Antitrust and Fair Competition (2-3 credits)
 - Health Law II (Regulation, Organization & Finance) (2-3 credits)

- Legal Tech-Competency Training (1 credit)
 - EEO Compliance (2 credits)
- Summer (all electives)
 - Professional Ethics (2 credits)
 - Legal Tech-Competency Training (1 credit)
 - Privacy Regulation (2 credits)
 - Corporate Compliance (3 credits)

Year Two

- Fall semester
 - U.S. Legal Framework (2 credits)
 - Legal Method (3 credits)
 - Electives
 - Legal Tech-Competency Training (1 credit)
 - Insurance Law (2 credits)
 - **Administrative Law (3 credits)**
 - **Health Law I (Liability and Quality) (2-3 credits)**
 - **Health information Management (2 credits)**
 - **Employment Discrimination Law (2 credits)**
 - **Compliance Drafting (3 credits)**
 - **Interviewing and Counseling (2 credits)**
 - **Introduction to Legal Skills (2 credits)**
 - Learning from Practice Seminar (1 credit)
- Spring semester
 - Professional Writing with Legal Issues (3 credits)
 - Legal Research (1 credit)
 - Electives
 - Antitrust and Fair Competition (2-3 credits)
 - Health Law II (Regulation, Organization & Finance) (2-3 credits)
 - Legal Tech-Competency Training (1 credit)
 - Human Resources Compliance (2 credits)
 - **Environmental Compliance, Auditing and Permitting (3 credits)**
 - **Fraud and Abuse (2 credits)**
 - **Health Care Compliance (2 credits)**
 - **Drafting Policies and Procedures (1 credit)**
 - **Employment Dispute Investigation and Mediation (2 credits)**
 - Capstone Portfolio (2 credits)
- Summer (all electives)
 - Professional Ethics (2 credits)
 - Legal Tech-Competency Training (1 credit)
 - Privacy Regulation (2 credits)
 - Corporate Compliance (3 credits)

- **Regulatory Compliance (2 credits)**
- **Public Health Care Management (2 credits)**

Year Three

- Fall semester
 - U.S. Legal Framework (2 credits)
 - Legal Method (3 credits)
 - Electives
 - Legal Tech-Competency Training (1 credit)
 - Insurance Law (2 credits)
 - Health Law I (2-3 credits)
 - Health information Management (2 credits)
 - Employment Discrimination Law (2 credits)
 - Compliance Drafting (3 credits)
 - Interviewing and Counseling (2 credits)
 - Introduction to Legal Skills (2 credits)
 - **Employment Law (2-3 credits)**
 - **Competitive Business Intelligence and Transactional Research (1 credit)**
 - Learning from Practice Seminar (1 credit)
- Spring semester
 - Professional Writing with Legal Issues (3 credits)
 - Legal Research (1 credit)
 - Electives
 - Antitrust and Fair Competition (2-3 credits)
 - Health Law II (2-3 credits)
 - Legal Tech-Competency Training (1 credit)
 - Human Resources Compliance (2 credits)
 - Environmental Compliance, Auditing and Permitting (3 credits)
 - Health Care Compliance (2 credits)
 - Drafting Policies and Procedures (1 credit)
 - Employment Dispute Investigation and Mediation (2 credits)
 - **Advanced Legal Writing: Contract Drafting (3 credits)**
 - **Disabilities and the Law (2-3 credits)**
 - **Fundamentals of Investigations (2 credits)**
 - Capstone Portfolio (2 credits)
- Summer (all electives)
 - Professional Ethics (2 credits)
 - Legal Tech-Competency Training (1 credit)
 - Privacy Regulation (2 credits)
 - Corporate Compliance (3 credits)
 - Regulatory Compliance (2 credits)

- Public Health Care Management (2 credits)
- **Advanced Legal Research: Transactional Law (1-2 credits)**
- **Topics and Cases Related to In-House Counsel (1 credit)**

Year Four

- Fall semester
 - U.S. Legal Framework (2 credits)
 - Legal Method (3 credits)
 - Electives
 - Legal Tech-Competency Training (1 credit)
 - Insurance Law (2 credits)
 - Health Law I (2-3 credits)
 - Health information Management (2 credits)
 - Employment Discrimination Law (2 credits)
 - Compliance Drafting (3 credits)
 - Interviewing and Counseling (2 credits)
 - Introduction to Legal Skills (2 credits)
 - Employment Law (2-3 credits)
 - Competitive Business Intelligence and Transactional Research (1 credit)
 - Learning from Practice Seminar (1 credit)
- Spring semester
 - Professional Writing with Legal Issues (3 credits)
 - Legal Research (1 credit)
 - Electives
 - Antitrust and Fair Competition (2-3 credits)
 - Health Law II (2-3 credits)
 - Legal Tech-Competency Training (1 credit)
 - Human Resources Compliance (2 credits)
 - Environmental Compliance, Auditing and Permitting (3 credits)
 - Health Care Compliance (2 credits)
 - Drafting Policies and Procedures (1 credit)
 - Employment Dispute Investigation and Mediation (2 credits)
 - Contract Drafting (3 credits)
 - Disabilities and the Law (2-3 credits)
 - Fundamentals of Investigations (2 credits)
 - Capstone Portfolio (2 credits)
- Summer (all electives)
 - Professional Ethics (2 credits)
 - Legal Tech-Competency Training (1 credit)
 - Privacy Regulation (2 credits)
 - Corporate Compliance (3 credits)

- Regulatory Compliance (2 credits)
- Public Health Care Management (2 credits)
- Advanced Legal Research: Transactional Law (1-2 credits)
- Topics and Cases Related to In-House Counsel (1 credit)

5.C. Program Structure

The MLS program is a part-time, online, 30 credit hour program. It will be offered with Spring and Fall starts and students are expected to take six credit hours per semester and to complete the degree in five semesters (counting summer term as a semester).

The program has fourteen required credits. Nine of those credits are in foundational courses: U.S. Legal Framework (2 credits), Legal Method (3 credits), Professional Writing with Legal Issues (3 credits), and Legal Research (1 credit). Two credits are associated with the advanced requirement of Professional Ethics (2 credits). Three credits are earned in capstone courses: Learning from Practice Seminar (1 credit) and the Capstone Portfolio (2 credits).

The following table shows sample course sequences for students with different emphases based on the curriculum in year two. There will likely be greater variety in year three with more course offerings. Courses that are in shaded cells are electives. Some courses, such as Insurance Law and the Professional Ethics can satisfy more than one emphasis area.

General MLS	Health	Human Resources	Compliance
Fall 1	Fall 1	Fall 1	Fall 1
US Legal (2)	US Legal (2)	US Legal (2)	US Legal (2)
Legal Method (3)	Legal Method (3)	Legal Method (3)	Legal Method (3)
Insurance Law (2)	Insurance Law (2)	Insurance Law (2)	Insurance Law (2)
Spring 1	Spring 1	Spring 1	Spring 1
Prof Writing (3)	Prof Writing (3)	Prof Writing (3)	Prof Writing (3)
Leg Res (1)	Leg Res (1)	Leg Res (1)	Leg Res (1)
Antitrust (2-3)	Health II (2-3)	HR Compl (2)	Antitrust (2-3)
Summer 1	Summer 1	Summer 1	Summer 1
Professional Ethics (2)	Professional Ethics (2)	Professional Ethics (2)	Corp Compl (3)
Priv Reg (2)	Priv Reg (2)	Priv Reg (2)	Tech Comp (1)
Fall 2	Fall 2	Fall 2	Fall 2
Employ Discrim (2)	Health Law I (2-3)	Employ Discrim (2)	Employ Discrim (2)
Compl Drafting (2)	Health Info Mgmt (2)	Compl Drafting (2)	Compl Drafting (2)
Couns, Interv (2)	Couns, Interv (2)	Couns, Interv (2)	Couns, Interv (2)
Learning from Pra (1)	Learning from Pra (1)	Learning from Pra (1)	Learning from Pra (1)
Spring 2	Spring 2	Spring 2	Spring 2
Capstone Portf (2)	Capstone Portf (2)	Capstone Portf (2)	Capstone Portf (2)
Drafting Policies (1)	Health Compl (2)	Emp Dispute (2)	Envir Compl (3)
Employ Dispute (2)	Drafting Policies (1)	Drafting Policies (1)	Drafting Policies (1)
Tech Comp (1)	Tech Comp (1)	Tech Comp (1)	

5.C.1. Program Structure Form

1. **Total Credits Required for Graduation: 30**
2. **Residence requirements, if any: None**
3. **General education**
 - a. Total general education credits: Not applicable

4. Major/Degree Requirements

- a. Total credits specific to degree: 11 credits

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

Course	Hrs	Course	Hrs	Course	Hrs
US Legal Framework	2	Legal Method	3	Professional Writing	3
Legal Research	1	Professional Ethics	2		

5. Free elective credits

- a. Total free elective credits: 16 credits

6. Requirement for thesis, internship or other capstone experience:

Learning from Practice Seminar (1 credit); Capstone Portfolio (2 credits)

7. Any unique features such as interdepartmental cooperation:

No, although at some point the University of Missouri – Columbia School of Law may participate.

5.D. Program Goals and Assessment

The goals for the MLS program are:

1. To provide knowledge and skills related to law that will improve students' performance in their jobs in which they interact with law and legal issues.
2. To provide knowledge and skills related to law that will prepare students to advance in a career path in which they interact with law and legal issues but do not function as lawyers.

To achieve these two goals, the MLS program has the following student learning outcomes. All six outcomes are related to both goals.

1. Knowledge. To demonstrate mastery of core doctrinal knowledge relevant to the delivery of legal services in industry settings.
2. Legal analysis. To demonstrate competency in objective legal analysis.
3. Legal research. To demonstrate competency in effective legal research.

4. Legal writing. To demonstrate competency in professional writing involving legal issues in industry settings.
5. Professional work environment. To demonstrate the ability to work with people in a professional environment; in particular, the ability to recognize the need for attorney assistance and the ability to work effectively with attorneys and regulators.
6. Professional ethics. To demonstrate the ability to identify ethical constraints in the delivery of legal services by non-lawyer professionals.

On an annual basis, the person with supervisory responsibility (Associate Dean or director) will meet with a committee of faculty members who teach in the MLS program to consider how well the program reaches its goals and the student learning outcomes. This annual assessment may include review of particular courses, emphasis areas, or a specific goal or learning outcome. This annual assessment will be used to produce an annual assessment report for UMKC's assessment program.

In addition to data from courses and from the capstone portfolio process (in which students demonstrate how their learning experiences have met the learning outcomes), the MLS program will conduct an annual graduate survey to get student feedback on the program's achievement of the goals and the learning outcomes. The program will also conduct an employer survey every third year to get employer perspective on the goals and the learning outcomes. Finally, in addition to a survey upon graduation, alumni in the program will be surveyed every other year to assess the impact of the program over a longer time-horizon.

The success of the program will be measured by student success in the courses, through student reflection in the Learning from Practice Seminar, student presentations and reflection in their individual portfolios and presentations, and from the surveys.

Students will not seek licensure, although in some cases (e.g. human resources) students may qualify to take certain specialization examinations. The goal for retention is 90% or more (the financial projections assume 90% retention) and that all retained students will graduate. Because this program is designed for those working in fields that would benefit from the MLS and students can keep their jobs, the expectation is that students will typically keep the job that they have and, when appropriate, seek promotion within that field.

5.E. Student Preparation

The MLS program is designed for working professionals who would benefit from greater knowledge of law and from improved legal skills. Such professionals should have an undergraduate degree in any discipline, and some work experience in a field in which they deal with law or law-related issues.

The admissions process will be similar to other law-related programs in that it will ask about academic experience, seek academic performance metrics (such as GPA), ask for a personal statement and for a letter of recommendation. The main difference

between the application process for the MLS and the JD degree is that the MLS does not require students to take the Law School Admissions Test (or the Graduate Record Examination).

To be successful, students should have good analytical skills as well as good research and writing skills. The demands of the MLS are not as rigorous as the JD program, but still require skills that are reflected by strong academic performance.

5.F. Faculty and Administration

The person with primary responsibility for supervision and success of the program will be Jeffrey E. Thomas, Associate Dean for Strategic Initiatives and Graduate Studies. In addition, a full-time director will be hired who will have day-to-day administrative responsibilities for the MLS program and will teach five courses in the program. The Director will devote 100% of his or her time to the program, and Associate Dean Thomas is expected to devote 25% of his time to the program.

The instructional needs will be met by a combination of full-time faculty, the director, and adjunct teaching. Full-time law school faculty will teach in the program as part of their teaching load. Some will teach MLS courses in place of a JD course that will be taught in a rotation in their current load. Others will teach courses for a combination of MLS and JD students. The current planning is that five or more courses will be covered by full-time faculty. The Director of the MLS program will teach five courses in the program. Additional courses will be taught by adjuncts phased in over time. The current plan is to add two adjuncts in the second year of the program, four more in the third year, and four in the fourth year.

The following faculty have expressed a willingness to teach in the program. Percentage of time devoted depends on what other work responsibilities are included in the portfolio, whether the faculty member also has research responsibilities, and whether the course is taught solely to MLS students or if it is a course that combines MLS and JD students. The typical teaching package for a full-time, tenured or tenure-track faculty member is four courses. Such faculty members also have research and service responsibilities. A course taught by a full-time, tenured or tenure-track faculty member represents 10% of that faculty member's time if the course is for MLS students only, or if the course is combined JD/MLS students it represents 2% of the faculty time. Full-time non-tenure track faculty generally teach five courses and typically teach one or more writing-intensive or clinical courses. An MLS course taught by a full-time, non-tenure track faculty represent approximately 16% of that faculty member's time, or if the course is combined JD/MLS approximately 4% of that faculty member's time.

From the group working on program design, the teaching expectations are as follows: Jeffrey

E. Thomas, Associate Dean for Strategic Initiatives and Professor of Law (1
MLS course, 1 combined MLS/JD course) 12%

Ann Marie Marciarille, Emeritus Professor of Law (2 combined courses) 4%

Rana Lehr-Lehnardt, Associate Teaching Professor of Law (1 course) 16%
Irma Russell, Edward A. Smith/Missouri Chair in Law, The Constitution and Society
and Professor of Law (1 combined course) 2%
Michael Tripp, Clinical Professor of Law (1 course) 16%

From the group not directly involved in the program design who expressed a willingness to teach in the program:

Edward Cantu, Associate Professor of Law (1 course) 10%
Barbara Glesner Fines, Dean and Rubey M. Hulen Professor of Law (1 course) 10%
Chris Holman, Professor of Law (1 combined course JD) 2%
Nancy Levit, Associate Dean for Faculty, Curator's Professor, and Edward D. Ellison
Professor of Law (1 course, co-taught) 5%
Danielle Merrick, Clinical Professor and Director of the Entrepreneurial Legal Services
Clinic (1 combined course) 4%
Sean O'Brien, Professor of Law (1 combined course) 2%
John W. Ragsdale, Jr., Emeritus Professor of Law (1 combined course) 2%
Mikah K. Thompson, Associate Dean of Diversity, Equity & Inclusion and Associate
Professor of Law (1 course, co-taught) 5%

Five additional courses will be taught by the Director of the program, which will account for 50% of the director's time.

Adjuncts are expected to teach a single course on a part-time basis. Like the JD program, adjuncts for the MLS program will be recruited from the professional workforce and will bring valuable real-world perspective to the classroom. However, unlike the JD program where the adjuncts are volunteers who teach without compensation, adjuncts in the MLS program will be paid because they will be teaching in an online environment that requires additional training and will be more time-intensive than the face-to-face classroom teaching. For planning purposes, the financial projections have used the figure of \$5000 per course for adjunct faculty. It is expected that no more than 50% of the credit hours will be provided by adjunct-taught courses. Once enrollment is large enough and consistent enough, adjunct positions may be combined and used to help fund a full-time faculty position to support the program.

Advising will be provided by the Director once that person has been hired. Prior to that time, advising will be shared by faculty teaching the required courses. The School of Law faculty current provide advising for approximately 400 JD and LLM students.

5.G. Alumni and Employer Survey

The UMKC School of Law had strong and enduring relationships with employers of graduates of the JD program. It would develop similar relationships with employers of MLS students. This has begun with the solicitation of letters of support from employers.

As with the JD program, the School of Law will build informal relationships with employers through their participation in career development programming for MLS students. In particular, the MLS students will need to present their portfolio to a panel as part of their capstone experience. Panelists will include supervisors from employers who have MLS students or who support the MLS program. The portfolio presentations will help to inform the employers of the details of what MLS students have learned and how it applies to their career objectives. At the same time, the portfolio presentations will provide an opportunity for employers to interact with faculty members and the director of the program providing an opportunity for informal feedback.

In addition, the School of Law will initiate alumni and employer surveys to be administered the year after graduation, three years after graduation, and five years after graduation. These surveys will evaluate the level of satisfaction that employers have with the program and will provide a more formal opportunity for employers to make suggestions for program improvement. Our goal is that in excess of 75% of alumni and employers will be satisfied or very satisfied with the outcomes from the MLS program.

5.H. Program Accreditation

Because UMKC and the School of Law currently offer graduate degrees at the master's level, the creation of a new master's degree program is covered by UMKC's current accreditation with the Higher Learning Commission. The new degree program will need to be reported to the Higher Learning Commission, and it will be part of the accreditation review in the next review cycle.

The American Bar Association ("ABA") has accreditation authority over the JD program, but does not have accreditation authority over Master's level programs. However, in its capacity as the accreditation agency for the JD program, the ABA requires that the School of Law obtain ABA acquiescence for the MLS program with the primary objective of determining whether it will have an adverse impact on the JD program. The School of Law will seek ABA acquiescence in parallel with the review and approval process for the Board of Curators.

6. Appendix

1. Letters of Support

March 16, 2023

Barbara Glesner Fines
Dean & Rubey M. Hulen Professor of Law
University of Missouri – Kansas City School of Law
500 East 52nd Street
Kansas City, Missouri 64110

Re: Letter of Support for Masters in Legal Studies

Dear Dean Glesner Fines:

I am pleased to add the support of the University of Missouri School of Law for the proposed Masters in Legal Studies (MLS) program at the UMKC School of Law. I know that you and Dean Lidsky had discussed this initiative over the past three years as UMKC has been building its proposal. This is an exciting opportunity to add an essential component of executive education for the region. The program will complement but not compete with the J.D. and LL.M. programs each of our law schools provide.

While this degree program is not a strategic direction that MU Law is taking at this time, I see the program providing many opportunities for future collaboration and growth. We have discussed, for example, the opportunity for sharing our courses in conflict management offered as part of our LLM in Dispute Resolution or the possibility of our faculty collaborating on course sharing as we have done in other programs in the past.

We are excited by this new development at UMKC Law School, are happy to assist in any way we can to make the program successful and look forward to learning more.

Sincerely,



Paul Litton
Interim Dean
University of Missouri School of Law

February 9, 2023

Jeffrey E. Thomas

Associate Dean for Strategic Initiatives and Graduate Programs

University of Missouri – Kansas City School of Law

500 East 52nd Street

Kansas City, Missouri 64110

Re: Letter of Support for Masters in Legal Studies

Dear Jeff:

I write this letter with deep excitement for individuals who want to advance their knowledge and skillset applicable to highly regulated industries by way of the proposed Masters in Legal Studies (MLS) program at the UMKC School of Law. In my experience as privacy and security counsel and litigation counsel [at Oracle Cerner (formerly Cerner Corporation)], I have worked with many employees who have some responsibilities that would benefit from the kind of training being offered in the MLS program. With a keen focus on health data and other sensitive information, I believe that such training would help them be more effective in their work and would prepare them for advancement in their careers. Many employees would be interested in pursuing this degree and would appreciate the opportunity to pursue it on a part-time basis in an online format so that they can continue their careers.

For example, we have employees whose responsibilities include:

- Execution, consultation, guidance, and education to internal business units related to GDPR, HIPAA, CCPA/CPRA, PIPEDA and other privacy regulations
- Review and interpretation of state and local laws for applicability to reported privacy and security incidents
- Providing privacy guidance and leadership cross-organizationally and globally, including for compliance teams, IT, engineering, HR, procurement, asset teams, client services teams, security, marketing, and others
- Leading the design and execution of Privacy Threshold Assessments to ultimately mature into Privacy Impact Assessments, which identify and catalog processing activities, asset and data inventory, risks, sub-processors, cross border processes, agreements, mitigation plans, and more
- Creating and maintaining supporting processes used in the HIPAA breach notification space, including risk evaluation forms and the client notification forms.
- Facilitating the complaint handling process and reviewing all client communications/notifications for privacy and security incidents across the U.S. and Canada
- Maintaining subject matter expertise during audits including ISO 27001 internal and external, HITRUST, EHNAC, HIPAA, and internal corporate audits
- Reviewing Business Associates Agreements, Master Agreements, Data Use Agreements, and other contracts to determine contractual obligations related to the reporting of inadvertent disclosures, breaches, and security incidents.
- Coordinating activities with security and HR related to confidentiality, integrity, and availability of processing personal data
- Processing data subject requests

I have daily conversations with the employees charged with the above responsibilities about the nuances of the legal frameworks that govern their work. When necessary, I have conducted real time informal and formal training on reading and understanding statutory provisions applicable to a particular scenario. While conversations and training opportunities are helpful, these employees are seeking more. With the benefit of the MLS, these employees would be better equipped to carry out these responsibilities. In addition, they would be better equipped to assist the lawyers who provide legal advice and representation in this area.

I expect that other employers in the same industry would also find the MLS to be valuable for their employees. Once the degree becomes established, I predict that employees who have earned an MLS will be in greater demand and will earn higher salaries.

I am grateful UMKC continues to lead by being the first to offer the MLS program in the Kansas City community. I understand that more and more law schools are offering the program around the country, and I support having the options available here as well.

Good luck in your efforts for this program. I look forward to the launch.

Sincerely,
Lischen Reeves Gibson

February 20, 2023

Jeffrey E. Thomas
Associate Dean for Strategic Initiatives and Graduate Programs
University of Missouri – Kansas City School of Law
500 East 52nd Street
Kansas City, Missouri 64110

Re: Letter of Support for Masters in Legal Studies

Dear Jeff:

I am writing this letter to show my support for the proposed Masters in Legal Studies (MLS) program at the UMKC School of Law. In my experience as an auditor for Mayer Hoffman McCann P.C. I have worked with many employees who have responsibilities that would benefit from the kind of training that is being offered in the MLS program. I believe that such training would help them be more efficient and effective in their work and would better prepare them and potentially help accelerate advancement in their career. Many employees would be interested in pursuing this degree and would appreciate the opportunity to pursue it on a part-time basis in an online format that would allow them to continue their careers.

For example, we have employees in human resources whose responsibilities include reviewing employment offers, temporary employee contracts, remote employees work arrangements and various other types of employment contracts in which knowledge regarding employment laws and regulations would be very important. Additionally, as auditors, we are responsible for reviewing contracts of various sorts, for example, leases, lines of credit, term loans, etc. and again having a certain level of legal knowledge in reviewing these contracts would be very beneficial. With the benefit of the MLS, these employees would be better equipped to carry out these responsibilities. In addition, they would be better equipped to assist the lawyers who provide legal advice and representation in both of these areas.

I expect that other employers in the same industry would also find the MLS to be valuable for their employees. Once the degree becomes established, I predict that employees who have earned an MLS will be in greater demand and will earn higher salaries.

I am not aware of other schools yet offering the MLS program in the Kansas City area, so this seems like a great opportunity for UMKC. I understand that more and more law schools are offering the program around the country, and I support having the options available here as well.

Good luck in your efforts for this program. I look forward to the launch.

Dana Dreier

Dana Dreier, CPA
Shareholder, Mayer Hoffman McCann P.C.



Children's Mercy

KANSAS CITY

Office of Equity and Diversity

January 31, 2023

Jeffrey E. Thomas

Associate Dean for Strategic Initiatives and Graduate Programs

University of Missouri – Kansas City School of Law

500 East 52nd Street

Kansas City, Missouri 64110

Re: Letter of Support for Masters in Legal Studies at UMKC Law

Dear Jeff:

I am writing this letter to advocate for the creation of a Masters in Legal Studies (MLS) program at the UMKC School of Law. Having served as the Chief Equity and Inclusion Officer at Children's Mercy Hospital (CMH) for the past 2 ½ years, I can attest to the fact that this is a much-needed avenue of education for employees and employers in the greater KC area and beyond.

I have worked with many employees who have some responsibilities that would benefit from the kind of training being offered in the MLS program. For example, through the equity healthcare work I oversee at CMH, I regularly work on human resource, legal, compliance and policy issues with employees, particularly supervisory and management level employees.

With the benefit of the MLS, these employees would be better equipped to carry out these responsibilities. I believe that such training would help them be more effective in their work by helping them to proactively see and understand issues before they become potential liability risks. In addition, they would be better equipped to assist the lawyers who provide legal advice and representation in this area.

The training could also support opportunities for advancement in their careers. I believe many employees would be interested in pursuing this degree and would appreciate the opportunity to pursue it on a part-time basis in an online format so that they can continue their careers.

I expect that other employers in healthcare would also find the MLS to be valuable for their employees. Once the degree becomes established, I predict that employees who have earned an MLS will be in greater demand and will earn higher salaries.

I am not aware of other schools yet offering the MLS program in the Kansas City area, so this seems like a great opportunity for UMKC to distinguish itself among its competitors. I understand that more and more law schools are offering the program around the country, including my alma mater, Tulane Law School, and I support having the options available here as well.





Children's Mercy
KANSAS CITY
Office of Equity and Diversity

Good luck in your efforts for this program. I look forward to the launch.

Sincerely,
Michelle Wimes, JD

A handwritten signature in black ink that reads "Michelle P. Wimes".

SVP, Chief Equity, and Inclusion Officer





School of Nursing and Health Studies

February 8, 2023

Jeffrey E. Thomas
Associate Dean for Strategic Initiatives and Graduate Programs
University of Missouri-Kansas City School of Law
500 East 52nd Street
Kansas City, Missouri 64110

Re: Letter of Support for Masters in Legal Studies

Dear Jeff,

I am delighted to write this letter of support for the proposed Masters in Legal Studies (MLS) program at the UMKC School of Law. In my experience as Interim Dean of the UMKC School of Nursing and Health Studies, as well as throughout my career in nursing, I have worked with many employees and practitioners who would benefit from the kind of education being offered in the MLS program. This additional education would allow them to be more effective in their work as well as preparing them for advancement in their careers. Registered nurses have a significant interest in the law and how it applies to the nursing profession, patients and healthcare institutions. Many registered nurses and members of health care professions would be interested in pursuing this degree and would appreciate the opportunity to pursue it on a part-time basis in an online format as they continue in their careers.

For example, many of our nursing graduates and our health sciences graduates enter administrative positions that require them to have a deep understanding of legal regulations. With the benefit of the MLS, these employees would be better equipped for their positions and even more valuable to their employing institutions. Employers will value the MLS degree and I anticipate employees with the degree will be in greater demand and earn higher salaries.

I am not aware of other schools in the area that offer the MLS program, so this is a great opportunity for UMKC. A growing number of law schools across the country are offering MLS programs and I support having the opportunity in Kansas City, as well.

I wish you success with the MLS program and I am looking forward to seeing it launch.

Sincerely,

A handwritten signature in blue ink that reads "Melissa Joy Roberts".

Melissa Joy Roberts JD, MSN, APRN-BC
Interim Dean

UNIVERSITY OF MISSOURI-KANSAS CITY

Health Sciences Building | 2464 Charlotte St. | Kansas City, MO 64108
o: 816-235-1700 | f: 816-235-1701 | nurses@umkc.edu | sonhs.umkc.edu

February 7, 2023

Jeffrey E. Thomas

Associate Dean for Strategic Initiatives and Graduate Programs

University of Missouri – Kansas City School of Law

500 East 52nd Street

Kansas City, Missouri 64110

Re: Letter of Support to establish a Masters in Legal Studies at UMKC

Jeff:

I want to show my support for the proposed Masters in Legal Studies (MLS) program at the UMKC School of Law. In my experience running ELUX Capital Management, I have worked with many on our team who have responsibilities that would benefit from the kind of training being proposed in the MLS program. Diversified and flexible programs for the workforce to continue to adapt the a complex business world is essential for a university to continue to adapt to the needs of a their community.

We have on our team those whose responsibilities include needing more than a basic understanding of the legal process as we take land through the entitlement process, receive approvals, and ultimately develop the properties. With the benefit of the MLS, these leaders would be better equipped to navigate the increasingly complicated legal side of business.

I am a graduate of the Bloch School at UMKC and wish there had been more legal grounding in my MBA program. I've found that once I began to build my own company the legal side of things is a daily consideration.

I am not aware of other schools yet offering the MLS program in the Kansas City area, so this seems like a great opportunity for UMKC to take a leap of leadership forward. I see the great need to better equip students with a legal background in the business world. UMKC serving as Kansas City's university would be the natural choice to provide this locally to entrepreneurs, employees, and business leaders alike.

I appreciate your team's efforts and I hope you can build a beneficial program that would serve the Kansas City community for years to come.



Andrew Talbert

ELUX Capital Management - Managing Partner - Miami, Florida

Letter of Support for Masters of Legal Studies

February 6, 2023

Jeffrey E. Thomas
Associate Dean for Strategic Initiatives and Graduate Programs
University of Missouri – Kansas City School of Law
500 East 52nd Street
Kansas City, Missouri 64110

Dear Jeff:

I understand that you are contemplating creating an online MLS degree program or programs at UMKC. I have a substantial amount of experience in this area. Five or six years ago I created a 100% online Masters of Jurisprudence degree in Labor and Employment Law at Tulane Law School for HR professionals and/or for those that want to join that profession. I was the Director of the program and taught 3 of the 12 courses. Last year my wife and I decided to move to Scottsdale, Arizona and I am now a full-time member of the ASU Law faculty teaching in both the JD and online programs.

Over the years that I was in charge of the Tulane online programs, I received scores of unsolicited emails from students detailing how the program had changed their life, both personally and professionally. So many of them recounted how they had received either raises, promotions, or new and better jobs because of (a) the skills they obtained in the program; and (b) the presence of a Masters degree from a law school on their resume. In fact, I had one student who went from Assistant Director of HR to President of the company within three years of joining the program.

This L&E degree program was so successful that the University asked me to create additional programs, which I did in the areas of Energy Law, Environmental Law, and Title IX compliance.

In my experience, the key to creating a maintaining an excellent online program is to (1) provide courses that focus on the knowledge and skills needed for whatever client population is your target group; (2) enlist instructors who are committed to creating good materials and providing quality instruction in a way that is different from the way in which we teach traditional J.D. courses; and (3) choose an OPM that will be effective in providing the services and functions that you need.

If you think that there is some way in which I can of any additional assistance, I would be happy to discuss that with you.

I wish you good luck in your future efforts.

Joel Wm. Friedman
Professor of Law
Sandra Day O'Connor College of Law
Arizona State University

Executive Summary

New Degree Program, B.A. in Health Humanities University of Missouri - Columbia

The College of Arts and Science (CAS), in collaboration with the College of Health Sciences (CHS), is proposing a Bachelor of Arts (BA) in Health Humanities. The University of Missouri will be the only public university in the state to offer this degree. Health Humanities, also known as "Medical Humanities," integrates courses in the humanities, public health, and social/behavioral sciences to examine the cultural, historical, economic, and demographic factors that impact health, healthcare, and health policy.

The degree will appeal to any student interested in a career that interfaces with the physical, technological, social, and global dimensions of individual and community health. We expect this BA to appeal to pre-med and pre-health students as a secondary degree because it will enhance clinical empathy skills and make them more competitive applicants to medical school and health professions graduate programs. However, pre-med students can also apply to medical school with this BA as a standalone or primary degree—provided that they take the additional science and math pre-med requirements for medical school—and still finish in four years.

This degree also serves a much broader population than pre-med students. As a standalone degree, Health Humanities will help prepare students for a variety of careers in health fields as public health professionals, health insurance specialists, health policymakers, health administrators, and human resources professionals. For students with primary degrees in Communication, Public Administration and Policy, Business, or Health Sciences, a BA in Health Humanities will enhance the marketability of their primary degree, broaden their career options, and make them more competitive applicants to graduate school. A BA in Health Humanities at MU will have positive impacts within and beyond Missouri by increasing holistic approaches to health care.

No. 3

Recommended Action – BA in Health Humanities – 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 BA in Health Humanities to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee: YES NO

Curator Blitz

Curator Graves

Curator Layman

Curator Sinuefield

The motion _____.

Roll call vote of Board: YES NO

Curator Blitz

Curator Brncic

Curator Fry

Curator Graves

Curator Holloway

Curator Layman

Curator Sinuefield

Curator Wenneker

Curator Williams

The motion_____.

New Degree Program Proposal:

**Bachelor of Arts in
Health Humanities**

Missouri University of Science and Technology

June 2023 Board of Curators Meeting

Contents

Executive Summary	3
1. Introduction	7
2. University Mission & Program Analysis	10
2.A. Alignment with University Mission & Goals	10
2.B. Duplication & Collaboration within Campus, Across System.....	15
3. Business-Related Criteria & Justification.....	16
3.A. Market Analysis.....	16
3.A.1. Rationale & Workforce Demand for the Program	16
3.A.2. Student Demand for the Program	22
3.B. Financial Projections.....	25
3.B.1. Additional Resources Needed.....	25
3.B.2. Revenue.....	26
3.B.3. Net Revenue.....	26
3.B.4. Academic and Financial Viability	28
3.C. Business Plan: Marketing, Student Success, Transition & Exit Strategies	28
3.C.1. Marketing Plan.....	28
3.C.2. Student Success Plan.....	30
3.C.3. Transition Plan	31
3.C.4. Exit Strategy.....	31
4. Institutional Capacity	31
5. Program Characteristics	32
5.A. Program Outcomes	32
5.B. Program Design & Content.....	33
5.C. Program Structure	37
5.D. Program Goals and Assessment.....	42
5.E. Student Preparation	43
5.F. Faculty and Administration.....	43
5.G. Alumni and Employer Survey.....	44
5.H. Program Accreditation	44
6. Appendices	44

Executive Summary

The College of Arts and Science (CAS), in collaboration with the School of Health Professions (SHP), is proposing a Bachelor of Arts (BA) in Health Humanities. The University of Missouri will be the only public university in the state to offer this degree. Health Humanities, also known as "Medical Humanities," integrates courses in the humanities, public health, and social/behavioral sciences to examine the cultural, historical, economic, and demographic factors that impact health, healthcare, and health policy. The degree will appeal to any student interested in a career that interfaces with the physical, technological, social, and global dimensions of individual and community health. We expect this BA to appeal to pre-med and pre-health students as a secondary degree because it will enhance clinical empathy skills and make them more competitive applicants to medical school and health professions graduate programs. However, pre-med students can also apply to medical school with this BA as a standalone or primary degree—provided that they take the additional science and math pre-med requirements for medical school—and still finish in four years.² However, this degree also serves a much broader population than pre-med students. As a standalone degree, Health Humanities will help prepare students for a variety of careers in health fields as public health professionals, health insurance specialists, health policymakers, health administrators, and human resources professionals. For students with primary degrees in Communication, Public Administration and Policy, Business, or Health Sciences, a BA in Health Humanities will enhance the marketability of their primary degree, broaden their career options, and make them more competitive applicants to graduate school. A BA in Health Humanities at MU will have positive impacts within and beyond Missouri by increasing holistic approaches to health care.

Health Humanities training creates more effective doctors and health workers and profitable hospitals by enhancing diagnostic precision and building holistic approaches to person-centered care.

- *More Precision, Fewer Malpractice Suits*
Health Humanities education improves doctor/patient relationships. Increased empathy yields more diagnostic accuracy; more effective psychological/pharmacological interventions; and fewer malpractice suits.³ These skills also reduce burnout and increase well-being among

² See attached degree map "BA in Health Humanities for Pre-Med for more information. This degree map assumes a pre-med student that is entering without any AP or dual credits or taking summer courses. Since most pre-med students enter with AP and/or dual credits and take summer courses, finishing a BA in Health Humanities with career-ready skills for the MCAT and medical school is even more feasible.

³ Mercer SW, Reynolds WJ. Empathy and the quality of care. *Br J Gen Pract* 2002; **52**: S9–S13; Mercer SW, Watt GCM, Reilly D. Empathy is important for enablement. *BMJ* 2001; **322**: 865. See also Stelfox, H. T. Gandhi, T.K., Orav, E.J., & Gustavson, M.L. (2005). The relation of patient satisfaction with complaints against physicians and malpractice lawsuits. *The American Journal of Medicine*, 118(10), 1126-1133.

doctors and health professionals.⁴

- *More Profitable Hospitals*
Patient satisfaction scores affect hospital rating platforms and are used to calculate Medicare reimbursement rates under the Affordable Health Care Act. Improving bedside manner makes good business sense for hospitals.
- *Better Patient Outcomes*
Establishing good communication and patient trust significantly affect “hard health outcomes” (e.g. diabetes, pulmonary infections, hypertension). More effective communication skills not only improve patient compliance with prescribed treatments but also increase patient self-advocacy (i.e. comprehension/coping skills for health issues or preventative care).⁵

The nation’s best medical schools, as well as many AAU and peer institutions, offer health/medical humanities baccalaureate training.

- *Rapid growth in BA programs in Health Humanities*
As of 2020, the number of medical humanities baccalaureate programs (including majors, minors, and certificates) has increased more than sevenfold in the last twenty years (from 15 to 102).⁶ Many universities boasting the top medical schools offer medical humanities at the undergraduate level, as do many of our peer and fellow AAU institutions.⁷ While the minor remains the most popular format, more than a quarter of programs currently in existence are majors.
- *Higher MCAT Scores, More Postgraduate Options*
Students can be competitive medical school applicants with a BA in Health Humanities as a primary or secondary degree. In comparison with premedical students in science majors, premedical humanities students demonstrate equivalent MCAT performance; equal or superior performance in medical school; higher likelihood of earning academic honors; increased clinical research and performance; and a greater

⁴ See Hedy S. Wald, Jonathan McFarland & Irina Markovina (2019) Medical humanities in medical education and practice, *Medical Teacher*, 41:5, 492-496, DOI: [10.1080/0142159X.2018.1497151](https://doi.org/10.1080/0142159X.2018.1497151). See also Mangione S, Chakraborti C, Staltari G, Harrison R, Tunkel AR, Liou KT, Cerceo E, Voeller M, Bedwell WL, Fletcher K, Kahn MJ. Medical Students' Exposure to the Humanities Correlates with Positive Personal Qualities and Reduced Burnout: A Multi-Institutional U.S. Survey. *J Gen Intern Med*. 2018 May;33(5):628-634. doi: 10.1007/s11606-017-4275-8. Epub 2018 Jan 29. PMID: 29380213; PMCID: PMC5910341.

⁵ Kelley JM, Kraft-Todd G, Schapira L, Kossowsky J, Riess H (2014) The Influence of the Patient- Clinician Relationship on Healthcare Outcomes: A Systematic Review and Meta-Analysis of Randomized Controlled Trials. *PLoS ONE* 9(4): e94207

⁶ Lamb, Erin Gentry, Sarah L. Berry and Therese Jones. *Health Humanities Baccalaureate Programs in the United States*. Cleveland, OH: Case Western Reserve University School of Medicine. March 2020.

⁷ Baylor (BA, Medical Humanities); Brown (BA, Medical Humanities & Ethics); Columbia (BA, Medical Humanities); Harvard (BA, Medicine & Society); John's Hopkins (BA, History of Science, Medicine, & Technology); Penn (BA, Health & Societies); University of California-San Diego (BA/BS Global Health); University of Indiana (BA, Medical Humanities & Health Studies); University of Wisconsin-Madison (BA, Medical History & Bioethics); and Vanderbilt (BA, Medicine, Health & Society) all have undergraduate majors like Health Humanities.

understanding of social determinants of health.⁸ The revised MCAT features a Humanities section that requires analytical skills from ethics, philosophy, and cultural studies. Health Humanities will offer our students a competitive edge as job seekers or as applicants to medical or graduate school.⁹

- *Cutting-edge medical school preparation*

In 2020, the American Association of Medical Colleges urged medical schools to integrate the arts and humanities into their curricula to cultivate “a deep understanding of the human condition.” Over half of AAU medical schools include some form of medical humanities training. The BA in Health Humanities provides advance training and resiliency for pre-med students, so they enter medical school with better interpersonal skills for ensuring superior patient care and avoid burnout.

Health Humanities serves a large student population—not just pre-med students—by ensuring that required general education credits are professionally relevant for a variety of health-oriented career and graduate school pathways.

- *Added economic value through professionally relevant general education courses*

All students must take general education credits in the College of Arts and Science, but they are often disconnected courses. This program enables non-humanities students to get the most out of required humanities and social science credits through a professionally relevant secondary major that deepens critical thinking skills and builds a holistic understanding of social and cultural dimensions of health.

- *Broad career training for more versatile graduates and diversified career options without adding time to degree*

As letters of support from the Missouri Hospital Association (MHA) and SSM Health attest, graduates of this program will be highly competitive for a variety of health- focused jobs (see also Vanderbilt and Center for Health Policy [CHP] letters). Health Humanities programs are increasingly preparing students for an array of roles in government, the healthcare industry (including marketing, sales, medical research, consulting, and insurance), civic engagement, and administration in the private and public sectors.

- *Unique high-impact curricular collaboration of arts, humanities, and sciences*

This BA provides a rare opportunity for clinical and non-clinical students to

⁸ Lamb, Erin Gentry, Sarah L. Berry and Therese Jones. *Health Humanities Baccalaureate Programs in the United States*. Cleveland, OH: Case Western Reserve University School of Medicine. March 2020

⁹ Ratzan RM. How to Fix the Premedical Curriculum—Another Try. *JAMA*. 2019;322(8):710–711. doi:10.1001/jama.2019.11480

engage in sustained, collaborative learning and problem-solving. Arts and humanities students will be enriched by more exposure to clinical challenges faced by hospitals and health workers and greater engagement with STEM/SHP faculty. SHP students will develop a tolerance for ambiguity and a deepened awareness of the social, historical, and cultural dimensions of health issues.

Ever-changing health challenges require a more innovative, comprehensive, service-oriented approach that integrates the best of the humanities and sciences.

- *Complex social issues require more multidimensional training than the humanities or sciences alone can provide*

Societies are increasingly confronted with challenging, multidimensional health issues such as medical privacy, rural health inequality, addiction, aging, disability access, and the ethics of new technologies and treatments. The American Academy of the Arts and Sciences, National Academies of Sciences, Engineering and Medicine, National Research Council, and the National Science Foundation unanimously recommend multidisciplinary education that assembles humanists, social scientists, physical and biological scientists, and engineers as the only way forward in addressing major global health issues of the 21st century.

- *Undergraduate education about social determinants of health, particularly rural health challenges, will prepare our graduates to effectively serve communities that need them the most.*

According to the Federal Health Services and Resources Administration, nearly every county in Missouri is short of primary care providers, a shortage that disproportionately impacts our rural communities. There is a strong correlation between premedical humanities training and students' specializing in "whole person" specialties like primary care, pediatrics, and psychiatry.¹⁰ From courses in rural health sociology, to policy internship opportunities with the Center for Health Policy, to cooperation with MU's Rural Scholars Program to ensure their pre-accepted medical students take Health Humanities courses, Health Humanities emphasizes broad cultural literacy for addressing rural communities' unique health access needs. A BA in Health Humanities will help CAS/SHP serve pioneering initiatives, such as NextGen Precision Health and the School of Medicine's Rural Track Pipeline and Rural Scholars Programs, by fostering precise diagnosis and more attentive care that comes from a deepened understanding of the relationship among individual, cultural, community, and national health.

¹⁰ See Lamb, Gentry, Berry and Jones, 2020.

1. Introduction

ACADEMIC COMPONENTS

The BA (30 credits) includes broad Foundations courses (18 credits), consisting of an introductory course sequence, a creative practice course, and a capstone experiential course; two subject area courses (6 credits) and two elective courses (6 credits).

Students must take a minimum of 21 credits in CAS. The introductory sequence includes one new course (“Introduction to Health Humanities”) alongside broad training in medical ethics, health communication, public health promotion, and the impacts of representations of health and illness. To accommodate their diverse needs, SHP and CAS students can choose between “ENG 2000: Literature and Medicine” or “PHIL 2440: Medical Ethics” to fulfill one requirement, choosing the course that is more professionally advantageous to the student. Students must also take one “creative practice” course in the arts, which develops a tolerance for ambiguity as well as a deepened understanding of the importance of artistic expression in representing and understanding individual and collective experiences of health and illness. The major has four subject area concentrations:

- *Community, Health & Society:* This subject area includes courses that consider the relationship among community norms, health communication, and population-level health issues.
- *History, Narrative, and Ethics:* This subject area includes courses that consider the representation and history of health, disability, illness, medicine in literature and media, as well as the ethical dimensions of technologies and treatments.
- *Global Health:* This subject area includes courses that consider how health issues, policies, healthcare systems, and interventions vary around the world.
- *Identity and Health:* This subject area includes courses that consider individual health in relation to well-documented health disparities across different groups to create strategies for more effective care and policy.

Students must take 6 credit hours (2 courses) within one subject area as well as 6 credit hours of electives (2 courses) from any subject area. A variety of existing courses from CAS and SHP comprise the subject area and elective courses. Finally, students must complete a capstone experiential course requiring an academic or creative project or an experience that allows students to integrate knowledge gained through prior coursework and learn professional skills (e.g. study abroad, service learning, or internship for a minimum of 3 credits). The capstone must be pre-approved by the program director.

CAREER PATHS

The B.A. degree provides excellent preparation for medical school and other graduate training in medical fields, as well as careers in areas such as public health, patient advocacy, law, health education, rehabilitation, social work, health care administration, and community activism. As a secondary major, Health Humanities makes students competitive for admission to postgraduate programs in the following areas: dentistry, medicine, pharmacy, occupational therapy, and physical therapy. As a primary major, students can pursue careers in public health, health administration, social work, nursing, law, and physician assistant studies. Other career possibilities include art therapist, medical illustrator, medical historian, medical anthropologist, medical librarian, health educator, health researcher (clinical or social), research technician, nonprofit facilitator, health insurance professional, or health policymaker.

EVOLUTION OF THE PROGRAM: WHY NOW?

The proposal for this major developed over the past four years with support from CAS and SHP. There are three main reasons why it is being proposed at this time.

First, allied health fields and medical schools increasingly are demanding the intellectual and professional versatility that Health Humanities training ensures. The revised MCAT now includes sections on cultural studies and ethics. Training in Health Humanities has been shown to reduce medical student/physician burnout, improve diagnostic accuracy, and thus ensure hospital profitability. Most AAU medical schools now include some form of medical humanities training for medical students, and universities with the highest-ranking medical schools offer health humanities training at the undergraduate level. As the letters of support from SSM Health and the Missouri Hospital Association attest, Health Humanities graduates will graduate with broad career readiness for an array of allied health fields rather than only narrowly prepared for one type of job.

Second, all students must take general education credits within CAS, so the idea for this program developed from a desire to offer more comprehensive and professionally relevant educational opportunities for STEM, humanities, and health professions students seeking careers in health-oriented fields. SHP majors are some of the fastest rising on the campus. Rather than taking a series of disconnected electives in CAS, a major in Health Humanities offers a menu of interdisciplinary courses that will be directly applicable to diverse health careers as a second, complementary major—all without adding time to degree. This degree was designed to be a valuable secondary degree with a variety of primary degrees—from a BHS in Health Sciences to a BA in Communication—because our students are increasingly interested in multiple credentials that bolster their career-readiness and make them standout applicants to jobs, medical, and graduate school. A BA in Health Humanities, rather than a minor, not

only offers students comprehensive education that encompasses the full depth and breadth of the range of humanities research that comprises the field but also more convincingly showcases their additional professional skills and academic achievement for jobs, graduate, and medical school than a minor could.

Third, this major will bring our university in alignment with research recommendations from major scholarly and professional organizations that indicate a need for greater collaboration between the humanities and sciences to produce the most effective and inclusive solutions to health issues of the 21st century. The American Academy of the Arts and Sciences, National Academies' of Sciences, Engineering, and Medicine, National Research Council, and the National Science Foundation unanimously recommended that foundations, universities, laboratories, research centers and government assemble humanists, social scientists, physical and biological scientists, and engineers address major global health issues with more multidisciplinary and intellectually versatile approaches.¹¹ The Director of Health Humanities is already collaborating with unique campus resources such as The Connector to facilitate grant writing opportunities for scientists and humanists, particularly for more successful Broader Impact Statements for NSF grants. Identifying and assembling faculty whose research and teaching contribute health humanities will not only deepen MU's network for innovative, collaborative scholarship but also provide unique learning opportunities for students. For example, Introduction to Health Humanities students in Fall 2023 will have the opportunity to attend discussion panels, featuring faculty from humanities, STEM, and our medical school, that demonstrate how different researchers address key health issues and how their methods, findings, and research justifications vary, conflict, and converge across fields—a series of events (“Health Humanities, Medicine, and the World”) that NextGen Precision Health has graciously offered to co-sponsor and host.

BUILDING INNOVATION FROM EXISTING COURSES AND FACULTY

This BA harnesses a variety of currently disconnected courses throughout CAS and SHP and unifies them into a wholly unique cross-disciplinary and cross-campus curriculum. This major has only necessitated the development of one new course, “Introduction to Health Humanities,” which has been approved as a general education course that fulfills the campus humanities requirement. Comparative enrollment data suggest that this new course will be very popular: two related courses, the Department of Philosophy's PHIL 1150: Introduction to Bioethics and PHIL 2440: Medical Ethics. have shown steady and consistent growth since 2017. In AY 21-22, PHIL1150 and PHIL 2440 enrolled 640 and 690 students, respectively. That so many departments across CAS already had courses dedicated to health, medicine, illness, and disability not only indicates

¹¹ See *The Heart of the Matter: The Humanities and Social Sciences for a Vibrant, Competitive, and Secure Nation*. American Academy of Arts and Sciences (2013) <www.amacad.org>. See also National Academies of Sciences, Engineering, and Medicine. 2018. *The Integration of the Humanities and Arts with Sciences, Engineering, and Medicine in Higher Education: Branches from the Same Tree*. Washington, DC: The National Academies Press. doi: <https://doi.org/10.17226/24988>.

significant demand for diverse humanities courses about health issues but also will ensure that the new major builds on existing departmental strengths with established buy-in from faculty across both colleges.

PROGRAM DIRECTOR QUALIFICATIONS

Julie Passanante Elman will be responsible for the success of the program. Elman's research expertise is in disability studies, media studies, and science and technology studies. Elman has previously served her department as a Director of Undergraduate Studies and gained significant leadership and administrative experience as a Faculty Fellow of Humanities Initiatives and Inclusive Culture for the College of Arts & Science. She will serve as Program Director, and CAS will cover the expenses for this position.

2. University Mission & Program Analysis

2.A. Alignment with University Mission & Goals

This BA program supports MU's mission to improve the quality of life of Missourians and the world's citizens through teaching, discovery, and service, as expressed within the mission of the University of Missouri. Emphasizing high-quality, rigorous instruction, the interdisciplinary program meets a broad local, national, and global need for a major that applies integrative thinking, creative work, communication skills and analysis learned through the study of the humanities to health in public life, cultural representation, and clinical practice. Through diverse training in the arts and humanities, the program will enhance the intellectual and professional versatility of students to address Missouri's critical need for empathetic, community-centered clinicians, public health professionals and programs in the immediate future and long term.

MU will be the only public university in the state to offer this BA. Over half of AAU medical schools now include some form of medical humanities training in their medical education programs to cultivate the unique skills necessary to deliver empathic, patient-centered care. The nation's top medical schools, AAU and peer institutions offer BA programs that focus on humanistic approaches to health and illness, including Baylor (BA, Medical Humanities); Brown (BA, Medical Humanities & Ethics); Columbia (BA, Medical Humanities); Harvard (BA, Medicine & Society); John's Hopkins (BA, History of Science, Medicine, & Technology); Penn (BA, Health & Societies); University of California-San Diego (BA/BS Global Health); University of Indiana (BA, Medical Humanities & Health Studies); University of Wisconsin-Madison (BA, Medical History & Bioethics); and Vanderbilt (BA, Medicine, Health & Society).

The BA in Health Humanities aligns with the system, campus, and college priorities to foster greater collaboration between scientists and humanists to promote innovative research and teaching while broadening access to and improving the quality of health and health care of Missourians and others. By interfacing the research strengths of CAS and SHP, the BA contributes to Compacts I, II and III of the University of Missouri's Strategic Plan and will bring us into greater alignment with our AAU peer institutions as well as some of the top medical programs in the country, most of which offer health humanities training at the undergraduate level. By building resiliency and clinical empathy for health practitioners, the BA program also aligns with the NextGen Precision Health Initiative, which unites MU's four public research universities, University of Missouri Health Care, MU Extension, and private partners, with the goal of reducing health disparities and achieving more attentive, personalized care, targeted prevention, and more precise diagnosis. Likewise, the College of Arts and Sciences aims to bring scientists and humanists into research collaboration to deepen the broader impacts of our research innovations, while the School of Health Professions aims to deepen the necessary empathic and interpersonal skills to deliver effective and compassionate patient-centered care. Health Humanities contributes to all of these goals. By harnessing MU's diverse research strengths, the BA in Health Humanities will distinguish our institution by facilitating innovative research collaboration and undergraduate educational opportunities that are unique to our flagship university.

COMPACT I: STUDENT SUCCESS

Health Humanities will improve student retention, prepare students for diverse careers, and not increase time to degree, even as a secondary major (see attached Course Maps). Three letters of support, from SSM Health, the Missouri Hospital Association, and the Center for Health Policy, attest to the employability and diverse career options for Health Humanities majors. By transcending traditional biomedical approaches to health and illness with crucial knowledge about the complex social, historical, community, and interpersonal issues that impact health, healthcare, and health policy. As a novel cross-campus collaboration between the School of Health Professions and the College of Arts & Science, the program will bring non-humanities students into productive learning engagement with arts and humanities students, leading to more holistic and interdisciplinary approaches to health education.

Although we anticipate many pre-med students might add Health Humanities as a secondary major to a primary major in Biology or Chemistry, students can also apply to medical school with this BA as a standalone or primary degree—provided that they take the additional science and math pre-med requirements for medical school. In either scenario, students can still finish in four years.¹² Researchers found that, in comparison

¹² See attached degree map "BA in Health Humanities for Pre-Med for more information. This degree map assumes no summer courses and no dual or AP credits. As most pre-med students enter with AP and dual credits and take summer courses, finishing a BA in Health Humanities in four years, even with additional science and math courses, is achievable.

to pre-medical sciences students, premedical humanities students had equal or superior MCAT performance and academic/clinical performance during medical school or residency; increased likelihood of earning academic honors; increased clinical research interest and performance; and greater understanding of the social determinants of health. Vanderbilt University's letter of support correlates this report's findings on MCAT and medical school success: in 2019, 83% of Medicine, Health, and Society (MHS) students who applied to medical school were accepted—a rate that is more than double the national average. MHS students have also seen growing opportunities in private sector health startups.

While a BA in Health Humanities will certainly contribute to the professional development of pre-med majors and those seeking clinical or applied health careers, a BA in Health Humanities also prepares students for a variety of other health-oriented careers, augmenting training in social work, pharmacy, physical or occupational therapy, and speech therapy. Because the medical field is so broad, graduates with a health humanities degree can be found in a variety of career settings—working in public health departments, serving rural communities as health educators, or shaping health care policy reform as health advocates for Medicaid. Any healthcare practice, rehabilitation program, or health-related organization or agency can benefit from employing a health humanities major. This program will be attractive to students interested in a double major or those who want to engage in the health field as a non-practitioner. In this respect, the Health Humanities joins such majors as Health Science, Psychological Sciences, Public Health, and Human Development & Family Sciences as viable alternatives with strong economic prospects that allow students to continue to make timely progress to degree while also aligning with career interests and the job market. In this, it will serve critical campus goals of retention and time to graduation.

Additionally, this degree will add economic value to required general education credits. All students must take a variety of general education credits in the humanities and social sciences, and most general education credits are offered within the College of Arts & Science. The Health Humanities degree program adds significant economic value for a variety of students across multiple schools and colleges because it ensures that general education credits are career focused and professionally relevant. Rather than taking disconnected or less relevant electives, STEM, pre-med, and SHP students, as well as students in business, communication, or policy can harness their general education requirements more strategically into a second, complementary major that will enhance the marketability of their primary degree by demonstrating additional skills in patient-centered care and a comprehensive, systemic understanding of how social determinants of health impact health outcomes and health care delivery—all without adding time to degree. An affordable education in this vital discipline is anticipated to be a strong draw, bringing tuition dollars to the University at a time when

programs in the Health Humanities are experiencing dramatic growth.¹³ MU students will emerge as industry leaders, prepared to engage in the kinds of collaborative, multidimensional problem-solving that will shape social and clinical approaches to local, national, and global health challenges of the present and future.

COMPACT II: RESEARCH AND CREATIVE WORKS

By collecting a variety of faculty invested in diverse approaches to the study of health, illness, and disability, the BA in Health Humanities will assist campus research initiatives, such as The Connector, by helping identify humanists to collaborate on Broader Impact Statements for NSF and other highly prestigious grants. Compact II reads, “Our culture will embrace support of our students, our faculty and our staff to contribute to our impactful scholarship and give them the opportunity to pursue creative and innovative projects.” Health Humanities will stimulate new research collaborations among faculty across the humanities and sciences as well as provide unique research opportunities for undergraduates in our capstone experience.

All too often, researchers in the arts, humanities, and sciences are siloed from one another. However, complex health issues require more multidimensional training than training in the humanities or sciences alone can provide. As a society, we are increasingly confronted with an array of complex issues related to health: medical privacy, rural health, addiction, new approaches to aging, disability access, and ethical considerations of new technologies and treatments. The American Academy of the Arts and Sciences, National Academies of Sciences, Engineering and Medicine, National Research Council, and the National Science Foundation’s unanimously recommend that foundations, universities, laboratories, research centers and government assemble humanists, social scientists, physical and biological scientists, and engineers to address major global health issues. The innovative BA program in Health Humanities contributes to this broadly shared system, campus, and college goal in key two ways: by improving students’ educational experience and by fostering interdisciplinary collaboration among STEM, health professions, and humanities faculty. This program will proactively train students to meet emerging challenges in our healthcare system and increased demands for humanities training within medical education.

At the nexus of the College of Arts and Science, School of Health Professions, and NextGen Precision Medicine, Health Humanities will form a novel research hub that will bring health professionals, psychologists, and physicians into meaningful collaboration which scholars who study the history and sociology of medicine; cultural and literary representations of illness in art and culture; and the unique cultures of people with disabilities. Drawing from disciplines as diverse as Social Work, Occupational Therapy, English, Philosophy, and Women’s & Gender Studies, Health Humanities synergizes the diverse expertise of scholars from all areas of campus into research affinity areas. For

¹³ See Lamb, Gentry, Berry and Jones, 2020.

example, partnerships among MU biomedical engineers, colleagues in Textile and Apparel Management, and health humanities scholars can yield research innovations in the design of new imaging technologies, biotechnologies, and consumer health and wellness technologies, because the involvement of humanists will enhance engineers' and designers' understandings of the social and cultural factors that lead to inclusive, efficient, and more universal design. In collaboration with psychologists at the Missouri Center for Addiction Research and Engagement, humanists and social scientists can contribute to the study of addiction by considering historical, cultural, geographic, and community risk factors to develop effective interventions and deeper understandings of causes, impacts, and consequences. By assembling clinicians, humanists, engineers, psychologists and social scientists engaged in health research, high-impact cross-disciplinary research and grant-writing collaborations will emerge for faculty by cultivating an intellectual community and network of scholars for The Connector and through the Center for the Humanities.

COMPACT III: ENGAGEMENT AND OUTREACH

A strong and distinctive undergraduate program in Health Humanities will draw students to the MU campus from Missouri and from surrounding states, offer them versatile training for a variety of careers, and channel their talents into public service. Health Humanities shares Compact III's goals to "educate and engage citizens; address crucial societal issues; and contribute to the public good." In particular, the BA's emphasis on the individual, social, and historical dimensions of health, healthcare, and health policy are motivated by an investment in public service: improved health outcomes; more compassionate, precise care; and more holistic solutions to complex health issues of the 21st century.

As a discipline, Health Humanities has as its central focus the improvement of the quality of life of individuals and communities, and both education and practice are driven by a sense of public service. This major will increase graduates' awareness of the critical role that the humanities play in the creation of equitable and compassionate health services among those who are served by graduates of the program in community and clinical contexts. For example, rural areas across the nation are disproportionately impacted by health worker shortages, which not only lessens overall access to care but also dilutes the level of attentive, personal care that our rural citizens receive. Early exposure to the unique health challenges of rural communities, through undergraduate health humanities courses in rural health sociology; information-gathering methods, like GIS mapping of health disparities; and internship opportunities with the Center for Health Policy rural health challenges will encourage students to apply their skills to serve rural and other underserved communities. This engagement across the humanities and sciences will produce deeper, more thoughtful, and informed innovations in allied health fields and the humanities while cultivating the empathy and holistic approach to care embodied within "whole person centered," "community-informed," and "precision" health care. Finally, health humanities graduates gain

compassionate interpersonal communication skills that are necessary to serve diverse populations effectively—a vital aspect of public service for all Missourians. Clear, empathic communication facilitates the successful dissemination of crucial health information; the uptake of new health technologies and treatments; increased capacity for health self-advocacy and preventative care; and more trusting relationships between those in health-oriented careers and the communities and individuals they serve.

2.B. Duplication & Collaboration within Campus, Across System

By combining arts and humanities approaches to society, culture, and representation with the applied disciplines of public health and health sciences, Health Humanities students at MU will receive rare and unique cross-disciplinary career training that unites the best elements of each area of study into a holistic approach to health. There are no similar BA programs within the UM System. The University of Health Sciences and Pharmacy in St. Louis (UHSP) offers a BA in Medical Humanities. Although UHSP offers a similar degree program, it is narrowly focused on health policy and delivered within an institution that only offers clinical and professional degrees. The program at UHSP is also delivered by clinical faculty rather than humanities specialists. Delivering this curriculum at MU not only harnesses the clinical strengths of our public health and health sciences faculty in the School of Health Professions, but also draws on the robust humanities, arts, and social science faculty that comprise our comprehensive, public, R1 university. A program in Health Humanities at MU will include enhanced creative thinking skills fostered by artistic practice; broader training in literary and cultural analysis that will enhance health communication skills for a wider variety of professions; and an experiential learning component—the capstone—that can take the form of undergraduate research or an internship experience.

Quite simply, MU can offer more robust, comprehensive curriculum that will serve a broader population of students. For example, students with primary degrees in business, public policy, economics, or communication will have the benefit of adding this BA as a secondary degree to make them more attractive and skilled applicants for jobs and graduate school. Although this is a CAS degree, it involves an entirely novel collaboration with SHP to promote shared goals of effective health communication; empathic, person-centered care; and service to community, state, and nation. As opposed to UHSP, MU also has a diverse pool of researchers in the humanities, so that a collaboration with SHP can produce a rare opportunity for engagement among clinical and non-clinical students interested in health, illness, and care in Health Humanities courses. Our BA program will produce deeper, more thoughtful, and informed health care innovations—informed by the best practices of the humanities in collaboration

with those of public health and health sciences—and cultivate whole person approaches to health across a variety of health-oriented fields than either field alone.

3. Business-Related Criteria & Justification

3.A. Market Analysis

3.A.1. Rationale & Workforce Demand for the Program

The Bachelor of Arts in Health Humanities (BA/HH) degree will prepare University of Missouri students for entry-level careers in public health and health administration settings such as local health agencies, community clinics, governmental units, and non-governmental organizations, addressing issues such as cultural competence, bioethics, disability studies, and a wide variety of other prevention issues. A BA in Health Humanities will help pre-med students be more competitive for medical school. Likewise, it will provide additional training for Journalism students who seek careers in science, tech or health reporting, as well as students in health communication. A solid foundation in the core knowledge areas of Health Humanities will encourage students to view themselves and others beyond their role as clinician, caregiver, art therapist, clinical manager, journalist, or patient. With the unique, well-rounded general education provided by a BA in Health Humanities as a standalone or complementary secondary degree, graduates of this program will have a competitive advantage in employment and graduate and professional school admission by having a legible and respected credential that demonstrates clinical empathy, interdisciplinary research ability, and unique critical thinking skills.

This is an especially fitting time to begin an undergraduate major in Health Humanities given several factors: the need for community-centered health practice; the need for strategic communication abilities in professionals designing community interventions or translating scientific evidence for public policy; the need to assess the political, moral and cultural implications of new health technologies and treatments; and the need to understand the evolving role and determinants of health and medicine in today's world. Given the importance of NextGen Precision Medicine to the university and the state, it is also a crucial time to add Health Humanities research and teaching to productively integrate the research and teaching strengths of the College of Arts and Science and the School of Health Professions into the mission of delivering the most innovative, patient-centered care in the state and region.

The recently released MU Career Outcomes survey bears out the career opportunities available in healthcare. For 2022 MU graduates overall, health care and services ranked

number one in the industries employing our students. The largest demand in labor throughout the state of Missouri (2016) was in healthcare.¹⁴ Healthcare jobs comprised 20.3% of all advertised postings in the state during 2016, while only 9.8 percent of online job seekers sought these positions, demonstrating significant workforce needs in the healthcare industry.¹⁵ In Missouri's largest Workforce Development Areas (WDAs) – Kansas City and St. Louis – respectively the largest and third largest gaps in labor (number of job ads minus number of job seekers) were in the healthcare sector. However, healthcare held the largest labor gap in seven out of ten WDAs in the state, including Central MO, Northeast MO, Northwest MO, South Central MO, Southeast MO, and West Central MO. The Southwest and Ozark WDAs also showed large gaps in healthcare demand.¹⁶

The country is also facing a declining workforce in many clinical and public health sectors amid increased pressure to make hospital systems more efficient and profitable amid increased demand for services. These shortages disproportionately and adversely impact rural Missourians. According to the Federal Health Services and Resources Administration, nearly every county in Missouri is short of primary care providers. In 2022, to address the broad healthcare worker shortage, Missouri's Department of Mental Health and Division of Developmental Disabilities recently announced the Missouri Talent Pathways program, which has the stated goals of increasing the competency of national best practices, statewide applicability, improve healthcare costs and time efficiencies and expand Missouri's talent pipelines.

Training in Health Humanities not only improves relationships with patients but is economically beneficial for hospitals. Research in best practices for medical education identifies a positive association between increased empathy and more diagnostic accuracy; more effective psychological and pharmacological interventions within psychiatric practice; and increased patient self-advocacy (i.e. patient comprehension of and coping skills for health issues or preventative care). Establishing good communication and trust with patients also has statistically significant effects on "hard health outcomes," like diabetes, pulmonary infections, hypertension, asthma, and osteoarthritis pain. Solid clinical empathy skills correlate with a lower risk of malpractice suits and increased patient compliance with prescribed treatment. As patient satisfaction scores are often used to calculate Medicare reimbursement rates under the Affordable Health Care Act and featured in online hospital rating platforms, cultivating clinical empathy skills makes good business sense for hospitals. Finally, training in medical humanities has been shown to reduce physician burnout and increase feelings of well-being among medical students and doctors, because it often elicits positive feedback from patients.

¹⁴ Missouri Department of Economic Development (MDED), 2017.

¹⁵ Ibid.

¹⁶ Ibid.

Interdisciplinary thinking is one of the primary strengths of a Health Humanities approach, and is central to MU's research and teaching missions, as embedded in the goals outlined in the MU Compact for Excellence in Research and Creative Works. The state of Missouri and the country as a whole face a wide variety of Health Humanities challenges every day. Health disparities; rural health care and access issues; disability inclusion; the aging population; issues around death and dying, big data, medical privacy and healthcare reform are just a few of the leading health issues in our society. Common to all these challenges is a need for innovative solutions that cross disciplinary lines to improve health communication and delivery. In alignment with the American Association of Medical Colleges' 2020 recommendation to meaningfully integrate arts and humanities into medical education, the Health Humanities will contribute to undergraduate pre-med and pre-health education. It will also create stronger applicants for medical school, by offering training that is not only unique within the UM System but cutting-edge at universities more broadly.

While it is unsurprising that health care and services is the number one industry for graduates in SHP and Nursing, the fact that it is the third most highly ranked industry for graduates of Engineering, the fourth for business, and the fifth for A&S graduates emphasizes the diversity of the health care field. The new BA has the potential to increase the employability of MU students across all our divisions and degrees. The Health Humanities program will expand the opportunities available to students who are interested in arts, literature, history, and philosophy and will highlight the contributions of those fields in health care and public health. The importance of narrative is growing in medicine and in public health, and medical schools are increasingly looking for students trained in the humanities.¹⁷ The desirability of this training is reflected in the revised MCAT, which now includes a Humanities section that requires knowledge of ethics, philosophy, and cultural studies. By designing the Health Humanities degree to meet individual and community health needs, the program will provide graduates with education and experience that will be beneficial to their home communities and to the state of Missouri while helping to meet the current and future workforce needs of the region and the state.

The program will build on MU's unique interdisciplinary research and teaching strengths and will provide a problem-solving and research-based learning environment. Students will graduate with a foundation in the core knowledge areas of Health Humanities (philosophy, literature and the arts, health sciences, social and life sciences, history of science) complemented by knowledge and skills in health communication, social determinants of health, and global studies. Graduates will have acquired an appreciation for the Health Humanities approach and an understanding of the critical need for humanities and interdisciplinary perspectives on health and medical issues confronting the state, nation, and world. University of Missouri

¹⁷ Crawford 2010, Muller & Case 2010.

graduates with this preparation will reduce the shortage of a public health and clinical workforce capable of addressing the pressing social and regional determinants of health challenges in Missouri and elsewhere.

The University of Missouri completed a market analysis for Health Humanities, which looks at Missouri and its surrounding states. The report notes 0 completions at the baccalaureate level in the region. However, there are three main reasons for this. First, according to Case Western's report, the CIP code designating Medical/Health Humanities only became available in 2020. Second, many universities only offer a minor in Health Humanities at the undergraduate level; MU will be the only comprehensive university in Missouri to offer a major in Health Humanities. Finally, Medical/Health Humanities programs can use a variety of other CIP codes to designate their programs (e.g. 51.3201 Bioethics/Medical Ethics; 51.3205 History of Medicine; 51.3299 Health Professions Education, Ethics, and Humanities, Other). Thus, the data in this report are only partial.

A report, Health Humanities Baccalaureate Programs in the United States, issued by the Case Western Reserve University School of Medicine, shows that from 2000 to March 2020, the number of Health Humanities programs (including majors, minors, and certificates) has increased nearly sevenfold from 15 to 102. The report cites a variety of other studies that indicate longitudinal benefits of this education in four main categories: Strength of Preparation; Interpersonal Skills; Solving Staff Shortages; and Leadership and Service. A variety of studies included in this report conclude "that baccalaureate preparation in Health Humanities complements and even enhances medical school preparation and performance" by comparing outcomes for premedical science studies with premedical humanities students. Although more universities have minors in medical/health humanities than majors, a BA program is preferable for a variety of reasons.

First, given the breadth of arts and humanities fields that deal with health—from literature, to media studies, to photography, to history—a major can expose students to a wider variety of methodologies, concepts, thought-processes, and perspectives than the few courses that comprise a minor. On applications for jobs, postgraduate programs, and medical schools, minors don't "count" as much as a secondary major, which makes legible a deep well of additional professional skills that complement a primary degree.

Secondly, at MU, having a major that joins the strengths of public health and health sciences with the arts and humanities makes it a rare, premier curriculum. Whereas other schools have minors that only include a few humanities courses, our BA will foster the engagement across the sciences and humanities that leads to innovative thinking and has direct and positive impacts on patient care and outcomes. Quite simply, with the limited coursework of a minor, this innovative approach, which integrates the best practices and rigorous research of the humanities with the health sciences, would not be possible. Finally, with BA rather than a minor, Health Humanities can serve as an

economically viable alternative major and professional credential for students who change majors from a practitioner path or for students who want to work in health fields as non-practitioners.

The market analysis indicated about 36,000 job opportunities in this area annually in the United States, with a solid 6.8% growth expected over the next decade. In the region, there were 9,000 job postings in this area in the last 12 months, and the median salary is \$68,000 per year with a BA. Many of the top employers are in the educational and health sectors. Case Western's report also noted correlations between Health Humanities training and the resolution of staffing shortages. Missouri is already experiencing health shortages that disproportionately impact rural communities, and specialties that tend toward whole-person care (i.e. primary care, pediatrics, and psychiatry) are currently experiencing the most staffing shortages. Studies indicated that students trained in the Health Humanities gravitated toward these specialties due to the and strategic interpersonal and communication abilities they acquire in their undergraduate educations.

SSM Health is one of the top health employers in the state, and the Missouri Hospital Association represents a variety of hospitals, so their enthusiasm for our graduates is a good indication that other large health organizations will feel similarly receptive to graduates with a primary or secondary major in Health Humanities. As our degree pathways indicate, students with a variety of primary majors, from a BA in Public Administration to a BHS in Public Health, can add a secondary major in Health Humanities, which will enhance the marketability of their primary degree and not add any additional time to graduation.

SUMMARY OF ATTACHED LETTERS OF SUPPORT

Stronger Medical School Candidates, Better Physicians

In his letter, Rick Barohn, Executive Director of NextGen Precision Health and Executive Vice Chancellor for Health Affairs at MU Health Care, noted that this program is "very well aligned with the University of Missouri System's NextGen Precision Health initiative. "As a physician," Barohn writes, "I resonate with two components that will be central to the program—a focus on clinical empathy and on compassionate care. Both of these foundational humanities elements are essential features of patient-centered health care."

Likewise, Dr. Jonathan Metzl, MD/Ph.D., the director of Vanderbilt University's (AAU/SEC) Center for Medicine, Health, and Society and a graduate of our own UMKC medical school, found that "83% of MHS students who applied to medical school were accepted—more than double the national average—which speaks to the marketability of this unique interdisciplinary approach to health." Metzl expressed enthusiasm for an ongoing collaboration between faculty from MU and Vanderbilt faculty (Julie Elman

[MU] and Aimi Hamraie [VU]) and would “welcome additional opportunities for research, teaching, and programming collaboration, as AAU/SEC institutions.”

Enhanced Career Opportunities

SSM Health St. Louis and the Missouri Hospital Association (MHA) both indicated that they “eagerly await” graduates of the program. With eight hospitals, nearly 2500 staff physicians, and 11,500 employees, SSM emphasized the importance of Health Humanities “in increasing empathy and compassion among caregivers, enhancing patient satisfaction as well as reducing provider and team member stress and burnout.” Established in 1922, the Missouri Hospital Association (MHA), a nonprofit membership association, argued that “[graduates of this program] become better observers and interpreters, demonstrate greater empathy, enhanced interpersonal skills and a more holistic understanding of health care,” which leads to “higher quality care, attentive service, and organizational success.” MHA represents 140 member hospitals, every acute care hospital in the state, as well as most of the federal and state hospitals and rehabilitation and psychiatric care facilities. This professional association advocates for policies that improve health and health care in the state and provides data, decision-support tools, and operational resources for hospitals to deliver superior care.

Finally, the University of Missouri’s Center for Health Policy (CHP) has committed to establishing a limited number of internships for Health Humanities majors “so they can gain hands-on, high-impact learning experiences in data analysis, policy analysis, and addressing the social determinants of health—particularly advantageous career development for students pursuing a BA in Public Administration and Policy, who desire careers in health policy or administrative roles in health organizations.

Added Economic Value to Degrees

The Deans of the College of Arts and Science and the School of Health Professions, Drs. A. Cooper Drury and Kris Hagglund, both noted that although all students must take general education credits in the College of Arts and Science, these required credit hours are often disconnected courses. The BA in Health Humanities enables non-humanities students to harness their required humanities and social science credits into a professionally relevant second major that showcases critical thinking skills and a holistic understanding of health issues, care, and policy. Likewise, the program will benefit arts and humanities students, whose education will be enriched by more exposure to clinical approaches to health and engagement with STEM and SHP faculty and students that they might not otherwise have. Both Deans also noted that the degree adds value to degrees in two other ways: 1) improving performance on the MCAT, which now features a humanities section and 2) giving graduates a competitive edge for diverse health-oriented jobs and other postgraduate degree programs.

3.A.2. Student Demand for the Program

Although Health Humanities will be new to MU, comparative enrollment data suggest that the required introductory course "Introduction to Health Humanities" would be very popular: two related courses, the Department of Philosophy's PHIL 1150: Introduction to Bioethics and PHIL 2440: Medical Ethics have shown steady and consistent growth since 2017. In AY 21-22, PHIL 1150 and PHIL 2440 enrolled 640 and 690 students, respectively.

TWO LOCATIONS OF DEMAND

1) The program will appeal to new students and existing humanities majors who are interested in approaching questions of health. Elective courses will be taught by faculty from across the university and will introduce students to some of the major scholarship and debates in this growing interdisciplinary field. As a standalone major, a BA in Health Humanities prepares students not only for medical school but also for other healthcare careers in social work, pharmacy, therapy (physical, occupational, or speech); government service careers in public health departments, veterans services, or other health-oriented administrative roles working with health programs like Medicaid or SNAP; and educational roles in health promotion, communication and advocacy for health issues such as addiction or disability inclusion.

2) The program will appeal to students working in areas beyond the humanities and outside of the College of Arts & Science. As a second, complementary major, it will make students in various non-humanities majors (biosciences, engineering, education, political science, business, journalism, etc.) more competitive for careers in health care, health policy, human resources or health communication, public administration, and reporting. For example:

a) Students who are planning a career in medicine and taking the MCAT or other professional accreditations that require attention to the social determinants of medicine.¹⁸

b) Students working in STEM fields that develop health-related technologies such as disability assistive devices (i.e. wheelchairs, prosthetics, or medical imaging) or artistic/architectural design fields that will be better equipped to integrate Universal Design (UD) principles into their work with additional training in end-user experiences and systemic understandings of the ethical and cultural impacts of health technologies.

¹⁸ This area has recently received greater emphasis in the structure of the MCAT, and medical schools are incorporating more course work into this area. See American Association of Medical Colleges, *The Fundamental Role of Arts and Humanities in Medical Education* (2020).

c) Students in Journalism, Communication, Business, Public Policy or Political Science who are interested in health policymaking, health reporting, or science journalism.

Since every student at MU is required to take general education courses, the majority of which are offered in the College of Arts and Science, the Health Humanities major will provide a way for non-humanities students to channel their humanities and social science general education credit hours into a complementary second major that is a tangible, marketable, industry-valued credential, which will make legible their unique interdisciplinary problem-solving abilities to future employers.

Table 1a. Student Enrollment Projections (anticipated total number of students enrolled in the program during the first five fall semesters following implementation.)

Year:	1	2	3	4	5
Full-time	20	30	45	76	83
Part-time	0	0	0	0	0
Total	20	30	45	76	83

We have made very conservative estimates for the initial growth of this major. The largest field of student interest as expressed by primary majors at time of first-year enrollment is hands down the health professions. Consider the following enrollment for FTC at MU in Fall 2022. There are two academic units devoted to the health professions: Nursing (291) and School of Health Professions (558), for a total of 849 entering students in health-specific primary majors. The number of FTC students this fall in pre-health/pre-medicine-dominant majors (575) is also strongly suggestive, as roughly 65% of these students intend to enter a field in the health professions (primarily medicine, counseling psychology, and dentistry): Biochemistry (96); Biological Sciences (212); Chemistry (29); Psychological Sciences (204); Biomedical Engineering (34).

Students in the Health Humanities BA are most likely to be students adding a secondary, complementary major or students who are interested in health-oriented careers in non-clinical, non-practitioner roles. In this, the Health Humanities joins such majors as Health Science, Psychological Sciences, Public Health, and Human Development & Family Sciences as alternative degree pathways that allow students to continue to make timely progress to degree while also aligning with career interests and the job market. In this, it will serve critical campus goals of retention and time to graduation. It is also a strongly complementary and career applicable major for students pursuing a degree in Communication, Public Policy and Administration, Social Work, Human Development and Family Science, and Nutrition & Exercise Physiology.

Table 1b. New Student Enrollment Projections (anticipated number of students enrolled in the program during the first five fall semesters following implementation that are new to the University.)

Fiscal Year:	1	2	3	4	5
Full-time	10	15	15	26	28
Part-time	0	0	0	0	0
Total	10	15	15	26	28

We are estimating conservatively for new-to-MU enrollment, because we anticipate that the largest growth for this major will be among existing students that add Health Humanities as a complementary major. However, given that MU will be the only public university in the state to offer this degree at the undergraduate level, the opportunity to engage in additional training that can improve performance on the MCAT, provide broad health-oriented career training, add value to primary degrees, and lessen burnout could influence more students to attend MU for this unique and complementary coursework.

As previously noted, the health professions comprise the largest field of student interest as expressed by primary majors at time of first-year enrollment. Since students are already drawn to MU for a variety of health-specific primary majors, we anticipate that the largest growth for this major will be among students adding a complementary major to deepen professional skills or students who decide they no longer want to seek a clinical/practitioner path (for these students, Health Humanities can ensure they remain at MU and increase the likelihood of their finishing a health-oriented, professionally- versatile degree in four years). The Introduction to Health Humanities, which was approved as a general education course, will introduce undecided students as well as pre-med and pre-health students to the degree program early in their academic careers.

Table 1c. Projected Number of Degrees Awarded

Year:	1	2	3	4	5	6	7	8	9	10
# of Degrees Awarded	0	0	0	0	11	8	13	17	9	9

These graduation estimates were produced on the basis that each incoming group would graduate approximately 55% of its majors in 4 years after beginning, and then an additional 30% over the following 2 years (which reflects our goal of a 85% 6-year graduation rate).

3.B. Financial Projections

This degree program has only required the development of one new course and relies predominantly on existing courses and personnel (see attached Pro Forma).

3.B.1. Additional Resources Needed

The program will be housed alongside other interdisciplinary majors in the Office of the Dean of the College of Arts and Science, and it utilizes existing office staff and faculty. The Pro Forma identifies the following costs: a director position (0.1); a professional advisor (.5) when program hits target enrollments (until that time, we will use existing advising capacity to advise for the first few years); and a small start-up cost. The director position will be funded initially by the A&S Dean's Office with one-time funds for the first three years; going forward, the expectation is tuition revenue from the program will cover costs. Start-up funds will also be covered by one-time funds from the A&S Dean's Office.

- 1) Compensation for a part-time director for AY 23-24, 25-26, and 27-28. (1/9th appointment is standard for Program Directors in the College of Arts & Science)
- 2) The introductory course for AY 23-24, 25-26, 27-28 (\$7500/"Technical Salaries" i.e. annual compensation for the faculty member teaching the course)
- 3) Miscellaneous Expenses (\$500) (e.g. "Lunch at the Lab": This high-impact learning opportunity will bring humanities faculty and students into labs and STEM faculty and students into theaters, humanities lectures, and art studios to spotlight the diversity of research involved in holistic approaches to health issues.)
- 4) Computing Expenses (\$150/year e.g. computing support for the program director)
- 5) Supplies (\$1500/year e.g. office space and supplies)
- 6) One-Time Launch Event Expense: "Health Humanities, Medicine, and the World" series to support the program launch in AY 23-24 (\$5000) (The series will be co-sponsored by NextGen Precision Health and held in their space. Events will feature discussion panels comprised of clinicians and scholars in public health, humanities, STEM, and fine arts around contemporary health topics)

After AY 27-28, we expect the program should generate enough revenue to cover the above costs on its own. As the program grows, it has the potential to put enrollment pressures on existing courses as well as academic advising staff. While additional faculty or staff will not be necessary to launch the program, they may become necessary to sustain it. The following expenses by AY 27-28 must be justified by enrollment growth (i.e. nearing 100 students):

- 1) One .5FTE academic advisor
- 2) One faculty hire in CAS to support this program.

Please note that, on the Pro Forma, we have assumed the annual cost of a director (0.1 FTE) throughout the program. We have also assumed the addition of an advisor and staff, with a small amount of additional compensation, for the program's initial three years. This compensation then increases to a 0.5 FTE advisor and a 0.1 FTE staff after the first three years to reflect the increased effort involved with program growth.

3.B.2. Revenue

The only source of revenue for the program is student tuition. The expectation is that the degree will sit in Tier 2. While this is a new process, we made the decision to put Health Humanities in the same tuition tier as Public Health, given that Public Health contributes most of SHP's coursework for Health Humanities. That said, some students who add Health Humanities as a secondary major might have a primary major in a higher tuition tier and thus generate more revenue.

3.B.3. Net Revenue

The degree is interdisciplinary, and apart from the introductory course, relies on existing courses and existing course capacity to meet degree requirements. While the A&S Dean's Office is covering the initial costs (.1 director position for three years + startup funds), the projections suggest that all costs will be covered in the first full year of enrollment (fall 2024), though the hope is to soft launch the degree in Fall 2023.

Table 2. Financial Projections for Proposed Program for Years 1 Through 5.

	Year 1	Year 2	Year 3	Year 4	Year 5
1. Expenses					
A. One-time					
<i>New/Renovated Space</i>					
<i>Equipment</i>					
<i>Library</i>					
<i>Consultants</i>					
<i>Other</i>	5,000.0				
Total one-time	5,000.0	-	-	-	-
B. Recurring					
<i>Faculty</i>	17,800.0	18,156.0	18,519.1	18,889.5	19,267.3
<i>Staff</i>	5,000.0	5,100.0	5,202.0	35,306.0	36,012.2
<i>Benefits</i>	8,121.4	8,283.8	8,449.5	19,304.5	19,690.5
<i>Equipment</i>	150.0	200.0	250.0	300.0	350.0
<i>Library</i>					
<i>Other</i>	2,000.0	2,100.0	2,200.0	2,300.0	2,400.0
Total recurring	33,071.4	33,839.8	34,620.6	76,100.0	77,720.0
Total expenses	38,071.4	33,839.8	34,620.6	76,100.0	77,720.0
2. Revenue					
<i>Tuition/Fees</i>	222,017.0	332,568.1	513,493.9	865,378.4	972,845.2
<i>Inst. Revenue</i>					
<i>State Aid (CBHE)</i>					
<i>State Aid (Other)</i>					
Total revenue	222,017.0	332,568.1	513,493.9	865,378.4	972,845.2
3. Net revenue	183,945.7	298,728.4	478,873.3	789,278.4	895,125.2
4. Cumulative revenue	183,945.68	482,674.04	961,547.38	1,750,825.74	2,645,950.91

3.B.4. Academic and Financial Viability

As discussed in the net revenue section above, the degree relies on existing courses and existing course capacity to meet degree requirements. Only if and when the degree meets the 5-year enrollment target nearing 100 will we need additional staffing (.5 advisor; potential additional instructor or faculty line). Note that the degree remains profitable even with the added cost of a .5FTE advisor factored into the projections in year 3 at 70 students. The introductory course (Intro to Health Humanities) is a 1000-level course approved to meet the humanities general education requirement. Given the pre-med/pre-health undergraduate population at MU and the enrollments in two other similar courses (Philosophy 1150: Bioethics; Philosophy 2440: Medical Ethics, which regularly top 1100 student enrollments [3300+ SCH] annually), we expect this course to be very popular and sufficient to generate additional revenue on its own.

Table 3. Enrollment for Academic and Financial Viability

Viability	Minimum Enrollment
Academic	20
Financial	10
Overall	20

Numbers were considered keeping differential tuition rates in mind, based on our pro-forma calculations, a minimum of 10 new students is needed for the program to generate net revenue.

3.C. Business Plan: Marketing, Student Success, Transition & Exit Strategies

3.C.1. Marketing Plan

We plan extensive outreach to advertise this major. For the campus environment, working through Mizzou undergraduate recruiting offices is important, and we will participate in activities that promote this major at high schools across the state. The BA in Health Humanities will attract prospective students, who would come to MU specifically to pursue the degree, while also serving MU students across campus as a second, complementary major and as an alternative major for students who want non-practitioner career options in the field of health. The College of Arts & Science recently hired two dedicated recruiters, which will be advantageous to the marketing and growth of this program. Additionally, the College and campus are strategizing to cross-

recruit high school students across “metamajors.” As “Health” is the largest of these, Health Humanities will be a vital asset to this campus and college strategy. Our introductory course has been approved as a humanities general education course, so we hope to recruit undecided undergraduates via that course. The program director will coordinate marketing using the CAS strategic communication team.

Strategies for promoting the major to internal students would include:

- Outreach to advisors within A&S and outside of it (Advisors Forum)
- Outreach to undecided and transitioning majors through MU Career Center, the A&S Internships Office, and Discovery Center.
- The large general education course, “Introduction to Health Humanities,” which fulfills the campus humanities requirement will be an excellent recruitment venue.
- Another required course, “Introduction to Public Health” will also serve as a feeder course for Health Humanities by exposing SHP students to a secondary major.
- Promotion of the degree through A&S, Journalism and SHP strategic communications and social media outlets.
- Co-promotion of the BA in Health Humanities with A&S degrees that pair well with it (e.g. Biology; Chemistry; Psychology [pre-med/counseling]; Communication; Public Administration and Policy; Political Science [health policy, advocacy, communication])
- Launch Events in partnership with NextGen Precision Medicine to showcase innovative conversations across the arts, humanities, and sciences.

Strategies for marketing the major to prospective students would include:

- Targeted promotion of program to prospective students with a declared interest in pre-med and pre-health (MedOpps)
- Targeted promotion to state community colleges with strong health field-related AA degrees
- Recruitment events: college fairs, on-campus Meet Mizzou Days; in-state and out-of-state Countdown events for admitted students
- Creation of dedicated scholarships for incoming Health Humanities students.
- Public Events: The Health Humanities program will undertake community engagement to make the program visible to students and community members outside of the university. For example, our launch discussion series assembles researchers from STEM, humanities, and the medical school into dialogue with each other about topics such as addiction, aging, rural health to discuss grand challenges of health, medicine, and care for the 21st century.

PROGRAM GROWTH

We anticipate the largest initial growth as a second major for students that are already pursuing a pre-med or pre-health degree (e.g. biochemistry, biological sciences,

psychology, or health sciences) or that are pursuing degrees in policy, advocacy, or communication (e.g. communication, journalism, public administration, public health, or social work). To facilitate continued growth, we will initiate targeted outreach to academic advisors, department chairs, and directors of undergraduate studies in other programs and colleges, to stimulate program growth in the School of Journalism, Truman School of Public Affairs, and Trulaske College of Business. We will also collaborate with our new dedicated A&S recruiters so they incorporate Health Humanities into their outreach activities. Finally, we will undertake outreach to local high school guidance counselors and health teachers to publicize the major and minor to prospective students.

ESTIMATED MARKETING COSTS

Since we will be drawing on existing resources and strategies, we do not anticipate additional marketing costs. Moreover, since we now have two dedicated recruiters for the College of Arts and Science, we have never been in a better position to market this degree to prospective students. Since the major will be housed in the College of Arts and Science alongside other Multidisciplinary Degree programs like Peace Studies or International Studies, the College of Arts & Science marketing team will incorporate Health Humanities into traditional marketing for A&S degrees, which includes recruitment materials from our strategic communication team for all programs and recruitment events.

3.C.2. Student Success Plan

Students in the Health Humanities BA are most likely to be students adding a secondary, complementary major or students who wish to work in health careers as a non-practitioner. The Health Humanities joins such majors as Health Science, Psychological Sciences, Public Health, and Human Development & Family Sciences as migration degrees that allow students to continue to make timely progress to degree while also aligning with career interests and the job market. Health Humanities will serve critical campus goals of retention and time to graduation. Additionally, students outside of the College of Arts & Science who elect to become part of this program will also gain the opportunity to make more sustained and meaningful professional connections with faculty in A&S than they would have simply by taking a series of disconnected general education courses. Finally, the program will contribute to student retention more broadly by serving who want to work in a health-oriented field as a non- practitioner.

3.C.3. Transition Plan

Julie Elman will direct the program and be primarily responsible for its success. The program currently has an advisory board comprised of faculty from the School of Health Professions and the College of Arts and Science. This will ensure that multiple faculty members are responsible for the program's success and can be potential successors for leadership of the program.

3.C.4. Exit Strategy

Since the program cost will be low and draws on existing MU faculty from multiple academic units, we will have the advantage of a low initial investment and a low cost to maintain the degree program to allow it time to grow. The only two multi-year expenses are the program director and the cost of the one required course. The College of Arts & Science has committed to funding the director's salary. Annually, the director and the appointed advisory board will conduct an annual program review of our numbers of majors and strategies for increasing enrollment. We have estimated that we will have 75 majors by year five. If we have less than 20 majors projected (i.e. the minimum number for academic viability) for 2 consecutive semesters after year 5, we will implement our exit strategy. We are estimating very conservatively here, when considering that economic viability for this major only requires 10 new students.

4. Institutional Capacity

The degree has been built on largely existing resources, both in terms of available faculty and existing curriculum. Its initial startup costs include supplemental salary for the program director and creation of recruitment materials. For the existing coursework from the College of Arts and Science, there is current capacity in all of them. For the existing coursework from the School of Health Professions, we have determined there is adequate capacity to support the numbers projected in the proposal. The addition of a minor option or growth beyond the projected numbers would necessitate a faculty hire; such a hire would be funded by that growth and/or the course demand for the introductory course, which we know will be popular. As a humanities general education requirement, it will be consumed in high numbers by our pre-med and pre-health students.

5. Program Characteristics

5.A. Program Outcomes

Health Humanities will introduce students to collaborative, interdisciplinary research methods and scholarship that critically examines the ethical, historical, cultural, philosophical, and sociopolitical dimensions of medicine, health, and health-oriented technologies. Students will also gain facility with a variety of humanities and social science methodologies drawn from economics, history, literature, medical anthropology, philosophy, political science, religious studies, cultural studies, and disability studies.

The degree will also familiarize students with creative work, including visual art, media, writing, storytelling, design, and theatrical performance. Using a range of materials drawn from humanistic disciplines (including history, cultural studies, literature, media studies, visual and performing arts), this program will develop the analytical tools needed to critically explore person- and community-centered stories of health, illness, and disability as well as the shifting cultural meanings of health, illness, and disability throughout history. Through a capstone course that requires experiential learning (e.g. study abroad, internship, service learning, or independent research project), students will produce an academic or creative project that will allow students to integrate the knowledge and research skills they have acquired through their prior coursework and learn professional skills. As many students will have Health Humanities as a double major, the capstone will give students the maximum opportunity to collaborate with their other major(s). By understanding individual experiences, community histories, and the social determinants of health, graduates of the program will be poised to create holistic approaches to clinical care, health care delivery and access, health policy, health communication, advocacy, science journalism, and technological design.

LEARNING OBJECTIVES

- Identify and assess central cultural and ethical debates surrounding health, illness, disability, and healthcare.
- Evaluate societal and cultural impacts on health, health care, and medical technologies.
- Assess current and future trends in health care through a deepened understanding of their history, politics, ethics, and social impacts.
- Recognize the social determinants of medicine and contributing factors to health disparities.
- Consider the history, ethics, and cultural impacts of diverse health-oriented technologies, (e.g. medical imaging, digital health resources, wearable technology, and health and fitness mobile applications).

- Apply these competencies to careers as healthcare providers, health researchers, health policy advocates, health reporters, or community stakeholders.

These learning objectives align with the National Association of Colleges and Employers (NACE)'s core competencies for career readiness:

- **Career & Self Development:** Developing plans and goals for one's future career; professionally advocating for oneself and others; displaying curiosity and seeking out opportunities to learn; assuming duties or positions that will help one progress professionally; seeking and embracing development opportunities.
- **Communication:** Framing communication with respect to diversity of learning styles, varied, individual communication abilities, and cultural differences; understanding the importance of and demonstrating verbal, written, and non-verbal/body language, abilities; employing active listening, persuasion, and influencing skills.
- **Critical Thinking:** Making decisions and solving problems using sound, inclusive reasoning and judgment; gathering and analyzing information from a diverse set of sources and individuals to fully understand a problem; actively summarize and interpret data with an awareness of personal biases that may impact outcomes; effectively communicate actions and rationale, recognizing the diverse perspectives and lived experiences of stakeholders.
- **Leadership:** Inspiring, persuading, and motivating self and others under a shared vision; seeking out and leveraging diverse resources and feedback from others to inform direction; and using innovating thinking to go beyond traditional methods.
- **Teamwork:** Effectively managing conflict, interacting with and respecting diverse personalities, and meeting ambiguity with resilience; employing personal strengths, knowledge, and talents to complement those of others; exercising the ability to compromise and being agile; collaborating with others to achieve common goals.
- **Technology:** Navigating change and being open to learning new technologies; manipulating information, constructing ideas, and using technology to achieve strategic goals.

5.B. Program Design & Content

CURRICULAR DESIGN

Humanities programs focusing on health and healthcare delivery in their cultural, historical, aesthetic, and political contexts complement efforts of health professions

schools to recruit students who are patient-centered, ethically grounded, skilled in communication, and competent with diverse populations. While the discipline of “medical humanities” originated in medical schools, our curriculum was designed to be consistent with curricula of other medical and health humanities programs throughout the U.S., most notably those of fellow AAU institutions, such as Vanderbilt’s BA in Medicine, Health, and Society.

This degree program aims to bring students interested in health issues—whether in the arts, humanities, STEM, or health professions—into a shared intellectual community. Therefore, the collaboration between the School of Public Health and the College of Arts and Sciences will model in courses the kinds of cross-disciplinary approaches to health issues that result in more dynamic and holistic solutions to our most pressing health challenges. Combining Public Health and Health Sciences courses focused on applied community health promotion strategies with humanities courses that emphasize the historical, cultural, aesthetic, political and social issues of health will provide comprehensive education. We have developed the curriculum with career readiness in mind: it aligns with all NACE career competencies and develops crucial professional skills for health-oriented careers and postgraduate programs, including clinical empathy, cultural competency, and complex, multidisciplinary problem-solving abilities.

The Foundations Sequence comprises core courses that emphasize key conceptual frameworks in the field: narrative (i.e. the representation of health and illness in fictional and nonfictional media, literature, and popular culture); ethics (medical, technological, and health); history (medicine, technology, and health advocacy); effective health communication; and the relationship among individual, community, and national health. Thus, the sequence includes courses in public health, philosophy, literature, and communication. While SHP’s “Introduction to Public Health” is a core requirement for all students, students must take 21 of 30 credits in the College of Arts and Science to emphasize its relationship to and shared public service investments with Public Health while emphasizing Health Humanities’ uniqueness as a humanities-based field of inquiry.

The newly developed course, “Introduction to Health Humanities,” is part of a “Foundations Sequence” of required courses for all Health Humanities majors. Since the course is meant to be a broad introduction to the multiple fields, texts, and methodological approaches in a robustly interdisciplinary field, the Introductory course uses a range of scholarship and materials drawn from a variety of humanistic disciplines (i.e. history, literature, film, visual and performing arts, and science and technology studies [STS]) to explore individual stories of health, illness, and disability in relation to social, historical, and political meanings of health, illness, and disability.

The curriculum has been formed to appeal to and offer professional development for students with a variety of health interests and future career goals—from pre-med, to

health policy and administration, to advocacy, to history and literature—so we have offered ways to tailor the degree to fit individual career aspirations. For example, in the Foundations Sequence, students may choose either “Literature and Medicine” or “Medical Ethics,” depending on what is most professionally advantageous to individual students. To focus students’ courses on cohesive themes and issues, the major includes four subject areas from which students can choose to concentrate (Community Health and Society; History, Narrative and Ethics; Global Health; Identity and Health), but the program also offers students the ability to take two elective courses from other subject areas so they can gain the broadest knowledge and proficiency. Subject area and elective courses were drawn from a variety of disciplines to represent the breadth of methodology and content in Health Humanities as a field. Thus, they range from studies of death and dying in religion, to media studies courses about representations of disability in popular culture, to history of health care courses.

Given that person-centered health care requires patience, compassion for self and others, and the willingness to engage in trial and error, most medical and health humanities baccalaureate programs require at least one creative practice. There are two main reasons for their inclusion. First, the act of producing artistic or creative works deepens the skills of narrative analysis (i.e. how to read and understand art, literature, and media about health and illness). Second, engaging in creative production develops students’ tolerance for ambiguity—a crucial skill for the development of diagnostic precision. Rather than being oriented around a “right answer,” courses in arts and creative works foster self-reflection, creativity, and a willingness to engage in practice with an undefined end point.

Finally, high-impact learning experiences, including research events, internship opportunities, and a capstone experience, will be a staples of this degree program. Students in the Introduction to Health Humanities (Fall 2023) will be required (and students in other cross listed courses will be encouraged) to attend a discussion series, co-sponsored by the Program in Health Humanities, NextGen Precision Health, and the Center for the Humanities, entitled “Health Humanities, Medicine and the World,” which will join humanists, scientists, and clinicians to discuss the role of space/place, storytelling, technology, and personhood in their research. Another high impact learning experience that will be required is the capstone and portfolio, which can take the form of an independent project, study abroad, or internship experience (with approval from the director). For example, we have already developed one internship possibility for students interested in rural health and health policy with MU’s Center for Health Policy (CHP) (see CHP’s letter of support). Finally, we will be developing a “Lunch at the Lab” program that will bring Health Humanities students into direct engagement with medical- and health-applied research being undertaken across STEM disciplines like Biology, Chemistry, and Health Sciences.

COURSE SEQUENCE

The BA (30 credits, 21 of which must be taken in CAS) includes broad Foundations courses (18 credits), consisting of an introductory course and core course sequence; a creative practice course; and a capstone experiential course. Students must also take two subject area courses (6 credits) and two elective courses (6 credits). Students must take a minimum of 21 credits in CAS. The introductory sequence includes one new course ("Introduction to Health Humanities") alongside broad training in medical ethics, health communication, public health promotion, and the impacts of representations of health and illness. To accommodate their diverse needs, students can choose between "ENG 2000: Literature and Medicine" or "PHIL 2440: Medical Ethics" to fulfill one requirement, choosing the course that is more professionally advantageous. Students must also take one "creative practice" course in the arts, which develops a tolerance for ambiguity as well as a deepened understanding of the importance of artistic expression in representing and understanding individual and collective experiences of health and illness. The major has four subject area concentrations: Community Health & Society; History, Narrative, and Ethics; Global Health; and Identity and Health. Students must take 6 credit hours (2 courses) within one subject area as well as 6 credit hours of electives (2 courses) from any subject area. A variety of existing courses from CAS and SHP comprise the subject area and elective courses. Finally, students must complete a capstone experiential course requiring an academic or creative project or an experience that allows students to integrate knowledge gained through prior coursework and learn professional skills (e.g. study abroad, service learning, or internship for a minimum of 3 credits). The capstone must be pre-approved by the program director.

Courses in this major are sequenced by level rather than by content, which means that students do not need to take courses in a conceptual sequence in order to be successful in the major (e.g. "Introduction to Health Humanities" is not a prerequisite for any other major courses). However, it will be advantageous for students entering the major to begin with "Introduction to Health Humanities." Students who add the major later in their academic careers will be encouraged to take the course within the first year of declaration. Students will be strongly encouraged to identify their subject area early in their training and encouraged to explore, through electives, what subject area best suits their professional and intellectual needs. However, we will also advise students to be strategic about their choices. Since certain electives count toward multiple subject areas, we will encourage students to choose electives that fulfill multiple subject areas as they explore their options.

5.C. Program Structure

The major will consist of 30 hours of coursework, drawn from the following categories: Foundational courses, including a capstone at the 4000-level (18 credit hours), two Subject Area Courses (6 credits) and two electives (6 credits). Students must take 21 of the required 30 credits in the College of Arts & Science.

The curriculum and structure of the program reflect its interdisciplinarity, as it is designed so that students develop the qualities highlighted by the Accreditation Council for Graduate Medical Education, such as empathy and tolerance for ambiguity, humanism and critical thinking; to develop skills in visual observation and writing and employ them in contexts addressing both individual and community health. It is also designed in accordance with humanities disciplines, such as disability studies, bioethics, medical humanities, and science and technology studies (STS), all of which analyze how medical knowledge and technology impact history, culture, politics, and identity.

The major curriculum will consist of 18 credit hours of foundational Health Humanities courses (including a “creative practice” course such as creative writing as well as a capstone that requires research, creative work, or experiential/service learning for a minimum of 3 credits), followed by six credit hours chosen from a subject area cluster (examples include: Community Health and Society; History, Narrative, and Ethics; Global Health; and Identity and Health). Students will choose six credits of electives from an expansive list that meets Health Humanities criteria of close reading and attention to the cultural, historical, and aesthetic aspects of health. Subject area courses may also be chosen as electives.

Most courses, including a variety of possible electives, are currently offered at MU and would require no adaptation. The one exception is a foundational introductory course in Health Humanities, which has been approved as a General Education course and fulfills the campus humanities requirement.

Major Program Requirements

In addition to the 30 major core requirements, students must complete college and University graduation requirements (<https://catalog.missouri.edu/academicdegreerequirements/universityrequirements/>) including University general education requirements (<https://catalog.missouri.edu/academicdegreerequirements/generaleducationrequirements/>). Students must take 21 of the required 30 credits in the College of Arts & Science.

FOUNDATION COURSES

18

Required Courses (12 Credit Hours)

INTDSC 1000	Introduction to Health Humanities
ENGLSH 2000	Studies in English (Literature & Medicine)
or PHIL 2440	Medical Ethics
COMMUN 4530	Health Communication
P_HLTH 2200	Introduction to Public Health and Health Promotion

Creative Practice (choose one course) (3 credit hours)

ART_VS 2030	Context and Culture
ART_VS 1050	Drawing: Materials and Methods
ART_VS 2600	Digital Photography
ART_VS 1020	Introduction to Visual Studies
ART_VS 1100	Ceramics for Non-Majors
ENGLSH 1500	Creative Writing: Introduction to Creative Writing
ENGLSH 1160	Themes in Literature
THEATR 1400	Acting for Non-Majors
ENGLSH 1510	Creative Writing: Introduction to Fiction
or ENGLSH 1520	Creative Writing: Introduction to Nonfiction Prose
or ENGLSH 1530	Creative Writing: Introduction to Poetry
ENGLSH 1520	Creative Writing: Introduction to Nonfiction Prose
ENGLSH 1530	Creative Writing: Introduction to Poetry
THEATR 2220	Immersive Theatre
ENGLSH 2100	Writing About Literature

Capstone (3 credit hours)

A 4000-level capstone experiential course requiring an academic or creative project or an experience that allows to integrate knowledge gained through prior coursework and learn professional skills(e.g. study abroad, service learning, or internship for a minimum of 3 credits.) Must be approved by the program director

CONCENTRATION AREAS

6

Choose at least 2 courses within one of the following 4 concentration areas

Community Health and Society

ANTHRO 3560	Plagues and Peoples
or ANTHRO 3560W	Plagues and Peoples - Writing Intensive
H_D_FS 2300	Multicultural Study of Children and Families
HLTH_SCI 2400	Contemporary Health Issues
HIST 3550	Science and Medicine in Ancient and Medieval Europe
HLTH_SCI 3700	Health Care in the United States
P_HLTH 2250	Public Health Communication
P_HLTH 3310	Social and Behavioral Health Theory and Practice
P_HLTH 3460	Introduction to Public Health and Emergency Preparedness
P_HLTH 3560	Public Health and Environmental Justice
P_HLTH 3620	Public Health Promotion and Program Planning
P_HLTH 3960	Public Health, Drugs and Policy
P_HLTH 4420	Gender, Culture, and Politics: Gender in the Heartland
or WGST 4420	Gender, Culture, and Politics
P_HLTH 4620	Climate Change and Human Health
P_HLTH 4630	Health and Human Migration
SOCIOL 3440	Sociology of Health
SOCIOL 4450	Research Practicum in Health, Place, and Community

WGST 3850	Gender and the Politics of Representation (Disability & Sexuality in U.S.Culture)
REL_ST 2220	Death and Dying in the Western World
POL_SC 4390	United States Health Politics and Policy
PUB_AF 4175	Early Childhood Policy

WGST 3960	Strategies for Effective Peer Education
or P_HLTH 3965	Strategies for Effective Peer Education in Public Health

History, Narrative and Ethics

PHIL 1150	Introductory Bioethics
HLTH_SCI 2850	Inclusion and Equity in Health Care
or HLTH_SCI 2850H	Inclusion and Equity in Health Care - Honors
HLTH_SCI 2900	Health Care In Missouri
or HLTH_SCI 2900H	Health Care In Missouri - Honors
HLTH_SCI 4410	Humanism and Health Literacy
HLTH_SCI 4420	Health Literacy, Decision Making and Behavior Changes
HLTH_SCI 4480	Clinical Ethics
ANTHRO 4580	Evolutionary Medicine
PHIL 4400	Philosophy of Science
SOC_WK 4395	Death, Grief and Loss
POL_SC 4390	United States Health Politics and Policy
WGST 3850	Gender and the Politics of Representation (Disability & Sexuality in U.S. Culture)

Global Health

ANTHRO 4360	Medical Anthropology
ANTHRO 3560	Plagues and Peoples
or ANTHRO 3560W	Plagues and Peoples - Writing Intensive

WGST 2050	Gender and Public Health
or ANTHRO 3560W	Plagues and Peoples - Writing Intensive
HIST 2590	Epidemics and Society
HLTH_SCI 2400H	Contemporary Health Issues - Honors
or HLTH_SCI 2400W	Contemporary Health Issues - Writing Intensive
HLTH_SCI 3400	Global Health Care Systems
P_HLTH 3960	Public Health, Drugs and Policy
P_HLTH 4420	Gender, Culture, and Politics: Gender in the Heartland
or WGST 4420	Gender, Culture, and Politics
P_HLTH 4620	Climate Change and Human Health
WGST 3960	Strategies for Effective Peer Education
or P_HLTH 3965	Strategies for Effective Peer Education in Public Health

Identity and Health

ANTHRO 2580	Evolution of Human Sexuality
HLTH_SCI 2850	Inclusion and Equity in Health Care
or HLTH_SCI 2850H	Inclusion and Equity in Health Care - Honors
HLTH_SCI 3400	Global Health Care Systems
or P_HLTH 3400	Global Public Health and Health Care Systems
HLTH_SCI 4430	Health Care Across the Lifespan
P_HLTH 2050	Gender and Public Health
P_HLTH 3860	Autism Spectrum Disorder and Public Health
P_HLTH 4420	Gender, Culture, and Politics: Gender in the Heartland
or WGST 4420	Gender, Culture, and Politics
SOCIOL 3440	Sociology of Health
SOCIOL 4450	Research Practicum in Health, Place, and Community
WGST 2960	Sexual Health Education and Advocacy

WGST 3850	Gender and the Politics of Representation (Disability and Sexuality in U.S. Culture)
WGST 3960	Strategies for Effective Peer Education
WGST 4600	Women and Health
WGST 4610	Race, Gender, and Health: An Intersectional Examination of Health Inequalities
or P_HLTH 4610	Race, Ethnicity, and Health: An Intersectional Examination of Health Inequalities

ELECTIVES

6

Choose two courses from any in the above concentration areas.

5.D. Program Goals and Assessment

ASSESSING LEARNING OUTCOMES

We will require a portfolio as part of the capstone course for the major, which will encourage students to reflect on the insights gained through experiential learning (i.e. study abroad, internship, or independent project) in relation to the training in historical, cultural, social, aesthetic, and political dimensions of health they received in their Health Humanities courses. Since the portfolio is tied to high-impact professional development activities, the portfolio will also provide a way of assessing some elements of career readiness that Health Humanities aims to cultivate: clinical empathy skills; tolerance for ambiguity; cultural understanding; and a holistic understanding of systemic challenges of health care in relation to individual need. This area of study has no standardized testing or licensure, certification, or registration.

RETENTION AND GRADUATION RATE GOALS

Retention of students is a critical component to any BA program. The College of Arts and Science utilizes a thorough process to support undergraduate students' success. These efforts include early warning systems and student feedback surveys. Particular attention is paid to first generation college students. The Arts and Science advising office will provide us with support as we work with our new undergraduate students, and we will also work with academic advisors in SHP. For this proposal, we have prepared a number of sample degree plans that demonstrate that students can graduate in four years with a BA in Health Humanities as a standalone or secondary major. MU's overall graduation rate is 73%. We are aiming for a graduation rate of 85%

for this major. We estimate placement rates of 80% in related fields, 15% in other fields, and a 5% unemployment rate, given the data from MU's Outcomes Survey and MDED.

OTHER MEASURES OF SUCCESS

Employment in a health-related field will be the number one measure. We will also track pursuit of post-graduate degrees in related fields, with an especial interest in medical/medical related, as well as Public Health, Public Affairs, and other policy-related fields (e.g. Economics).

5.E. Student Preparation

The major will serve a broad population, and there will be no special admissions or student qualifications required that exceed regular university standards. There is no specific preparation recommended for students entering this program to ensure success. However, it will be advantageous for students to take the introductory course, "Introduction to Health Humanities" first. For students who add the major later, students will be encouraged to take this course within the first year of declaration.

5.F. Faculty and Administration

Julie Passanante Elman will be primarily responsible for the success of this program and will be appointed as Program Director at 11% time. The following members of the Program Advisory Board will serve at 5% time: William Kerwin (Associate Professor, English) Kaleea Lewis (Assistant Professor, Public Health/Women's and Gender Studies); Kerri McBee-Black (Assistant Professor, Textile and Apparel Management); Carolyn Orbann (Associate Teaching Professor, School of Health Professions); Lise Saffran (Associate Teaching Professor, School of Health Professions).

This program draws mainly on existing courses and will have no trouble meeting instructional needs. As the letters of support indicate, departments teaching required courses have ensured that they are taught regularly and will have seats saved for Health Humanities students. Faculty must have a Ph.D., MFA, or other terminal degree in their field of expertise. 90% of all credit hours in the major will be assigned to full-time faculty members. Faculty will be encouraged to attend and require that their students attend Health Humanities research events, such as the launch event series, "Health Humanities, Medicine, and the World."

5.G. Alumni and Employer Survey

ALUMNI SURVEY

We will institute a regularly occurring exit survey for all graduates of Health Humanities in collaboration with the School of Public Health and other relevant CAS departments. Since we expect this degree to appeal to students in a variety of departments as a secondary major, we will coordinate with those departments and SHP to gather data on alumni experiences. Feedback from this survey will be not only be instructive to the growth and development of the BA program but also will be essential in developing an online professional certificate for an external market.

EMPLOYER SURVEY

In collaboration with the School of Health Professions, we will initiate surveys with the largest employers of graduates in allied health professions. We will coordinate with SSMHealth, Missouri Hospital Association, and the Center for Health Policy, all of which have provided letters of support attesting to the desirability of employing Health Humanities graduates, to gain information that will enable us to ensure that the curriculum continues developing to be responsive to dynamic changes in healthcare delivery and policy.

5.H. Program Accreditation

Not applicable

6. Appendices

- A. Letters of Support (pg. 45)
- B. Health Humanities Course Map (pg. 66)
- C. Sample Degree Maps (pg. 67)



April 17, 2023

Dear Provost Ramchand and President Choi:

Attached for your review and approval is the revised, full proposal from the College of Arts & Science for a B.A. in Health Humanities. I have reviewed it, as has Steven Chaffin at system. Please contact me if you have any further questions.

Sincerely,

Alexandra Socarides
Associate Provost for Academic Programs

Latha Ramchand, Ph.D. Date
Provost, University of Missouri

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



May 27, 2022

Latha Ramchand
Provost and Executive Vice Chancellor
University of Missouri

Dear Provost Ramchand:

I write to offer my enthusiastic support for an innovative, cross-campus BA program in Health Humanities, which will be housed in the College of Arts and Science and initiate a new and exciting interdisciplinary collaboration with the School of Health Professions. The University of Missouri will be the first comprehensive university in the state to offer this BA.

Our society is confronting unprecedented challenges within the realm of health, illness, and medicine—a global pandemic, aging populations, addiction, medical privacy, and ongoing health care access barriers to rural communities, to name but a few. MU has been at the forefront of developing a new approach to compassionate, individualized health care, targeted prevention efforts, and more precise diagnostic technologies with NextGen Precision Medicine, but we need to do more. Combining the research and teaching strengths of our STEM and humanities with those of our colleagues in health professions, this BA program capitalizes on the momentum and furthers the mission of NextGen Precision Health by delivering cutting-edge curriculum and high-impact learning experiences that will prepare our future allied health professionals, bioengineers, addiction researchers, human resource professionals, policymakers, and humanities students to provide comprehensive solutions to society's most pressing health issues.

Countless professional organizations in the sciences—from the National Science Foundation, to the American Association of Medical Colleges, to the American Academy of the Arts and Sciences—agree that the most critical challenges of our time cannot be solved by science alone. This is why over half of AAU medical schools incorporate health humanities training into medical education: to improve the clinical empathy skills that are crucial to patient care, reduce burnout, and contribute to more effective and profitable hospitals. Scholars in the humanities, arts, and social sciences help us not only to better understand diverse human experiences of health, illness, and disability but also give us the tools for developing technologies, treatments, and approaches to patient care that are innovative, ethical, and effective. Students entering allied health fields absolutely need top-notch training in the acquisition of clinical skills. However, they will be more effective communicators, ethical researchers, entrepreneurial health industry leaders, and attentive caregivers with a Health Humanities curriculum that educates them about the social and cultural dimensions of health: ethical considerations of new medical treatments and technologies; the impacts of culture and history on the health

outcomes of rural communities; the importance of patient storytelling; cultural barriers to disability inclusion; and an awareness of the relationship between social determinants of health and the development of culturally-informed health communication strategies. Finally, as the College of Arts and Science is home to the Missouri Center for Addiction Research and Engagement (MO-CARE), Mizzou undergraduates will have a unique opportunity to pair their study of Health Humanities with a certificate in Addiction Studies so that, as future psychologists, advocates, nurses, or clinicians, they emerge with a deeper perspective on the causes, impacts, and positive interventions that can address addiction in community-minded, inclusive ways. By drawing on the unique interdisciplinary strengths of our College, this program broadens our impact on future health professionals with training they can only receive in A&S. We are excited to contribute to more empathic, effective, and accessible health care for the Missourians that we all serve.

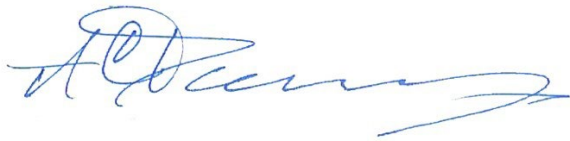
Apart from its intellectual and professional value, the BA in Health Humanities provides significant economic benefits to MU and our students. The BA program has the potential to attract new students to MU, in part, because it will provide more comprehensive training for pre-med and pre-health students—the largest general area into which new students come to Mizzou. All students must take general education credits in the College of Arts and Science, and they are often disconnected courses. This program enables non-humanities students to harness their required humanities and social science credits into a professionally relevant second major that showcases critical thinking skills and a holistic understanding of health-related issues. Meanwhile, arts and humanities students will be enriched by more exposure to clinical approaches to health and engagement with STEM faculty and students that they might not otherwise have. Finally, many aspiring doctors do not receive Health Humanities training until they are already in medical school, although the revised MCAT now features a Humanities section. As a standalone or secondary degree, this additional training will add value by giving our graduates a competitive edge in securing health-oriented jobs or admission to medical school or other postgraduate degree programs.

All students will benefit from a unique classroom environment that brings together students from STEM, humanities, and clinical fields in collaborative learning through a shared investment: solving the most pressing local and global medical and health challenges of the 21st century by learning how to collaborate across diverse fields. For example, our pre-med and pre-health students, after gaining deeper insight into the unique culture, history, storytelling, and identity of rural communities, will be more likely to use their MU degrees to serve those same communities, which have been disproportionately affected by shortages of doctors, nurses, and mental health services, especially in Missouri. Our business majors pursuing careers in human resources, wellness program development, or the health insurance industry will benefit from a more multidimensional education about health care delivery and access. Our engineering and architectural studies students, exposed to diverse cultural perspectives on health care and access barriers, will develop more effective forms of Universal Design, so their technologies and structures positively affect more consumers. Finally, our future policymakers in the Truman School will create more inclusive and impactful policies with a broadened understanding of the clinical challenges as well as the individual and community health needs

of diverse populations.

With a BA in Health Humanities that combines the strength the School of Health Professions with the intellectual diversity of the College of Arts and Science, our university will model the collaborative multidisciplinary approach to precision medicine that has made MU a leader and innovator in health care delivery and education, as our students go on to diverse careers in medicine, nursing, public health, health communication, policymaking, art therapy, psychology, and education. We are excited to unite the strengths of our faculty in STEM, humanities, social sciences, and the arts to deliver bold innovation to health research and care of the future.

Sincerely,

A handwritten signature in blue ink, appearing to read 'A. Cooper Drury', with a stylized, flowing script.

A. Cooper Drury
Dean



February 7, 2023

Dr. Cooper Drury
College of Arts and Science
University of Missouri

Dear Dean Drury:

I am writing to offer my enthusiastic support for your proposed undergraduate BA in Health Humanities. MU will be the only comprehensive university in the state to offer an undergraduate major in Health Humanities. This program joins the diverse disciplines of the School of Health Professions and the College of Arts and Science to provide students with an enhanced education in the historical, cultural, and social dimensions of health, illness, and disability. Our students will emerge with a more holistic understanding of pressing health issues and a more versatile skillset for a variety of health-oriented careers than students at other universities with the addition of this novel degree program.

Our nation is facing health worker shortages overall, and in Missouri, this situation is has become critical. In 2022, ten St. Louis-area hospitals had to request federal staffing support through the State Emergency Management Agency due to critical staffing shortages. While this issue affects urban health care systems, rural Missourians and smaller hospitals are disproportionately impacted by nursing and other health staffing shortages. Early exposure to undergraduate health humanities courses that emphasize the cultural and social dimensions of rural health challenges will encourage our graduates to serve the communities with the most critical need. Moreover, this training will make our graduates more versatile, which will diversify their employment prospects and deepen their overall knowledge of individual and systemic health needs to make them valuable and agile health workers to the organizations they serve.

Coursework in Health Humanities will be a valuable complement to a variety of degrees in the School of Health Professions by providing our students with a way to proactively use their required general education course for career readiness. All MU undergraduates must take general education credit hours in the College of Arts and Science. With a BA program in Health Humanities, SHP students can harness these courses into a marketable secondary major that will not only enhance soft skills like cultural competency and empathic communication but also make these skills more legible to employers. While our coursework

emphasizes empathic, personalized care, additional training in health humanities can only deepen these critical skills.

Our faculty and students will also enrich the educational experience of students in the College of Arts and Science. Arts and humanities scholars, who consider the social, cultural, historical and ethical dimensions of health, illness, medical technologies and treatments, often do not have any meaningful exposure to more clinical disciplines that engage directly with patients. Our faculty and students, by engaging with undergraduates pursuing careers in public administration, health advocacy, health care engineering, health communication, and health-oriented creative work, will give students in the humanities, arts, and social sciences the benefit of their perspective and training so both groups can be more effective, individually and in collaboration with one another, in their careers.

One of our courses (HS 3300 Introduction to Public Health Principles, Practice, and Education) will be a required “Foundations” course for the major, and other courses will serve as subject area courses in each of the four areas of concentration. All courses are offered regularly, and we have committed to making seats available to Health Humanities students. The presence of three School of Health Professions faculty (Kaleea Lewis, Carolyn Orbann, and Lise Saffran) on the degree program’s advisory committee will ensure that the program grows in ways that are mutually beneficial to students and faculty in the School of Health Professions and the College of Arts & Science. These faculty members also collaborated on the development of the new required introductory course, Introduction to Health Humanities, to ensure that it represents the full interdisciplinary breadth of the field.

We are excited to collaborate with the College of Arts and Science to deliver innovative curriculum and high-impact learning experiences for students considering careers in all realms of health care, promotion, and advocacy. The BA in Health Humanities will enrich the knowledge and career-readiness for our students and yours, and we fully support this degree program.

Sincerely,

A handwritten signature in black ink, reading "Kristofer Hagglund". The signature is fluid and cursive, with the first name "Kristofer" and last name "Hagglund" clearly distinguishable.

Dr. Kristofer Hagglund
Dean



June 16, 2022

Cooper Drury, PhD
Dean, College of Arts and Sciences
317 Lowry Hall
Columbia, MO 65211-7400

Dear Dean Drury:

I am please to write a letter of support for the proposed undergraduate BA in Health Humanities. This program is very well aligned with the University of Missouri System's NextGen Precision Health initiative. NextGen unites our four public research universities, University of Missouri Health Care, MU Extension and private partners toward a single goal: precision health solutions for society's toughest diseases. To reduce health disparities and achieve more attentive, individualized care, targeted prevention and precise diagnosis, we know that we need a more socially minded and holistic approach to health. To reach our goal, we must address help shape learners and offer pathways for them to contribute to precision and population health improvement.

I am proud to recognize that the University of Missouri will be the only comprehensive university in the state to offer such innovative training at the undergraduate level, which will prepare our graduates with cutting-edge content and experiences to not only succeed in their careers but also to lead health and health care innovation for our citizens.

The strengths of our schools of nursing, medicine and health professions offer a full array of resources that will benefit the faculty and students in the health humanities program. The program will offer an holistic, humanities-based approach to patient experience, medical ethics, and will include the cultural dimensions of health care. Health humanities training at the undergraduate level may offer pre-medical students a competitive edge as they apply to medical school, and I agree it will help them excel as more empathic medical students and eventually, more patient-centered physicians.

As a physician, I resonate with two components that will be central to the program – a focus on clinical empathy and on compassionate care. Both of these foundational humanities elements are essential features of patient-centered health care. Training future health professionals in ways that encourage positive, trusting patient-clinician relationships is of utmost importance. Since the undergraduate health humanities major will build broad skills for a variety of careers in health and health care, graduates of this program will emerge with greater versatility to adapt to the changing environment and needs of hospitals, health organizations, public health and corporations such as pharma that they may join.

Finally, training in health humanities has been shown to reduce physician burnout and increase feelings of well-being among medical students and physicians, because it often elicits positive feedback from patients. The ongoing national health worker shortage has

been acutely felt in Missouri, especially in rural communities. This program aspires to offer training that can increase empathy and reduce burnout which will be a valuable addition to ensure that our talented undergraduates go on to have long and fulfilling health-related careers in the communities that need them the most.

Health humanities training at the undergraduate level will help graduates in all health professions positively impact the patients and health care institutions they serve. Graduates of the program will be better equipped to contribute to the goals of precision medicine in Missouri and elsewhere. I look forward to supporting the BA in Health Humanities at the University of Missouri in ways that extend its impact into our precision health, research, care delivery and workforce efforts.

Sincerely,

A handwritten signature in black ink, reading "Richard J. Barohn". The signature is fluid and cursive, with the first name "Richard" and last name "Barohn" clearly legible.

Richard J. Barohn, MD
Executive Vice Chancellor for Health Affairs/Hugh E. and Sarah D. Stephenson Dean,
School of Medicine
Executive Director, NextGen Precision Health

January 3, 2023

Cooper Drury, Dean
College of Arts & Science
University of Missouri
317 Lowry Hall
Columbia, MO 65211

Dear Dean Drury,

The Missouri Hospital Association is pleased to provide this letter of support for the proposed Bachelor of Arts in Health Humanities. This degree supports our goal to enable a healthier Missouri by advancing health care that is accessible, reliable, equitable and of excellent quality and value, in safe and appropriate settings.

The Missouri Hospital Association recognizes the important role these degree pathways play in increasing empathy among health care providers, enhancing patient satisfaction and self-advocacy, as well as, reducing employee burnout. Research has shown that sound clinical empathy skills correlate with a lower risk of malpractice suits and increased patient compliance with prescribed treatments.

Clinicians and physicians educated in health humanities become better observers and interpreters, demonstrate greater empathy, enhanced interpersonal skills and a more holistic understanding of health care – all leading to higher quality care, attentive service and organizational success.

The Missouri Hospital Association eagerly awaits graduates of this proposed new program and is pleased to lend our recommendation for approval.

Sincerely,



Jill Williams
Vice President of Workforce Development



3 CityPlace Drive
Suite 700
St. Louis, MO 63141
phone: 314-994-7800
fax: 314-994-7900

Through our exceptional
health care services,
we reveal the healing
presence of God.

November 29, 2022

Cooper Drury, Dean
College of Arts & Science
University of Missouri
317 Lowry Hall
Columbia, MO 65211

Dear Dean Drury,

SSM Health is pleased to provide this letter of support for the proposed Bachelor of Arts in Health Humanities. While healthcare is predicated on the science of clinical excellence, we recognize that the art of the delivery goes beyond the physiological aspects of care and therapeutically encompasses the whole person, not just the patient. Thus, we excitedly anticipate that graduates of your newly-proposed program will be prepared to advance our Vision: *"Peace, hope and health to every person, family, and community, especially those most in need"*.

SSM Health recognizes the importance of these degree pathways in increasing empathy and compassion among caregivers, enhancing patient satisfaction as well as reducing provider and team member stress and burnout. Research has shown that sound clinical empathy skills can be correlated with lower incidences of malpractice and increased patient adherence to prescribed medical treatment plans. Caregivers educated in health humanities have the propensity to become better observers and interpreters, practice enhanced interpersonal skills, and demonstrate a more holistic understanding of health care which, in combination, all contribute to both exceptional care and service and positive organizational impact.

We here at SSM Health eagerly await graduates of this proposed program and are pleased to lend our recommendation for approval.

Sincerely,

A handwritten signature in blue ink that reads "Janet Smith-Hill".

Janet Smith-Hill, RN, MSN, SPHR
Senior Vice President/Chief Human Resources Officer

OPEN -- ASARED -- 4-54

June 29, 2023



May 15, 2022

Dr. A. Cooper Drury
Dean
College of Arts and Science
317 Lowry Hall
University of Missouri
Columbia, MO 65211

Dear Dean Drury:

I am writing to offer my support for your proposed undergraduate BA in Health Humanities at the University of Missouri. By combining the strengths of your College of Arts and Science and School of Health Professions, this program will prepare graduating students for a variety of careers in medicine, nursing, social work, business, health communication, public health, and policymaking. This program will distinguish the University of Missouri as the only comprehensive university in the entire state to deliver this degree program, which will enhance the education and career readiness of graduates undertaking health-oriented careers in diverse industries. Indeed, I myself am a Missouri grad (UMKC 6-year med) and look forward to building collaborations between schools and units at VU and MU.

Vanderbilt University's major in Medicine, Health, and Society (MHS) draws from the intellectual traditions of Health Humanities, which investigates the cultural, economic, demographic, and biological factors that impact health. This innovative interdisciplinary field of study transcends the traditional biomedical approach to understanding health and illness by encouraging students to think critically about complex social and historical issues that impact health, healthcare, and health policy. Your proposed program, like ours, aims to train students proactively to meet emerging challenges in our healthcare system as well as changes in medical education, which include increased emphasis on humanities approaches to cultivate empathy and diagnostic precision and decrease burnout among medical students and physicians. Unique Health Humanities-oriented degree programs are indispensable in training the next generation of national and international health leaders—from doctors and nurses, to economists, to public health advocates, and policymakers.

Established in 2010, our department offers over 70 MHS courses and supports over 750 undergraduate majors and a smaller number of minors. Over 200 students graduate with an MHS major each year, and success stories abound. For example, in 2019, a remarkable 83% of MHS students who applied to medical school were accepted—more



than double the national average—which speaks to the marketability of this unique interdisciplinary approach to health. A major study published in *Social Science and Medicine* showed that MHS majors identified and analyzed relationships between social factors and health outcomes at higher rates and in deeper ways than did premed science majors and freshmen. These skills represent proficiencies increasingly stressed by the MCAT, the AAMC, and other educational bodies how contextual factors shape expressions of health and illness—values that are shared and expressed within your prestigious NextGen Precision Health Institute. Our students and faculty have been at the fore of a number of vital efforts: addressing the structural drivers of racial inequities in COVID mortality rates, advising the Nashville city government about communal safety practices, creating innovative new formats for online teaching, analyzing the healthcare of tomorrow, and researching the pandemic through lenses of history, literature, sociology, disability, gender, geography, and economy.

We have also seen growing student opportunities in private sector health startups, for instance, and our program has fostered increased collaboration among/across STEM, health professions, and humanities/social science faculty leading to increased grant success. Faculty at our institutions are already collaborating with one another. Dr. Aimi Hamraie and your own Dr. Julie Elman have formed a disability studies writing group. Once your program is established, we would welcome additional opportunities for research, teaching, and programming collaboration, as AAU/SEC institutions.

In closing, I offer my support and my excitement for your new BA in Health Humanities. Our major and minor programs as well as the career opportunities for our graduates have expanded dramatically to meet the grand health challenges of the 21st century. I'm thrilled that students at the University of Missouri will add this unique degree program, and I look forward to hearing of the many accomplishments that emerge from this interdisciplinary collaboration.

Please feel free to contact me should you require any additional information.

Yours,

Jonathan Metzl, MD, PhD,



VANDERBILT UNIVERSITY
COLLEGE OF ARTS AND SCIENCE

Center for Medicine, Health, and Society

Frederick B. Rentschler II Professor of Sociology and Medicine, Health, and Society,
Director, Center for Medicine, Health, and Society,
Professor of Psychiatry,
Vanderbilt University, Nashville, TN
jonathan.metzl@vanderbilt.edu
<http://www.vanderbilt.edu/mhs>

PMB 351665
2301 Vanderbilt Place
Nashville, Tennessee 37235-1665

tel 615.343.0916
fax 615.343.8889
<http://www.vanderbilt.edu/mhs/>
June 29, 2023

OPEN -- ASARED -- 4-57



May 26, 2022

Dear Dean Drury:

Please accept this letter from the MU Center for Health Policy as support of the MU College of Arts and Sciences proposed undergraduate BA in Health Humanities. This is an exciting and appropriate endeavor, consistent with our land grant mission, to support students in pursuing diverse careers in health care, public administration, and policymaking.

Established in 2002, The mission of the Center for Health Policy (CHP) is to promote wellbeing and access to equitable healthcare for all Missourians, particularly those with the greatest need. Our mission guides CHP's engagement in strategic initiatives that:

- Illuminate and address the social determinants of health for Missourians.
- Improve population health.
- Enhance health care access.
- Build and develop relationships with key stakeholders at MU, with Missouri policymakers, and with national and international colleagues.
- Are informed by the principles of health equity and inclusion.
- Facilitate CHP's service as a resource for institutional knowledge and the history of Missouri health policy.
- Establish CHP as an authentic trusted resource for non-partisan information.

The Centers for Disease Control and Prevention estimates that nearly half of the population lacks sufficient health literacy skills. This inability to understand or use health information links directly to a variety of serious issues, such as higher rates of hospitalization, reduced preventative care, and increased health costs for the US health system, patients, and providers. One CHP report found that enhancing health literacy not only produces better health outcomes for patients but also could save \$105 to \$175 billion annually in health expenditures within the US. While medical and health professional training necessarily emphasizes the acquisition of technical and clinical skills, additional training in the Health Humanities will cultivate the "soft skills" that are necessary for clear health communication and building trust with those seeking health advice or treatment. As a dual major, the BA in Health Humanities will help pre-clinical students prepare for effective practice, as well as enhance the education of students planning careers in policy, advocacy, education, and non-clinical support services.

Additionally, I have discussed plans with Dr. Julie Elman to establish a limited number of CHP internships for students pursuing the BA in Health Humanities so they can gain hands-on, high-

impact learning experiences in data analysis, policy analysis, and addressing the social determinants of health. In particular, students pursuing a BA in Public Administration and Policy, who want to go on to have careers in health policy or administrative roles in health organizations, would gain career-preparedness and vital knowledge about the history of health care careers and clinical service, the social determinants of health, and disparities to health care access with a secondary major in Health Humanities.

We are excited to collaborate with the College of Arts and Sciences and the School of Health Professions on this new degree program, which aligns directly with the goal of CHP to educate, analyze, and communicate health policy and care issues to Missourians.

Sincerely,

A handwritten signature in black ink, appearing to read 'T. Greever-Rice', with a long horizontal line extending to the right.

Tracy Greever-Rice, Ph.D., M.S.
Director, MU Center for Health Policy
School of Medicine

Director, MU Federal Statistical Research Data Center
Office of Research, Innovation and Impact

May 3, 2022

A. Cooper Drury
Dean
College of Arts and Science

Dear Dean Drury:

I am writing to express the Department of Communication's strong support for a proposed Bachelor of Arts in Health Humanities. This is an important interdisciplinary degree that will be of interest to a variety of Mizzou students. It will also provide beneficial research and teaching opportunities for students and faculty in our department.

As part of this new degree program, the Department of Communication is committed to offering COMM 4530 Health Communication as a required "Foundations" course for all students majoring in Health Humanities. This course will be optional for a Health Humanities minor. COMM 4530 Health Communication is offered every fall and spring semester and is often offered during the summer. Health and crisis communication is a core emphasis area in our department, and COMM 4530 Health Communication is the flagship undergraduate course for that area. As such it is an important departmental course and is well developed by our faculty. We are excited to include this course in the Health Humanities B.A.

One additional course, P_HLTH 2250 Public Health Communication, will be an optional course in the subject area "Community Health & Society" that students can take as part of their required six credit hours of subject area courses. This course is offered at least once per academic year. While technically a Department of Public Health course, this class is taught by a faculty member with a dual appointment in Communication and Public Health where the primary academic home (75%) is Communication.

Based on number of Health Humanities majors, we will hold a certain number of spots in these courses listed above for Health Humanities majors only. This will ensure that students will be able to enroll in the courses they need, and we can adjust this number over time to accommodate that need.

We are excited to collaborate on this new degree program. Including Communication courses in the new Health Humanities major is an excellent example of the creative interdisciplinary research and teaching that makes the College of Arts and Science unique. It also builds on existing strengths within our department. Analyzing how health is socially constructed

is a primary research methodology and learning outcome of the fields of Health Communication and Health Humanities. Since Health Communication students must be able to interpret the role of interpersonal, group, and mediated messages in health contexts and understand the impacts of social factors and ethical issues in health communication, training in Health Humanities will enable our graduates to be more effective in understanding, analyzing, and writing about health issues in their careers.

Communication graduates who take coursework in health communication may go on to careers as healthcare providers (e.g., nurses, social workers, counselors), health policymakers, healthcare salespeople (e.g., pharmaceutical reps), health marketers (e.g., developers of health campaigns), and healthcare human resource professionals. Each of these are in demand careers and our graduates are extremely successful getting jobs. Incorporating a Health Humanities perspective for these students can result in employees who are more culturally competent and compassionate. These qualities will help ensure our graduates are more effective in their work and can result in better outcomes for individuals who are served by these health fields.

Many Communication majors will be interested in taking other Health Humanities courses that examine contemporary health issues and social determinants of health offered as part of this new degree and are even likely to double major or minor.

Given the natural connections between Health Humanities and Health Communication, we are excited about the launch of a new Health Humanities major and envision many interdisciplinary research and teaching opportunities growing out of it in the future.

Please let me know if you need additional information.

A handwritten signature in black ink, appearing to read "J. Brian Houston", with a long horizontal flourish extending to the right.

J. Brian Houston
Chair and Associate Professor

UNIVERSITY *of* MISSOURI

DEPARTMENT OF ENGLISH

April 21, 2022

Dear Dean Drury:

I am pleased to write a letter of support for the College of Arts & Sciences' new Bachelor of Arts in Health Humanities. We are excited to contribute to this novel degree program, which will harness the interdisciplinary research and teaching strengths of the College and create new collaborative possibilities with the School of Health Professions.

The Department of English will offer a long-standing course, typically offered once a year, English 2000: Literature and Medicine, as a "Foundations" course for the major and minor. Students must take either English 2000 or PHL 2440 Medical Ethics to fulfill a major and can opt to take these courses to fulfill a minor. This English course is uniquely important for Health Humanities training because it draws on a rich tradition of narrative medicine that has become a key element of clinical training within the most well-respected medical schools in the country to develop compassionate care and cultural competency. The course explores the ways medical life is narrative life since telling, hearing and interpreting stories link medical and literary practice. The course considers disease narratives as narratives and considers the cultural meanings and contexts of those narratives. The method of literary analysis—the practice of closely examining the narrative elements, themes, and deeper meanings of stories—has been central to the development of the fields of narrative medicine and health humanities, particularly their shared investment in evaluating the cultural impact of storytelling for people with illness and disability and the health professionals with whom we all interact. This course is always typically offered once a year and is part of a broader strength we have within the English Department in the study of Literature and Science. In addition, this "Literature and Medicine" course has had long-standing cross-list with the Honors College and has already been contributing to that college's mission of promoting interdisciplinary study on campus.

Our outstanding Creative Writing concentration within the English Department provides multiple further possibilities for students in the Health Humanities. Students frequently pursue interests in health and medicine within the rubric of our creative writing classes, such as English 1500: Creative Writing: Introduction to Multiple Genres, which will also be included as options for fulfilling the Health Humanities' distinctive requirement for "a creative practice course or course that promotes self-reflection through close reading of visual, written, or performed texts." We currently have several graduate students in Creative Writing interested in pursuing health-related topics in their creative work, including a PhD student with an MA in narrative medicine. We are excited by the prospect of building new possibilities in Creative Writing that will enhance both the development of our Creative Writing students and contribute vital training and perspective for Health Humanities students. The BA in Health Humanities will broaden our



reach to STEM students and promote interdisciplinary exchange beyond the College of Arts and Science.

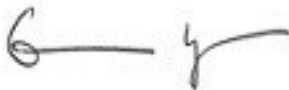
In addition to the Literature and Medicine and Multi-genre Creative Writing courses mentioned above, English 1160 Themes in Literature: Border Literature, Global Warming, Global African Literatures will also be included as an option for fulfilling the Health Humanities' distinctive requirement for "a creative practice course or course that promotes self-reflection."

Undoubtedly, we will have other English courses that would also fulfill that requirement. To accommodate Health Humanities majors, we will reserve a predetermined number of seats in each of these courses for Health Humanities students to ensure they will have access to the courses they need to complete their major or minor efficiently.

Our department is excited to contribute to the professional training of pre-medical students; School of Health Professions students seeking careers in allied health fields; and students interested in public health communication, all of whom will benefit from a better understanding of the stories we tell about health, illness, disability, and medical institutions and how they differentially impact diverse populations.

Again, we offer our strong support to the BA in Health Humanities, which will enhance and showcase the unique interdisciplinary collaborations among the arts, humanities, and sciences that are uniquely possible within the College of Arts & Science and that will create a richer, more holistic approach to society's current and future health issues, technologies, and institutions.

Sincerely,

A handwritten signature in black ink, appearing to read 'Emma Lipton', with a stylized, flowing script.

Emma Lipton
Chair and Associate Professor

April 25, 2022

Dr. A. Cooper Drury
Dean
College of Arts and Science
317 Lowry Hall
University of Missouri
Columbia, MO 65211

Dear Dean Drury:

I am happy to write in support of the College of Arts & Science's new Bachelor of Arts in Health Humanities, a program that will build on the Philosophy department's existing strengths in the philosophy of science and medical ethics.

The Department of Philosophy's courses in Introductory Bioethics (PHIL 1150) and Medical Ethics (PHIL 2440) courses have shown consistent growth since 2017 and boast semester enrollments of 100+ and 200+, respectively. The steady growth of enrollment in these courses is a good indicator that a BA in Health Humanities will be popular among undergraduates, who will, with the addition of this program, be able to take a variety of interdisciplinary courses that address issues in health and medicine. One of our faculty members, Dr. André Ariew, has agreed to serve on the program's faculty advisory committee in its inaugural year. Other faculty in philosophy, myself included, share Dr. Ariew's enthusiasm about the collaborative research and teaching opportunities that will emerge from a degree program in Health Humanities, especially as MU will be the only comprehensive university in the state to offer it.

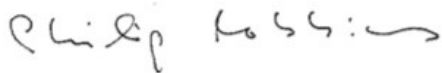
Multiple subfields of Philosophy have contributed in a foundational way to the discipline of Health Humanities. Medical ethics, bioethics, and philosophy of science (including philosophy of medicine) engage with issues regarding the ethical dimension of medical treatments, technologies, and the history of inquiry in the biomedical sciences. The importance of these subfields to training in the health sciences is reflected in the fact that the revised MCAT now includes a Humanities section which asks students to analyze passages from philosophical texts. By helping students to appreciate the ethical issues surrounding health and medicine, philosophical training equips future health professionals, public health workers, and health tech workers with a deeper, more nuanced, and more humane grasp of the complex questions they will face in their careers. Such training also tends to foster a kind of intellectual humility which is especially valuable in fields with the kind of massive societal impact that medicine and health sciences typically have.

The Philosophy department will contribute one required "Foundations" course and three subject-area elective courses to the major and minor program. Students will be required to take either Medical Ethics (PHIL 2440) or Literature and Medicine (ENGLISH 2000) as a Foundations course for the major, and either or both courses can be taken for the minor. We expect that Medical Ethics (PHIL 2440) will be especially appealing to School of

Health Professions students who are taking coursework in Health Humanities, insofar as it addresses ethical questions posed by medical decision-making and treatment, the understanding of which will enhance these students' professional training for careers in allied health fields. Additionally, Philosophy of Science (PHIL 4400), Introductory Bioethics (PHIL 1150), and Honors Medical Ethics (PHIL 1030H) will be included as a subject course option for the "History, Narrative, and Ethics" subject area. We are committed to reserving seats in all contributed courses for Health Humanities students to ensure that they graduate on time with single or dual majors in the program.

We are thrilled about the new BA in Health Humanities, and it has our enthusiastic support.

Sincerely,



Philip Robbins
Associate Professor and Chair
robbinsp@missouri.edu

BA in Health Humanities: Course Map

1) Foundation Courses (18 credit hours) <u>All are required</u>	Subject Areas (2 courses in one subject area + 2 electives from any area = 12 credit hours)	
<p>Foundation Sequence:</p> <ul style="list-style-type: none"> HLTH_HUM 1000: Introduction to Health Humanities ENG 2000: Literature & Medicine OR PHIL 2440: Medical Ethics P_HLTH 2200: Introduction to Public Health and Health Promotion COMM 4530 Health Communication <p>A creative practice course or course that promotes self-reflection through close reading of visual, written, or performed texts:</p> <ul style="list-style-type: none"> ART_GNRL 2010 Context and Culture ARTDR_VS 1050 Drawing ARTPH_VS 2600 Beginning Photography ART_GNRL 1020 Appreciation of Art ARTCE_VS 2030 Introduction to Ceramics ENG 1500 Creative Writing: Introduction to Multiple Genres ENG 1160 Themes in Literature Border Literature, Global Warming, Global African Literatures THEATR 1400: Acting for Non-Majors ENG 1510, 1520 or 1530 Introduction to Creative Writing THEATR 2220/DST 2820 Immersive Theater ENG 2100 Writing about Literature and Memory 	<p>Community Health and Society</p> <ul style="list-style-type: none"> ANTH 3560 Plagues and Peoples HDFS 2300: Multicultural Study of Children & Families HIST 3550: Science and Medicine HLTH_SCI 3700: Contemporary Health Issues P_HLTH 2250: Public Health Communication P_HLTH 3310: Soc/Behavioral Health Theory/Practice P_HLTH 3460: Introduction to Public Health and Emergency Preparedness P_HLTH 3560: Environmental Justice and Public Health P_HLTH 3620: Public Health Promotion and Program Planning P_HLTH 3960: Public Health, Drugs and Policy P_HLTH 4620: Climate Change and Human Health P_HLTH 4630: Health and Human Migration POL_SC 4390 United States Health Politics and Policy PUB_AF 4175: Early Childhood Policy REL_ST 2220 Death and Dying in the Western World SOCIO 3440 Sociology of Health SOCIO 4450 Research Practicum in Health, Place & Community WGST 3850: Disability & Sexuality in U.S. Culture WGST 3960/PL_HLTH 3965 Strategies for Effective Peer Education in Public Health 	<p>History, Narrative and Ethics</p> <ul style="list-style-type: none"> AMS 3625 Ancient Medicine ANTH 4580 Evolutionary Medicine HLTH_SCI 2850: Inclusion and Equity in Health HLTH_SCI 2900/2900H: Health Care in MO HLTH_SCI 4410: Humanism and Health Literacy HLTH_SCI 4420: Health Literacy, Decision Making and Behavior Changes HLTH_SCI 4480: Clinical Ethics PHL 1150 Introductory Bioethics PHL 4400 Philosophy of Science POL_SC 4390 U.S. Health Politics and Policy SOC_WK 4395 Death, Grief and Loss WGST 3850: Disability & Sexuality WGST/P_HLTH 4610: Race, Gender & Health WGST 3960/PL_HLTH 3965 Strategies for Effective Peer Education in Public Health
<p>A 4000-level capstone experiential course requiring an academic or creative project or an experience that allows students to integrate knowledge gained through prior coursework and learn professional skills (e.g. study abroad, service learning, or internship for a minimum of 3 credits. <u>Must be approved by the program director.</u></p>	<p>Global Health</p> <ul style="list-style-type: none"> AMS 3625 Ancient Medicine ANTH 3560 Plagues and Peoples ANTH 4360 Medical Anthropology HIST 2590 Epidemics and Society HLTH_SCI 3400: Global Health Care Systems HS 2400: Contemporary Health Issues WGST 2050 Gender & Public Health P_HLTH 3400: Global Public Health and Health Care Systems P_HLTH 3960: Public Health, Drugs and Policy P_HLTH 4620: Climate Change and Human Health 	<p>Identity and Health</p> <ul style="list-style-type: none"> ANTH 2580 Evolution of Human Sexuality HLTH_SCI 4430: Health Across the Life Span P_HLTH 2050: Gender and Public Health P_HLTH 3860: Autism and Public Health PHLTH 4001 Sexual Health SOCIO 3440 Sociology of Health SOCIO 4450 Research Practicum in Health, Place & Community WGST 3850 Disability Sexuality in US Culture WGST 2960: Sexual Health Advocacy WGST 4600: Studies in Women & Health WGST/P_HLTH 4610: Race, Gender & Health WGST 3960/PL_HLTH 3965 Strategies for Effective Peer Education in Public Health
<p>2) Subject Area Courses (6 credit hours): Choose at least two courses within <u>one</u> of the following four subject areas.</p>		
<p>3) Elective Courses (6 credit hours): Choose two courses from any of the four subject areas.</p> <p>PLEASE NOTE: <u>A minimum of 21 of 30 credits must be taken in the College of Arts and Sciences.</u></p>		

Health Humanities BA

Year 1	Fall:		Hrs.	Spring:		Hrs.	Summer:		Hrs.
	English 1000		3	Math/Quantitative Reasoning		3			
	INDSC 1000		3	American History/Gov (Soc Sci)		3			
	Humanities		3	Creative Practice Course		3			
	BPM		3	Behavioral Science		3			
	Student Success Seminar		2	Elective		3			
	Credit Hours		14	Credit Hours		15	Credit Hours		0
			14			29			29

Year 2	Fall:		Hrs.	Spring:		Hrs.	Summer:		Hrs.
	BPM - Lab Sci		4	Second Language		4			
	English 2000 or Phil 2440		3	BPM		3			
	Elective		3	P_Health 2200		3			
	Social Science		3	Health Hum Cluster		3			
	Humanities WI		3	Social Science		3			
	Credit Hours		16	Credit Hours		16	Credit Hours		0
			45			61			61

Year 3	Fall:		Hrs.	Spring:		Hrs.	Summer:		Hrs.
	Second Language		4	Second Language		4			
	Health Hum Cluster		3	Health Hum Elective		3			
	Behavioral Science		3	Humanities		3			
	Elective		3	Elective		3			
	Elective		3	Elective		3			
	Credit Hours		16	Credit Hours		16	Credit Hours		0
			77			93			93

Year 4	Fall:		Hrs.	Spring:		Hrs.	Summer:		Hrs.
	Health Hum Elective		3	Health Hum Capstone		3			
	Humanities		3	Elective		3			
	Upper-level WI		3	Elective		3			
	Elective		3	Elective		3			
	Elective		3						
	Credit Hours		15	Credit Hours		12	Credit Hours		0
			108			120			120

Year 5	Fall:		Hrs.	Spring:		Hrs.	Summer:		Hrs.
			0			0			0
	Credit Hours		120	Credit Hours		120	Credit Hours		120

Useful web site for course planning: <http://generaleducation.missouri.edu/courses>
 Monitor your progress by checking the degree audit: <https://registrar.missouri.edu/degrees-audits/degree-audits/>

Credit Hours	0 120

Credit Hours	0 120

Credit Hours	0 120

Useful web site for course planning: <http://generaleducation.missouri.edu/courses>
Monitor your progress by checking the degree audit: <https://registrar.missouri.edu/degrees-audits/degree-audits/>

Health Humanities and Communication BA

Year 1	Fall:		Spring:		Summer:	
	Hrs.		Hrs.		Hrs.	
	English 1000	3	Math/Quantitative Reasoning	3		
	INDSC 1000	3	American History/Government	3		
	Humanities	3	Creative Practice Course	3		
	BPM	3	Behavioral Science	3		
	Student Success Seminar	2	Comm 1200	3		
	Credit Hours	14	Credit Hours	15	Credit Hours	0
		14		29		29
Year 2	Fall:		Spring:		Summer:	
	Hrs.		Hrs.		Hrs.	
	Lab Sci	4	Second Language	4		
	English 2000 or Phil 2440	3	BPM	3		
	Comm 2500	3	P_Health 2200	3		
	Social Science	3	Health Hum Cluster	3		
	Humanities WI	3	Social Science	3		
	Credit Hours	16	Credit Hours	16	Credit Hours	0
		45		61		61
Year 3	Fall:		Spring:		Summer:	
	Hrs.		Hrs.		Hrs.	
	Second Language	4	Second Language	4		
	Comm Focus Area	3	Comm 3575W	3		
	Comm Focus Area	3	Comm Focus Area	3		
	Health Hum Cluster	3	Health Hum Elective	3		
	Elective	3	Humanities	3		
	Credit Hours	16	Credit Hours	16	Credit Hours	0
		77		93		93
Year 4	Fall:		Spring:		Summer:	
	Hrs.		Hrs.		Hrs.	
	Comm Focus Area (4000-level cap)	3	Comm 3rd focus area	3		
	Comm 2nd Focus Area	3	Health Hum Capstone	3		
	Comm 4530	3	Elective	6		
	Health Hum Elective	3				
	Elective	3				
	Credit Hours	15	Credit Hours	12	Credit Hours	0
		108		120		120
Year 5	Fall:		Spring:		Summer:	
	Hrs.		Hrs.		Hrs.	

Health Humanities

Communication Requirements

Satisfies HH and Comm

Useful web site for course planning: <http://generaleducation.missouri.edu/courses>

Monitor your progress by checking the degree audit: <https://registrar.missouri.edu/degrees-audits/degree-audits/>

Credit Hours	0 120

Credit Hours	0 120

Credit Hours	0 120

Useful web site for course planning: <http://generaleducation.missouri.edu/courses>
Monitor your progress by checking the degree audit: <https://registrar.missouri.edu/degrees-audits/degree-audits/>

BHS in Public Health and BA in Health Humanities - Dual Degree Sample Plan

Fall:	Hrs.	Spring:	Hrs.	Summer:	Hrs.
English 1000	3	Bio 1010 and 1020	5		
MO State Law Req	3	Stats 1200	3		
Psych 1000	3	Sociology 1000	3		
Diversity Intensive (HP)	3	Creative practice course	3		
INDSC 1000	3				
Credit Hours	15	Credit Hours	14	Credit Hours	0
	15		29		29
Fall:	Hrs.	Spring:	Hrs.	Summer:	Hrs.
English 2000 or Phil 2440	3	P_Health 2200	3		
Physical Science	3	Second Language	4		
Second Language	4	Public Health Diversity Elective (m	3		
Public Health Diversity elective (m	3	Public Health Diversity Elective	3		
Elective	3		3		
Credit Hours	16	Credit Hours	16	Credit Hours	0
	45		61		61
Fall:	Hrs.	Spring:	Hrs.	Summer:	Hrs.
P_Health 3310 (comm area cluste	3	P_Health 3400	3		
P_Health 4300	3	P_Health 3900W	3		
P_Health 3450	3	P_Health 3620	3		
Second Language	4	Comm 4530	3		
	3		3		
Credit Hours	16	Credit Hours	15	Credit Hours	0
	77		92		92
Fall:	Hrs.	Spring:	Hrs.	Summer:	Hrs.
P_Hlth 3460 (comm area cluster)	3	P_Hlth 4970 or 4975	3		
P_Hlth 4350	3	Health Humanities electives	6		
P_Hlth 4485	3	Public Health Diversity Elective	3		
Health Hum Capstone	3	Elective	3		
BPM	1				
Credit Hours	13	Credit Hours	15	Credit Hours	0
	105		120		120
Fall:	Hrs.	Spring:	Hrs.	Summer:	Hrs.
Credit Hours	0	Credit Hours	0	Credit Hours	0
	120		120		120

Health Humanities

Courses shaded in grey = req for major

Public Health

Courses shaded in yellow = req for major

Courses shaded in blue count for both

Monitor your progress by checking the degree audit: <https://registrar.missouri.edu/degrees-audits/degree-audits/>

Health Humanities and Public Administration and Policy BA

Year 1	Fall:		Spring:		Summer:	
		Hrs.		Hrs.		Hrs.
	English 1000	3	Stats 1200	3		
	INDSC 1000	3	Political Science 1100	3		
	Humanities	3	Creative Practice Course	3		
	BPM	3	Behavioral Science	3		
	Student Success Seminar	2	PA 1000	3		
	Credit Hours	14	Credit Hours	15	Credit Hours	0
		14		29		29
Year 2	Fall:		Spring:		Summer:	
		Hrs.		Hrs.		Hrs.
	Lab Sci	4	Second Language	4		
	English 2000 or Phil 2440	3	BPM	3		
	Elective	3	P_Health 2200	3		
	Social Science - Econ 1014	3	Health Hum Cluster	3		
	Humanities WI	3	Social Science	3		
	Credit Hours	16	Credit Hours	16	Credit Hours	0
		45		61		61
Year 3	Fall:		Spring:		Summer:	
		Hrs.		Hrs.		Hrs.
	Second Language	4	Second Language	4		
	Poli Sci 4320	3	PA Core Req - Comm Course	3		
	PA Elective	3	PA Elective	3		
	Health Hum Cluster	3	Health Hum Elective	3		
	Elective	3	Humanities	3		
	Credit Hours	16	Credit Hours	16	Credit Hours	0
		77		93		93
Year 4	Fall:		Spring:		Summer:	
		Hrs.		Hrs.		Hrs.
	PA 4420	3	PA Core Req - Comm Course	3		
	PA Elective	3	Health Hum Capstone	3		
	PA 4175	3	PA Elective	3		
	Health Hum Elective	3	Elective	3		
	Elective	3				
	Credit Hours	15	Credit Hours	12	Credit Hours	0
		108		120		120
Year 5	Fall:		Spring:		Summer:	
		Hrs.		Hrs.		Hrs.
	Credit Hours	0	Credit Hours	0	Credit Hours	0
		120		120		120

Health Humanities

Public Administration and Policy

Satisfies BPA and Comm

Useful web site for course planning: <http://generaleducation.missouri.edu/courses>

Monitor your progress by checking the degree audit: <https://registrar.missouri.edu/degrees-audits/degree-audits/>

Health Humanities BA

Year 1

Year 2

Year 3Year 4

Year 5

pre-med required or recommended
health humanities requirements

Useful web site for course planning: <http://generaleducation.missouri.edu/courses>
Monitor your progress by checking the degree audit: <https://registrar.missouri.edu/degrees-audits/degree-audits/>

No. 4

Recommended Action – Resolution for Executive Session of the Board of Curators Academic, Student Affairs, Research and Economic Development Committee Meeting, June 29, 2023

It was moved by Curator _____ and seconded by Curator _____, that there shall be an executive session with a closed record and closed vote of the Board of Curators Academic, Student Affairs, Research and Economic Development Committee Meeting, June 29, 2023 for consideration of:

- **Section 610.021(1), RSMo**, relating to matters identified in that provision, which include legal actions, causes of action or litigation, and confidential or privileged communications with counsel; and
- **Section 610.021(3), RSMo**, relating to matters identified in that provision, which include hiring, firing, disciplining, or promoting of particular employees; and
- **Section 610.021 (13), RSMo**, relating to matters identified in that provision, which include individually identifiable personnel records, performance ratings, or records pertaining to employees or applicants for employment.

Roll call vote of the Committee: YES NO

Curator Blitz

Curator Graves

Curator Layman

Curator Sinuefield

The motion _____.

AUDIT, COMPLIANCE AND ETHICS COMMITTEE

Michael A. Williams, Chair

Julia G. Brncic

Keith A. Holloway

Jeanne C. Sinquefield

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

I. Scope

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

II. Executive Liaison

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

III. Responsibilities

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

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

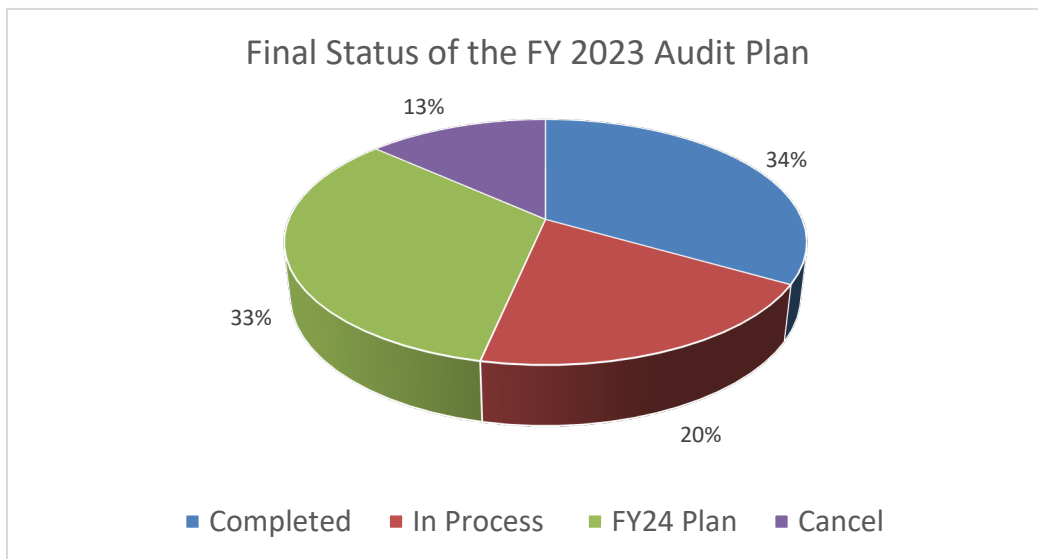
1. the independence, performance, resources and structure of the internal audit, compliance and ethics functions;
2. audit reports and open audit issue status updates;
3. management's written responses to significant findings and recommendations by the auditors;
4. the adequacy of the University's information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

Internal Audit, Compliance and Ethics Annual Report
UM

Final Status of the FY 2023 Annual Audit Plan


The Office of Ethics, Compliance and Audit Services completed 10 projects from the fiscal year 2023 Internal Audit Plan with another six in process. The FY 2023 Internal Audit Plan was adjusted as resources, events, emerging issues, or management concerns changed. Throughout the year, eight projects were added to the plan.

- Ten projects completed
- Six in process
- Ten included on FY2024 Audit Plan
- Four canceled



Completed Audit & Consulting Engagements by Risk Area (Investigations excluded)

Audit Engagement	Finance	Compliance	Operations	Reputation
UMS-MUHC Partner/Vendor Management Program		X	X	
MUHS Missouri Telehealth Network	X	X		X
UMSL College of Business Administration	X		X	
UMSL Scholarship Awards	X	X		X
UMKC School of Dentistry Standard Financial Processes	X		X	
UMKC Export Controls & Sanctions		X		
MU-MUHC Network Segregation – Administrative Controls, Phase I		X	X	
UMKC Conflict of Interest		X		
Risk assessment and audit plan development				

 Indicates a consulting engagement

The table below details the completed internal audit projects and investigations by unit.

Unit	Assurance Projects	Consulting Projects	Investigations	Total
UM System	0	1	1	2
MU	1	0	15	16
MU Health	2	1	4	7
UMKC	3	0	3	6
Missouri S&T	0	0	3	3
UMSL	2	0	3	5
Total	8	2	29	39

Note: One assurance project benefited MU and MU Health and the consulting engagement benefited UM System and MU Health.

In addition, Ethics, Compliance and Audit Services completed the Risk Assessment and FY2024 Audit Plan Development work and performed procedures to substantiate implementation of agreed to management action plans twice in FY2023.

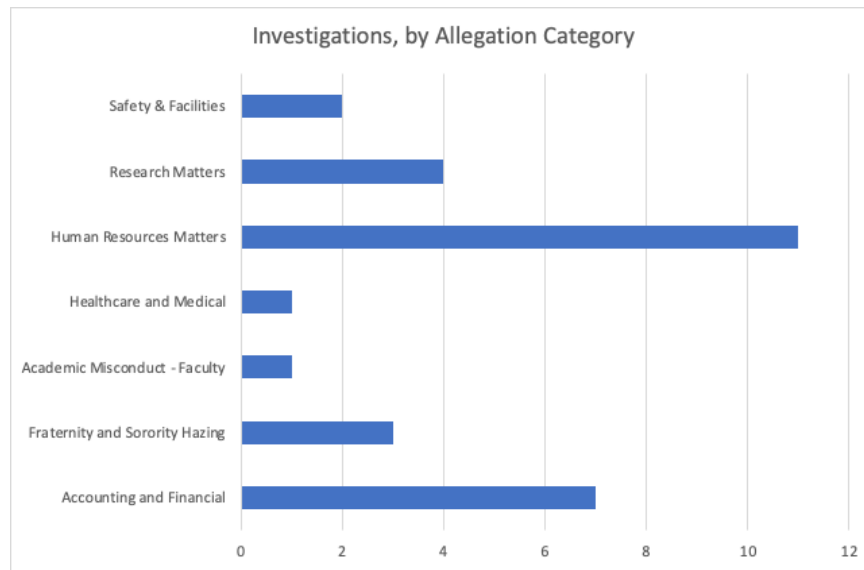
Audit and consulting engagements continue to identify opportunities to improve outcomes and manage risk by clarifying guidance, roles, and responsibilities; evaluating control activities to improve achievement of desired outcomes; and connecting processes across functions and departments.

Investigations

Twenty-nine investigations were completed in FY2023 by the Central Investigation Unit. Two themes characterized these investigations:

1. Exploitation of power imbalances
2. Poor records/documentation practices

The graph below illustrates investigations by allegation category.



Audit Completion since the April 2023 Board of Curator's Meeting

Listed below are the internal audit assurance report issued since the April 2023 meeting of the Board of Curators. An executive summary of the audit is included for your information.

There is a time-lag between when field work is completed and when a report is issued to provide appropriate time for agreed upon action plans to be written. The full audit reports are available upon request from the Office of Ethics, Compliance and Audit Services.

Internal Audit Assurance Reports	Report Risk Rating
Conflict of Interest, UMKC March 21, 2023	1 2 3 4 5
School of Dentistry Standard Financial Processes, UMKC March 17, 2023	1 2 3 4 5
Network Segregation – Phase I, MU/MUHC February 22, 2023	1 2 3 4 5
Export Controls & Sanctions, UMKC February 15, 2023	1 2 3 4 5

The report information includes an executive summary, our assessed overall level of risk, as well as a summary of issues and management's action plan. The following contains the criteria used for the assessment of risk.

Assessment of Risk:

- 5 **Extreme** – Very significant impact to the Institution, campus, or unit. Significantly material in terms of financial impact, external compliance violation, adverse publicity, significant or pervasive weakness in control environment, significant inefficiencies, etc. Typically requires campus and UM System administration along with Board attention to resolve.
- 4 **High** – Major impact to the Institution, campus, or unit. Material in terms of financial impact, external compliance violation, adverse publicity, significant or pervasive weakness in control environment, significant inefficiencies, etc. Typically requires campus and/or UM System administration to resolve.
- 3 **Medium** – Moderate in terms of impact to the Institution, campus, or unit. Individual instance or an aggregate of low-risk items considered moderate in terms of financial impact, compliance violation, adverse publicity, weakness in control environment, efficiency, etc. Typically requires leadership attention for the selected audit area to resolve with some input from campus and/or UM System administration.
- 2 **Low** – Minor in terms of impact to the Institution, campus, or unit. Relatively immaterial in terms of financial impact, no external compliance violation, little adverse publicity, minor inefficiencies, etc. Typically limited to leadership of the selected audit area to resolve.
- 1 **Negligible** – Incidental or no impact to the Institution, campus, or unit. Immaterial or no financial impact, no external compliance violation, no adverse publicity, minor inefficiencies, etc. Typically requires little or no action to resolve.

Internal Audit Summary Report
UMKC Conflict of Interest
March 21, 2023

Report Risk Rating:				
1	2	3	4	5

Background

Academic universities benefit from participation in outside activities which can enhance research, teaching, and funding. These outside activities and/or financial interests can pose conflicts of interest if not properly identified or managed. Federal agencies including the National Institutes of Health (NIH) and the National Science Foundation (NSF) have implemented specific requirements regarding the disclosure of financial conflicts of interest (FCOI) to ensure research funded under the Public Health Service (PHS) and other applicable agencies will not be biased in the design, conduct, or reporting of the research. These regulations, in part, require institutions to maintain written policies on financial conflicts of interest, require investigators to be informed of the policy, receive training over the requirements, and disclose any significant financial interests.

The University of Missouri System has adopted three Collected Rules and Regulations (CRR 330.015, CRR 420.030, and CRR 410.020) to comply with federal regulations and manage outside interests for all faculty and staff, regardless of position. For UMKC, the Office of Research and Economic Development (Research) has oversight regarding conflicts of interest and has established the UMKC Policies and Procedures for COI to comply with the UM System policies. A conflict-of-interest program coordinator has been in place at UMKC since September 2019.

Issues Summary

Opportunities exist to improve the conflict-of-interest process including updating communications about disclosure requirements, establishing firm deadlines and escalation procedures, and building in back up for staffing disruptions to ensure conflict of interest disclosures, monitoring and training are completed in a timely manner.

Management Action Plan Summary

The implementation of escalation procedures and some additional monitoring processes will improve the timeliness of disclosures and consistency of follow up in the COI process at UMKC.

Risk Rating Rationale

Faculty and staff that are not properly educated about their responsibilities to disclose potential conflicts, and conflicts that are not managed in an effective and timely manner, increases the risk of faculty and employee non-compliance with university policy, and university non-compliance with federal regulations that could negatively impact research funding.

June 29, 2023

**Internal Audit Summary Report
UMKC School of Dentistry
Standard Financial Processes
March 17, 2023**

Report Risk Rating:				
1	2	3	4	5

Background

The School of Dentistry (SOD) at the University of Missouri – Kansas City (UMKC) began as the Kansas City Dental College within the Kansas City Medical College in 1881. In 1941 the Dental College became the School of Dentistry at the privately funded University of Kansas City. When the University of Kansas City joined the University of Missouri System in 1961, the school became known as the UMKC School of Dentistry.

Today, the UMKC School of Dentistry is the only public dental school in Missouri, also serving students in Kansas and nearby states without a dental school. SOD is the only institution in Missouri offering educational programs and clinical training in general dentistry, oral and maxillofacial surgery, periodontics, orthodontics, and dentofacial orthopedics and endodontics. SOD operates a student clinic and private faculty practice under its umbrella, providing the school a competitive edge to train prospective practicing dentists and enhance faculty skills and expertise.

The Office of Ethics, Compliance, and Audit Services (ECAS) fiscal year 2023 audit plan includes audits of key controls over financial performance as defined by University of Missouri – System and local campus policies and collected rules and regulations (CRRs) of various campuses, schools, and/or divisions (CSD). CSD audit work focuses on controls identified in policies and processes over the following areas: purchasing practices, budget management, grant management, scholarship management, gift management, inventory practices, and outside (entrepreneurial) entity management.

Issues Summary

No reportable issues were noted during the audit.

Management Action Plan Summary

No management action plans are required.

Risk Rating Rationale

Based on review of current processes within the audit areas, key controls over financial reporting at SOD are operating according to university policies and collected rules and regulations.

June 29, 2023

**Internal Audit Summary Report
MU/MUHC Network Segregation, Phase I:
Firewall Administration Controls
February 22, 2023**

Report Risk Rating:				
1	2	3	4	5

Background

A data network is a system of hardware, software, and protocols designed to transmit data, voice, and video between two or more devices. Data networks are defined by their ability to transmit signals via packet switching, where data is broken down into “packets” which are sent via a digital network that uses optimal routes to minimize delays.

The Columbia area data network infrastructure serves the University of Missouri System (UM), the University of Missouri (MU), and MU Health Care (MUHC), and is managed by the Division of IT’s Data Network Planning and Support group. There are two teams within the group: one that administers the UM/MU network and one that administers the MUHC network.

An important function of the MUHC network is servicing the health system, which includes MUHC as well as the Schools of Medicine (SOM), Nursing (SON), and Health Professions (SHP). The wide-ranging clinical responsibilities of faculty, providers, staff, and students require interactivity between the various networks—including the MU network—and their requisite security zones.

As a covered entity (CE), MUHC must comply with the requirements of the Health Insurance Portability and Accountability Act (HIPAA) by including the appropriate administrative, physical, and technical controls—including network segregation—to safeguard protected health information (PHI). Therefore, it is important to understand the UM/MU campus network access (services, applications, protocols, etc.) into the hospital network and whether the processes to request and approve that access are appropriate.

Issues Summary

1. Firewall change requests are not consistently documented within the ticketing system.
2. Firewall rules are not documented completely and include redundant and obsolete rules.

June 29, 2023

Management Action Plan Summary

The networking team will document all firewall changes in the service request/ticketing system. Additionally, they will document current firewall rules, as well as identify and remove redundant/obsolete rules, groups, networks, and/or network objects.

Risk Rating Rationale

If changes to the firewall rules separating the MU network from the hospital network are not consistently documented, it is difficult to know if the firewall is adequately protecting both networks and in compliance with HIPAA regulations.

Internal Audit Summary Report
UMKC Export Controls & Sanctions
February 15, 2023

Report Risk Rating:				
1	2	3	4	5

Background

Export controls and sanctions are United States (U.S.) laws and regulations that control and restrict the release of critical technologies, information, and services to foreign persons, within and outside of the United States, and foreign countries for reasons of foreign policy and national security. The term "export" as used in these regulations includes not only the actual shipping of goods to foreign countries, but also "deemed exports"—the transfer/disclosure in any form (verbal, written, electronic, visual) within the U.S. or abroad of export-controlled items or information to a foreign national (anyone who is not a U.S. citizen or permanent resident). Additionally, U.S. sanctions regulate any service of value imported from or exported to a sanctioned party. Violations of export control laws and sanctions could result in civil and criminal penalties for the institution and individuals responsible.

The purpose of an export control and sanctions program is to create procedures that allow the university to conduct export activities in compliance with export laws and regulations, and to avoid sanctions and penalties. An effective program will integrate the requirements of export control and sanctions laws into university operations to minimize the risk of potential violations.

Elements of an export control and sanctions program should include:

- Analysis of proposals, contracts and extensions/addendums that indicate and export review needs to be completed for applicability of export control regulations.
- Technology control plans for export-controlled research are in place.
- Standard operating procedures for export-controlled projects.
- Recordkeeping management to ensure that export and sanctions reviews are retained consistent with guidelines.
- Training programs tailored to educate those directly or indirectly impacted by export controls.
- Senior management support and commitment by providing adequate resources and ensuring sufficient authority for export controls compliance positions.
- A method established and promoted for which all personnel can report a suspected export violation.

June 29, 2023

Dr. Tony Caruso began executing the export control program as a researcher/PI at UMKC in 2007. Funding for classified work at UMKC was received in 2012, and the Missouri Institute for Defense & Energy (MIDE) was approved in 2019. The majority of export-controlled work is conducted within MIDE.

Issues Summary

The Export Control and Sanctions Audit at UMKC was performed as a gap analysis to determine areas within the program that need further development. Within the MIDE program at UMKC, we found elements of an export control and sanctions program that function to support compliance with export control and sanctions laws and regulations, but that need further development. Overall, we found several essential elements that support export controls and sanctions compliance across the entire UMKC campus are missing, incomplete, or immature.

Management Action Plan Summary

Appropriate infrastructure will be developed and implemented to support compliance with export controls and sanctions regulations and requirements, including Standard Operating Procedures (SOPs), Technology Control Plans (TCPs), education and training, recordkeeping and data management guidance and procedures.

Risk Rating Rationale

Providing the export compliance function with adequate resources (time, funding, personnel, etc.), and completing implementation of the export control program will reduce the risk of non-compliance and protect UMKC's investment in export-controlled research underway and future awards in this area.

Audits Currently in Process

Audit Area	Overall Objective	Status	Risk Area(s)
S&T – Export Controls & Sanctions	Validate procedures and infrastructure are in place to support compliance with U.S. rules and regulations to control and restrict the release of critical technologies, information, and services to foreign persons for reasons of foreign policy and national security.	Fieldwork	Compliance
MU – Athletics Standard Financial Processes	Validate current processes related to key controls over financial performance agree with established University policies and Collected Rules and Regulations.	Fieldwork	Finance
MUHS – Conflict of Interest	Review the policies and procedures MUHS has established to determine adequacy for complying with the Collected Rules and Regulations governing conflicts of interest and commitment.	Fieldwork	Compliance
MU – Electronic Communication & Collaboration	Validate and test DoITs responses to the electronic Communication and collaboration risk areas identified in the January 2021 Information Security Risk Assessment.	Reporting	Information Security
MUHS – School of Medicine Scholarship Awards	Review and testing to determine if scholarships were awarded according to criteria and identify gaps in record keeping and/or awarding process.	Planning	Compliance

June 29, 2023

Audit Area	Overall Objective	Status	Risk Area(s)
MUHC/MU Network Segregation - Technical Review of firewall rules - Phase II	Verify appropriateness of the MUHC border/FirePower firewall rules request process and determine to what extent the campus network can access the hospital network.	Planning	Information Security

In addition, we are actively working seven investigations.

System Compliance Program FY2023 Progress

The system-wide compliance program completed its third year of implementation. A privacy program officer and education and training manager were hired in FY2023 allowing Compliance to begin development of a formal system-wide privacy program and education and training program. Following is a progress update by FY2023 focus areas.

Culture and Code of Conduct

- The first code of conduct training with attestation was introduced to the universities as part of the annual compliance training in Fall 2022 with a completion rate of 92 percent for staff and 69 percent for faculty. Compliance will track completion rate during the annual compliance training period and prompt reminders for those not completing the training.
- The education and training manager revised the Code of Conduct module for the Fall 2023 annual compliance training to address issues found during audits, hotline calls, investigations, and themes in higher education.
- A Code of Conduct module for student employees is ready for roll-out in the 2023 Fall semester.
- A campaign focused on how we can all be a part of creating a work culture where we can be our best is in development. This campaign will be conducted throughout the year and includes developing awareness of the code of conduct, how to appropriately use the Integrity and Accountability Hotline, and other means for addressing issues through engaging supervisors, Human Resources, and co-workers.

Cybersecurity

- Continued tracking tasks completed for maturing the information security program.
- Assisted in the development of the IT Risk Management Program policy. This includes finalizing and implementing continuous information security risk assessments across the enterprise.

June 29, 2023

- Assisted with the IT Asset Management policy and with conceptualizing the Information Security Policy and Procedure framework.

Data Regulations/Privacy

- The GLBA program was centralized under System Compliance and policies and processes revised to align with new regulations. Compliance worked with stakeholders to update the website and process around GLBA compliance and with the information security officers to ensure appropriate GLBA safeguards are implemented.
- Worked with numerous stakeholders to socialize the concept of a privacy officer. This laid the foundation for the privacy officer to integrate quickly into the organization.
- Compliance has been engaged in a larger discussion of how the university approves purchases for software and other technologies from a privacy and compliance lens.
- Assisted in the review of various contracts to ensure appropriate privacy considerations.

Research Compliance

- Collaborated with IT, the Director of Research Security, and the Chief Information Security Officer to develop a strategy and secure funding for research space that will be compliant with the Cybersecurity Maturity Model Classification regulations when these are effective.
- The Sanctions and Restricted Parties policy was published in January 2023 and was completed in partnership with the Director of Research Security. This policy addresses compliance with the Office of Foreign Assets and Controls regulations.

Protection of Youth

- The Youth Protection Program policy was revised to be clearer on policy requirements. A review process and sanction guidelines were developed.
- The Youth Protection Program has deployed targeted education to units and has developed general orientation materials to help units in orienting staff to policy obligations.
- A variety of handouts have been developed to help program directors in complying with the Youth Protection Program policy.
- This was the inaugural year for the Youth Protection Program annual reports. Publicizing these reports to leadership has improved the rapport and leadership has shown a commitment to continuous improvement for their units by sending out reminders, engaging in discussions, and inquiring further about the program. Monitoring of compliance with program requirements will continue. The Youth Protection Program Manager will work directly with areas not meeting requirements to improve compliance or impose sanctions.

June 29, 2023

University of Missouri System Board of Curators

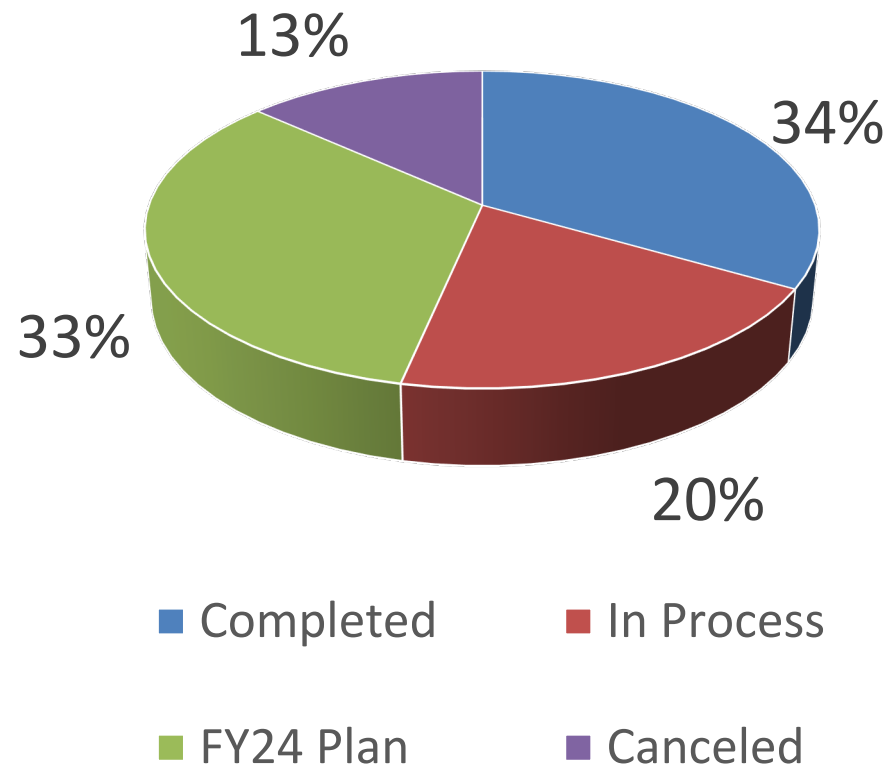
June 29, 2023

Audit, Compliance and Ethics Committee

Audit, Compliance and Ethics Annual Report
UM



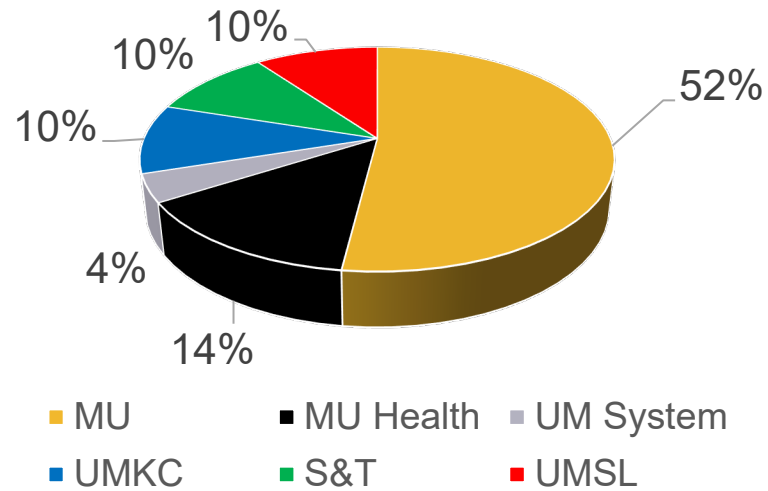
Final Status of the FY2023 Plan



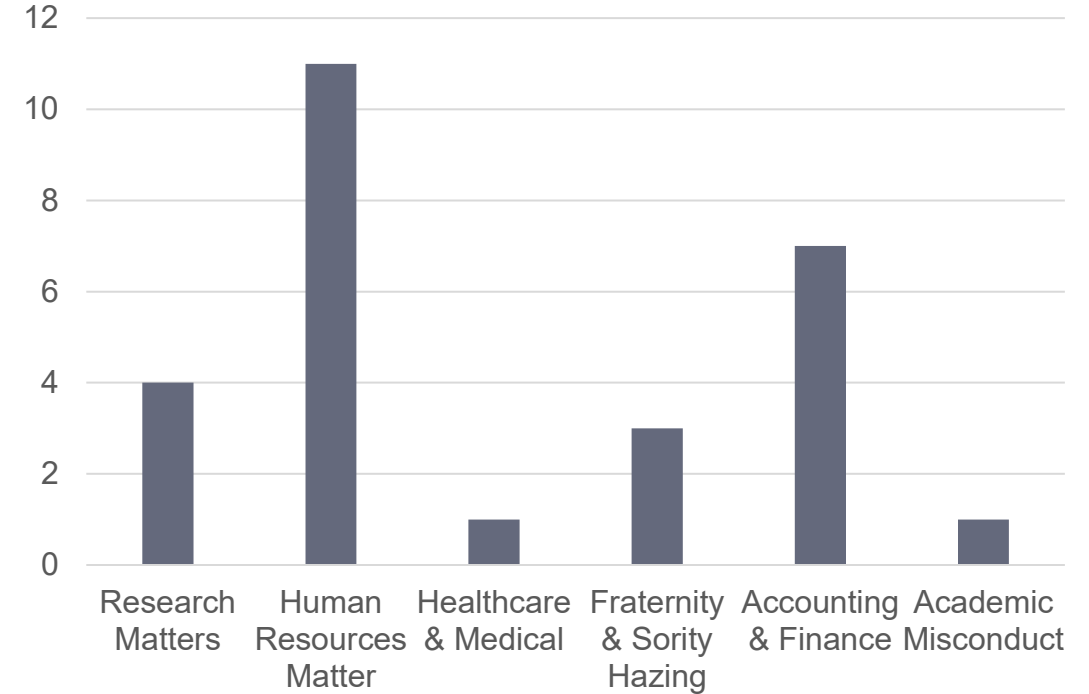
- Ten engagements completed
- Six in process
- Ten included on the FY2024 Plan
- Four canceled

Investigations

Percentage Cases by Entity



By Allegation Category







Twenty-Nine Investigations Completed

Summary by Engagement Type

Unit	Audits	Consulting Projects	Investigations	Total
UM System	0	1	1	2
MU	1	0	15	16
MU Health	2	1	4	7
UMKC	3	0	3	6
Missouri S&T	0	0	3	3
UMSL	2	0	3	5
Total	8	2	29	39

Summary of Audit Activity

Since the April 2023 Audit Committee Meeting

Internal Audit Assurance Reports	Report Risk Rating
Conflict of Interest, UMKC March 21, 2023	
School of Dentistry Standard Financial Processes, UMKC March 17, 2023	
Network Segregation – Phase I, MU/MUHC February 22, 2023	
Export Controls & Sanctions, UMKC February 15, 2023	

MU/MUHC Network Segregation Phase I: Firewall Administrative Controls

Report Risk Rating:				
1	2	3	4	5

Summary Observations

- Firewall change requests are not consistently documented within the ticketing system resulting in an incomplete understanding of current rules.
- Because of the lack of documenting changes to the firewall, redundant and obsolete rules build up overtime.

Management Actions

- Policy and process will require firewall changes be documented in the ticketing system.
- Current firewall rules will be documented, and redundant and obsolete rules removed.

UMKC Export Controls & Sanctions

Summary Observations

- Within the Missouri Institute of Defense & Energy, elements of an export control and sanctions program are in place but need further development.
- Several essential elements that support export controls and sanctions compliance across the UMKC campus are missing, incomplete, or immature.

Management Actions

- Appropriate infrastructure will be developed and implemented to support compliance with export controls and sanctions regulations and requirements, including standard operating procedures, technology control plans, education and training, recordkeeping and data management guidance and procedures.

FY2023 Highlights of Compliance Program Progress

Code of Conduct

Code of conduct training with
attestation
Training revised for Fall 2023
Awareness campaign in
development

Cybersecurity

Continued tracking tasks
completed for maturing the
information security program
Assisted with development of
IT risk management policy and
IT asset management policy

Research compliance

Collaboration with others
to develop a strategy
and secure funding for
secure research space
Assisted with
development of
Sanctions and Restricted
Parties Policy

FY2023 Highlights of Compliance Program Progress

Data Regulations

GLBA policies and processes revised to align with new regulations

Privacy

Laid the foundation for the privacy officer to integrate quickly into the organization

Engaged in discussions to integrate the privacy perspective in purchases and contracts

Protection of Youth

Youth Program Protection Policy revised

Targeted education and orientation materials

Tracking of metrics against policy criteria in place



University of Missouri System

COLUMBIA | KANSAS CITY | ROLLA | ST. LOUIS

No. 1

Recommended Action – Fiscal Year 2024 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 Brncic
Curator Holloway
Curator Sinquefield
Curator Williams, Chair

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

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

The motion _____.

Ethics, Compliance and Audit Services

FY2024 Risk Assessment and Proposed Internal Audit and Compliance Plans

June 2023

June 29, 2023

Table of Contents

Introduction..... 1-3

Risk Assessment & Criteria for Internal Audit Plan Development 1-3

FY2024 Proposed Rolling Internal Audit Plan 1-7

Additional Internal Audits Time Permitting 1-9

Risk Assessment & Criteria for Compliance Plan Development 1-14

FY2024 UM System Compliance Plan 1-15

Introduction

This report provides the proposed fiscal year 2024 Rolling Internal Audit and Compliance Plans with an explanation of how each was developed. The objective is to align internal audit and compliance resources to the areas of most importance.

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 a September 2022 United Educators survey include:

1. Enrollment
2. Data security
3. Recruitment and hiring
4. Operational pressures
5. Student mental health
6. External pressures related to economic, political, and social threats
7. Regulatory & Legal Compliance (non-Title IX)
8. Facilities and deferred maintenance
9. Public safety
10. Title IX

Planning, Operations and Stewardship

The primary focus for the FY2024 proposed Rolling Internal Audit Plan is the continuation of the standard financial audit for selected schools/colleges/divisions. Exercising prudent financial stewardship and holding colleges/schools/divisions accountable for financial 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

June 29, 2023

2. Budget management
3. Grant management
4. Scholarships
5. Gifts
6. Inventory/asset management

Two auditors are dedicated full-time to completing these engagements. We continue to use data analytics to determine sampling strategy and perform a red-flag analysis against One Card purchases.

With \$1.7 billion schedule for construction, renovations, and maintenance in the preliminary, design, or construction stages for the UM System, a construction audit will be performed at Missouri S&T. Scope will be determined in collaboration with the company selected to perform the review.

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. Audits focused in the research compliance area include:

- Conflict of Interest/Commitment - UMSL. This will complete these audits at all four universities and the health system.
- Export Controls – MU. This will complete these audits for the three universities conducting export-controlled research. We will have a baseline of export control program development for each university to assist in continued development.
- Institutional Review Board audit, MU. This will focus on the Institutional Review Board’s role in clinical trials. Clinical trials are a focus area for growth in research.

Student Success

Scholarship audits will be completed for UMKC, Missouri S&T, and MU. Having completed the scholarship audit for UMSL in

June 29, 2023

FY2023, this will complete the audit for all universities. Ensuring all available scholarship money is awarded consistent with criteria is a factor in student success.

Outreach and Engagement

A consulting engagement with extension is included as part of the proposed Internal Audit Plan. Counties can elect to place on their ballots a proposal to increase funding for extension districts. The engagement will be designed to assist Extension in providing Extension offices assistance in establishing financial controls to better manage additional dollars if taxing proposals are passed by the county citizens.

Data Security

The audit plan continues a focus on providing assurance around data security. The FY2024 plan includes baseline information security risk assessments for UMKC, UMSL, and Missouri S&T. Completing the review of the network between the MU campus and MUHC to identify any inappropriate access to MUHC and an assessment of progress to plan for addressing IT asset management rounds out the data security portion of the proposed audits.

Developing the MU Health Internal Audit Plan

Many external healthcare industry trends included in last year's risk assessment continue to be concerns, particularly because of the impact to revenue and profitability.

1. Clinical burnout and professionals exiting healthcare.
2. Increasing labor and supply costs.
3. The number of procedures shifting from inpatient to outpatient (23-hour care).
4. The movement from fee-for-service to value-based care and bundled payments continues for central Missouri, making the ability to manage populations for quality outcomes a necessary organizational skill.
5. Pharmaceutical management continues shifting from providers to health plans.

June 29, 2023

Major Initiatives Underway for MU Health and the School of Medicine

Understanding the strategic direction of the organization and the major initiatives currently underway can direct the internal audit activities to areas where assurance or consulting engagements are of value to leaders. The primary objective for MUHC is growth. Leaders are actively transitioning from self-governance of areas to a central governance model within the core business while balancing the following growth initiatives:

- The development of growth plans in Neuro, Cardio, Women's, and Children's service lines.
- Bringing the Children's Hospital Patient Tower on-line
- Continued partnerships for growth

Top Risk Areas

- Strategic initiatives – Clinical growth plans, Children's Tower, integrating partners for growth
- Fluctuating staffing levels
- Talent acquisition/retention
- Cybersecurity and Privacy
- Research
- Billing/Coding/Revenue Cycle
- End of Public Health Emergency

Focus of Internal Audits

The FY2024 Proposed Internal Audit Plan centers on compliance regulations related to the revenue cycle, charge capture, and billing. The plan includes audits of the No Surprises Act and Price Transparency. The No Surprises Act establishes federal prohibition against certain surprise medical bills. Closely related, the Price Transparency Rule requires that a hospital must establish, update, and make public a list of all standard charges for all items and services online. A charge capture audit of the operating room will be conducted to identify any potential revenue loss.

June 29, 2023



FY2024 Proposed Rolling Internal Audit Plan

Includes Audits Currently in Process

FY2024 Proposed Rolling Internal Audit Plan

Area	Proposed Audit/Project	Entity
Finance	Standard audit for selected schools/colleges/divisions. Focus on processes impacting financial performance. - Assurance	Vet Med S&T College of Engineering & Computing MU CAFNR MU School of Medicine
Finance	Standard audit for selected schools/colleges/divisions – <i>In process</i>. Focus on processes impacting financial performance. - Assurance	MU Athletics Division
Compliance	Conflicts of Interest/Commitment – Complete effectiveness assessments of the conflict of interest and commitment process against established criteria. - Assurance	UMSL
Compliance	Conflicts of Interest/Commitment – <i>In process</i>. Complete effectiveness assessments of the conflict of interest and commitment process against established criteria. - Assurance	MUHC
Research Compliance	Export Controls – Assessment of export control processes and controls against regulatory requirements. - Assurance	MU
Research Compliance	Export Controls – <i>In process</i>. Assessment of export control processes and controls against regulatory requirements. - Assurance	S&T
Research Compliance	Institutional Review Board – Assess processes/controls in place specifically for clinical trials. - Assurance	MU/MUHC

June 29, 2023

Area	Proposed Audit/Project	Entity
Operations	Construction – Outsourced engagement to review performance and contract compliance. Scope to be determined. - Assurance	S&T
Academic Enterprise	Scholarships – Assessment of scholarship awards to donor restrictions and/or established criteria. - Assurance	MU, UMKC, S&T
Academic Enterprise	Extension Districts – Work with Extension to identify/develop a framework for counties to optimize management of finances. This will be useful for those counties where voters approve a tax increase to fund extension offices. - Consulting	UMS
Information Technology	Information Security Assessments – Information security assessments, in collaboration with the information security officers, for critical systems, excluding Microsoft, Outlook, Peoplesoft, and Active Directory.	UMKC, S&T, UMSL
Information Technology	IT Asset Management – Assessment of progress and ongoing plan to develop the inventory of critical systems that store PHI/PII. This was a gap identified in the Information Security Risk Assessment completed by a third party in 2021. - Assurance	UM System
Information Technology	MUHC/MU Network Segregation – <i>In process</i> . Technical Review of Firewall Rules – Phase II – Verify appropriateness of the MUHC border/FirePower firewall rules request process and determine to what extent the campus network can access the hospital network. - Assurance	MUHC/MU
Operations	Timecard/Payroll Audit – Assess the accuracy of hours worked (timecard) to hours paid (payroll) and the processes/controls in place between the systems. - Assurance	MUHC
Compliance	No Surprises Billing Act – Determine if controls are in place to address the requirements of the No Surprises Act are working as management intends. - Assurance	MUHC

June 29, 2023

Area	Proposed Audit/Project	Entity
Compliance	Price Transparency – Evaluate the processes/controls in place surrounding the Hospital Price Transparency Rule to determine compliance with CMS guidelines and best practices. -Assurance	MUHC
Compliance	Provider Based Clinic Billing - Evaluate the processes/controls in place for provider-based clinic billing to determine compliance with regulations. -Assurance	MUHC
Compliance/Operations	School of Medicine Scholarship Audit – <i>In process</i> . Assessment of the process to award endowed and Dean’s scholarships. -Assurance	MUHC
Operations	Drug Diversion – Using analytics, identify incidents of potential drug diversion. Confirm if an incident occurred and understand why it wasn’t detected. -Assurance	MUHC
Operations/Revenue	Charge Capture Operating Room – Perform a charge capture audit to identify any missing revenue. - Assurance	MUHC
Ongoing Activities	Monitoring of Management Action Plan Implementation - Review the status of prior audit agreed to management action plans.	System
Ongoing Activities	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 FY2025 audit plan.	System

June 29, 2023

Additional Internal Audits

As risks emerge, or internal audit resources allow, these engagements will move up in priority for completion as part of the FY2024 Internal Audit Plan. These areas will also be evaluated as part of the FY2025 risk assessment process.

Area	Proposed Audit/Project
Human Resources	Hiring process consistency – Assess HR practices against policy. - Assurance
Human Resources	Front-end Payroll Process – Review of the front-end payroll processes that feed into payroll processing. – Assurance
Human Resources	Disciplinary practices – Review to assess consistency in disciplinary practices. - Assurance
Human Resources	ePAF Processes – Evaluation of the electronic personnel action form processes. - Assurance
Finance	Inventory/Asset Management – Assess the acquisition of assets through life and disposition. This will include the Surplus process. – Assurance or Consulting Engagement
Finance	AP Shared Services – Assess accounts payable shared services process. - Assurance
Research	Invoicing and Collections – Assessment of the research grants and contracts invoicing and collections process. - Assurance
Operations	Disposable Supplies/Nursing Units – Evaluate delivery of disposable supplies to the nursing units, including the Blue Bin Supply Chain Technology. Assurance
Information Technology	IT Procurement Process and Inventory – Assess the process from securing IT equipment, tracking through inventory and disposal. – Assurance

Area	Proposed Audit/Project
Information Technology	Logging & Monitoring - Assessment of logging and monitoring practices of selected critical systems. - Assurance
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. - Assurance



FY2024 UM SYSTEM COMPLIANCE PLAN

Risk Assessment and Criteria for Compliance Plan Development

Introduction

The annual Compliance Plan is a key component of the UM System's approach to managing compliance. This plan helps to ensure compliance resources are allocated to areas and activities that address our greatest risks and challenges which in turn yield the largest benefits. Due to the types of businesses comprising the UM System (academic medical center, nuclear reactor, research university, translational research, etc.) we operate in some of the most complex and highly regulated industries. The compliance program has foundational elements that address risk, such as monitoring activities and reporting mechanisms, as well as compliance projects that are designed to address identified risks. This plan addresses compliance projects to assess the foundational day to day compliance activities in the highest risk areas. Such assessments will identify opportunities for reasonably reducing risk exposure by understanding and implementing structural, policy/procedure, education and training, and monitoring changes needed to build compliant outcomes into operations.

Compliance Plan Development

The identification of compliance projects happens through various ways:

- 1) Risk assessments
- 2) Trends or risks identified for all Higher Education
- 3) Increased regulatory activity
- 4) Trends and themes from investigations and audits

As the UM System continues to prioritize increasing and diversifying research, its dedication to student success, and its commitment to excellence, it is important to consider these strategies when planning compliance projects. Based on the complexity and scope of these strategies, efforts to understand and address gaps will continue through subsequent compliance plans.

The focus of System Compliance work is detailed in the following pages.

Export Controls: related to research security and international collaborations and economic trade sanctions

As part of the UM System strategic goals, enhancing and increasing research is a top priority. Research, and many of our business operations, include an international component requiring export control considerations. Export control laws prohibit the unlicensed transfer of certain materials or information to foreign individuals for reasons of national security or protection of trade.

Identified Risks

- The NextGen and MIZZOU Forward initiatives, in combination with the goal of increasing Department of Defense funding and expansion of MURR exposes the UM System to new, and increased existing, export control considerations for our universities.
- Increased scrutiny by federal agencies on universities involved in sensitive research.

Major Initiatives

Continue supporting implementation of the research security program

- Continue working with the director of research security and compliance to support implementation of the UM System Research Security Program and identify metrics that demonstrate the effectiveness of the program.

Develop a sanctions risk assessment based on the results of the Export Controls & Sanctions Audits and the progress in the development of the UM System Export Controls Program.

- As part of the U.S. Department of the Treasury's Office of Foreign Assets Control (OFAC) framework for compliance commitments, universities are required to conduct a risk assessment. System Compliance will partner with the appropriate parties to assist in the development and execution of a sanctions risk assessment.

Education and Training

- Assist the director of research security and compliance in developing awareness of sanctions compliance in procurement, contracting, advancement, and online education.
- Track and monitor training completion rates related to sanctions compliance.

Foreign Influence/Research Security

The National Security Presidential Memo 33 (NSPM-33) provides best practices to sponsoring agencies on addressing undue foreign influence at institutions of higher education receiving federal research funding. NSPM-33 mandates the establishment of research security programs to protect against foreign government interference and exploitation at research institutions receiving federal funds of more than \$50 million per year.

Identified Risk

- Without the development and maintenance of a research security program at each UM University, federal funding is at risk.

Major Initiatives

Assist in the identifying requirements for meeting NSPM-33 and the development of processes to meet requirements

- Collaborate with appropriate functions to develop monitoring tools by connecting multiple data sources.
- Assist the Vice Chancellors for Research at UMKC, Missouri S&T, and UMSL in identifying procedures/processes related to visiting scholars and the deployment of a visiting scholars registry.

Education, Training, and Communications

- Assist in the development of education and communication materials covering disclosure requirements, key issues, and visiting scholars' processes and procedures.

Cybersecurity Maturity Model Certification (CMMC) Requirements

The UM System has invested in recruiting top talent to bring in research that requires compliance with the National Institute of Standards and Technology (NIST) 800-171 or CMMC. System Compliance has closely monitored CMMC and has partnered with information technology, the chief information and security officer, and the director of research security and compliance to prepare the universities for investments in this area.

Identified Risk

- CMMC requires universities to certify a secure research space by using an external company to qualify for, and retain, certain contracts from the Department of Defense. Many agencies are following the direction of CMMC.
- The UM System will need to invest in additional cybersecurity infrastructure to protect its investments for increasing funding from the Department of Defense and other agencies funding sensitive research.

Major Initiative

- System Compliance will continue to partner with the research information security officer and the director of research security and compliance to monitor the development and deployment of the CMMC space.

Information Security Program

The UM universities and academic health system have vast research and business portfolios with complex cybersecurity requirements designed to protect personally identifiable information, financial information, sensitive research information, and protected health information.

Identified Risk

- The complexity of business operations increases the necessity for an effective information security approach to reduce the impact and likelihood of incidents.

Major Initiatives

- Assist the Chief Information Officer in the development and launch of the IT Risk Management Program that integrates information security assessment requirements for multiple data regulations.
- Assist the Chief Information Officer in the development and launch of the IT Asset Management Program to provide adequate protection from cyber threats and to comply with regulatory requirements.
- Continue meeting with stakeholders to finalize responsibility for covered components between MU Health and the universities.

Monitoring

- Ongoing monitoring of the completed tasks to mature the information security program.
- Internal Audit will perform follow-up to verify implementation of the completed tasks

Privacy Program: Data Inventory, Mapping, and Minimization

Identified Risks

- Excess data collection and storage outside of the minimum needed for business functions, exposes the institution for larger data breaches and requires more compliance with privacy law than may be necessary.
- Weak data mapping and governance hides privacy gaps, making privacy practices reactive versus proactive.

Major Initiatives

Data Inventory and Lifecycles

- Privacy will support information security and data analytics in the mapping of a data catalog to determine where data lives and how it is transferred between systems.
- Privacy will collaborate with other data experts and determine life cycles of data to inform where potential privacy practice gaps exist.

Data Classification/Breach Analysis Tool

- Privacy will create an At-A Glance digest of privacy laws and breach reporting triggers for personnel and other risk partners to enable more accurate data classification and breach reporting analysis.

Training

Protecting Data Privacy – Training for Data Set Owners

- Privacy will create briefing and implementation resources for owners of larger staff and student data sets to build awareness of UM System's duties and data subject rights provided by various privacy laws.

Establishing the Privacy Program

System Compliance supports the UM System by incorporating a comprehensive privacy program that seeks to standardize privacy policies, inform on changes to privacy law and practice, and train on the protection of privacy data elements.

Identified Risks

- In the absence of a privacy program, privacy practices will not be standardized, incident response, changes in policy and training will be inconsistent, and establishing accountability will be challenging.
- A privacy program reduces the likelihood of breaches and misuse of consumer data.

Major Initiatives

- Privacy will work in collaboration with other units to create overarching privacy policies that standardize policy across the system, where appropriate.
- Privacy will promote privacy best practices and advise on specific privacy concerns.

Training

- Privacy will assess training materials for privacy policy and practice inclusion.

Clery Act

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1998 (Clery Act) is coordinate by the police departments at each university. In accordance with the Clery Act requirements, each university conducts training and publishes an annual security and fire safety report with crime statistics, information on various campus and community resources related to crime prevention and community assistance.

Identified Risk

- The Department of Education has used the Clery Act to deliver its most significant fines the past five years.

Major Initiative

- System compliance will initiate a comprehensive systemwide review of the Clery Act Program to comply with the Department of Education expectations.

Education & Training

- System compliance will work with each university to revise its annual Clery training and move training into the learning management system, if appropriate.
- System compliance will assist in providing training and workshops for Clery compliance professionals, focusing on high-risk areas and lessons learned.

Environmental Health and Safety

This is an area not yet assessed, so little insight exists as to potential risk exposure for the UM System.

System Compliance will begin a GAP Analysis for the highest risk areas. Necessary changes to structure, processes and procedures will be identified, as well as targeted training opportunities.

University of Missouri System Board of Curators

June 29, 2023

Audit, Compliance and Ethics Committee

FY2024 Risk Assessment and Proposed Internal Audit
and Compliance Plans

UM



External Pressures Higher Education

- Enrollment
- Data security
- Recruitment & hiring
- Operational pressures
- Student mental health
- Economic, political, & social threats
- Regulatory & legal compliance (non-Title IX)
- Facilities & deferred maintenance
- Public safety
- Title IX



MUHC Challenges

- Strategic Initiatives – growth plans, opening the Children’s Tower, continued partnerships for growth
- Fluctuating staffing levels
- Talent acquisition/retention
- **Cybersecurity and Privacy**
- **Billing/coding/revenue cycle**
- End of the public health emergency

Highlights Of the Proposed Internal Audit Plan

- Finance audits in schools/ colleges/divisions
- Completion of conflict of interest/commitment, export controls and scholarship audits
- Information security assessments at UMKC, Missouri S&T, and UMSL
- Assessment of progress to plan for IT asset management
- Institutional review board
- Construction

Highlights Of the Proposed Internal Audit Plan - MUHC

- No Surprises Billing Act
- Price Transparency
- Provider based clinic billing
- Drug diversion
- Charge capture operating room
- Timecard/payroll audit



Highlights of the Proposed Compliance Plan

Highlights of Proposed Compliance Plan – Focus Areas

Export Controls

Continue supporting implementation of the research security program.
Assist in developing a sanctions risk assessment.

Foreign Influence

Assist in identifying requirements and developing an approach for meeting regulations governing undue foreign influence.

Cybersecurity Maturity Model Requirements

Continue partnering with stakeholders to monitor deployment of certified secure space for conducting research

Information Security

Assist the Chief Information Officer in the development and launch of the IT Risk Management and IT Asset Management Programs

Highlights of Proposed Compliance Plan – Focus Areas

Data Inventory, Mapping and Minimization

Assist in mapping of data to determine where data lives and how it is transferred between systems.

Privacy Program Development

Work to create overarching standard policy across the system.

Promote privacy best practices and advise on specific privacy concerns.

Clery Act

System-wide review of the Clery Act program and recommend any changes to comply with the Department of Education expectations.

Environmental Health and Safety

Begin a GAP analysis to understand potential risk exposure and recommendations to reduce that exposure

Key Takeaways

- Internal Audit plan continues its focus in the areas of financial stewardship, information security, and research compliance. Construction, billing/coding and charge capture have been added as new areas of focus.
- Compliance plan focused on continuing to understand risk exposure through GAP analysis, building partnerships with compliance professionals, establishing a system-wide privacy program, and support high-risk compliance areas with strengthening foundational elements and education and training needs.



University of Missouri System

COLUMBIA | KANSAS CITY | ROLLA | ST. LOUIS

No. 2

Recommended Action - Resolution for Executive Session of the Audit, Compliance and Ethics Committee Meeting, June 29, 2023

It was moved by Curator _____ and seconded by Curator _____, that there shall be an executive session with a closed record and closed vote of the Board Audit, Compliance and Ethics Committee meeting June 29, 2023, for consideration of:

- **Section 610.021(1), RSMo**, relating to matters identified in that provision, which include legal actions, causes of action or litigation, and confidential or privileged communications with counsel; and
- **Section 610.021 (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 Brncic

Curator Holloway

Curator Sinuefield

Curator Williams

The motion _____.

June 29, 2023

HEALTH AFFAIRS COMMITTEE

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

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

I. Scope

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

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

II. Executive Liaison

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

III. Responsibilities

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

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

officers of University of Missouri Health Care, the MU School of Medicine, and the MU Health Chief Compliance Officer.

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

IV. Committee Membership and Quorum Requirements

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

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

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

UM Board of Curators

June 29, 2023

Richard J. Barohn, MD

Executive Vice Chancellor for Health Affairs / Hugh E. and Sarah D.
Stephenson Dean of the MU School of Medicine



Agenda

- **School of Medicine**
- **NextGen Precision Health initiative**
- **MU Health Care**
- **Philanthropy**
- **MU Health Care Financial Update**



School of Medicine Updates



School of Medicine leadership updates

- Dr. Brandi French named chair of the Department of Neurology
- Dr. Laura Hesemann named chair of the Department of Child Health
- Conducting national leadership searches for:
 - Vice Dean for Academic and Faculty Affairs
 - Chair of Health Management and Informatics (newly constituted department)



Brandi French, MD



Laura Hesemann, MD

Celebrating commencement

- 110 medical students graduated on May 13, including 18 graduates who studied at the Springfield Clinical Campus
- 97% of the 2023 class received a residency program match
- Conferred honorary Doctor of Science degree upon Kristy Weber, MD, University of Pennsylvania School of Medicine
- Commencement speaker Doc Schmidt



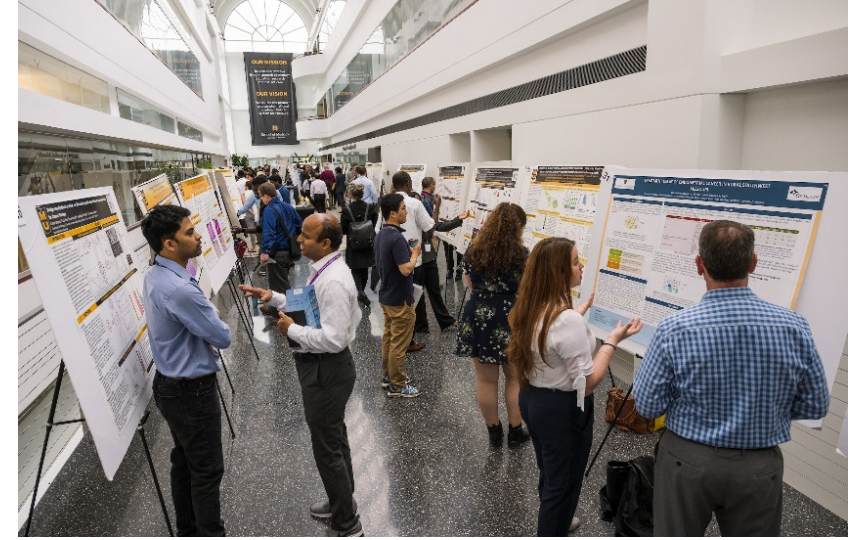
Curator Robin Wenneker, Dr. Kristy Weber and Dr. Richard Barohn



Dr. Ben Schmidt, MU School of Medicine graduate and social media personality

Cancer research

- **Celebrating scientific advancement at Cancer Research Day**
 - Showcased 78 presentations of original research conducted by MU faculty, staff and trainees
 - Focused on one thing: shaping the future of cancer care
- **Brought together 260 trainees and faculty members from both clinical care and translational science, and across different specialties**
- **Welcomed guest speaker Timothy Eberlein, MD, director of Siteman Cancer Center**
 - Celebrated our partnership with Washington University and Siteman Cancer Center in St. Louis
 - Dr. Eberlein discussed funding opportunities for research, cancer statistics and our shared path forward



Gerhard Hildebrandt, MD, director of the Ellis Fischel Cancer Center, and Timothy Eberlein, MD, director of Siteman Cancer Center

NextGen Precision Health Updates



Clinical Translational Science Unit open for research

- **Four clinical trials currently underway in the CTSU**
 - Study effects of a dietary supplement on blood flow in individuals with Type 2 diabetes, funded by **National Institutes of Health (NIH)**
 - Study effects of the drug amiloride on blood vessel stiffness in overweight individuals, funded by **NIH**
 - Study effects of a dietary supplement and exercise on blood vessel health, funded by **Department of Veterans Affairs**
 - Study biomarkers in ALS, funded by **NIH**
- **More than \$7 million in funding among the trials; more than 280 research participants**
- **Led by senior researchers**
 - Luis Martinez-Lemus, DVM, PhD
 - Jaume Padilla, PhD
 - Camila Manrique, MD
 - Richard J. Barohn, MD



Systemwide outreach through NextGen Discovery Series

- Opportunity for UM System faculty, staff across disciplines to learn about precision health research and collaborate
- June 5 Discovery Series first to go on the road, hosted at University of Missouri-St. Louis
- 30 attendees in St. Louis, 30 at Roy Blunt NextGen Precision Health building, and more than 80 online



DISCOVERY SERIES

THE CURRENT STATE OF MISSOURI'S OVERDOSE CRISIS AND RECENT MITIGATION STRATEGIES

MONDAY, JUNE 5 | NOON

Watch live at MU – lunch provided

Atkins Family Seminar Room

Roy Blunt NextGen Precision Health building

Learn more: precisionhealth.missouri.edu/events



MU Health Care Updates



Ric Ransom is here!



- Ric joined as CEO on May 1 from University of Wisconsin Hospitals in the Madison Region; served as president
- Nearly two decades in various health care leadership roles: chief operating officer at Greenville Memorial Hospital and positions in Memphis, Atlanta, Boston and Dallas
- Law degree from Cumberland School of Law in Birmingham and master's degrees in business administration and science in health administration from University of Alabama

Clinical program planning

- **To ensure five-year financial plan growth, engaged in detailed planning in these areas:**
 - Oncology
 - Cardiovascular
 - Neurosciences
 - Women's and Children's
- **Establishing a culture of rigorous planning and execution**
- **Goal: develop a multi-year plan that achieves growth, clinical excellence, patient safety/quality/experience**



Growing our neurosurgical clinical footprint

- Under the leadership of Michael Chicoine, MD, we've hired:
 - Paul Santiago, MD, premier neurosurgeon from Washington University in St. Louis
 - Andrew Youkilis, MD, from Neurosurgery of St. Louis



Michael Chicoine, MD



Paul Santiago, MD



Andrew Youkilis, MD

Children's Hospital update

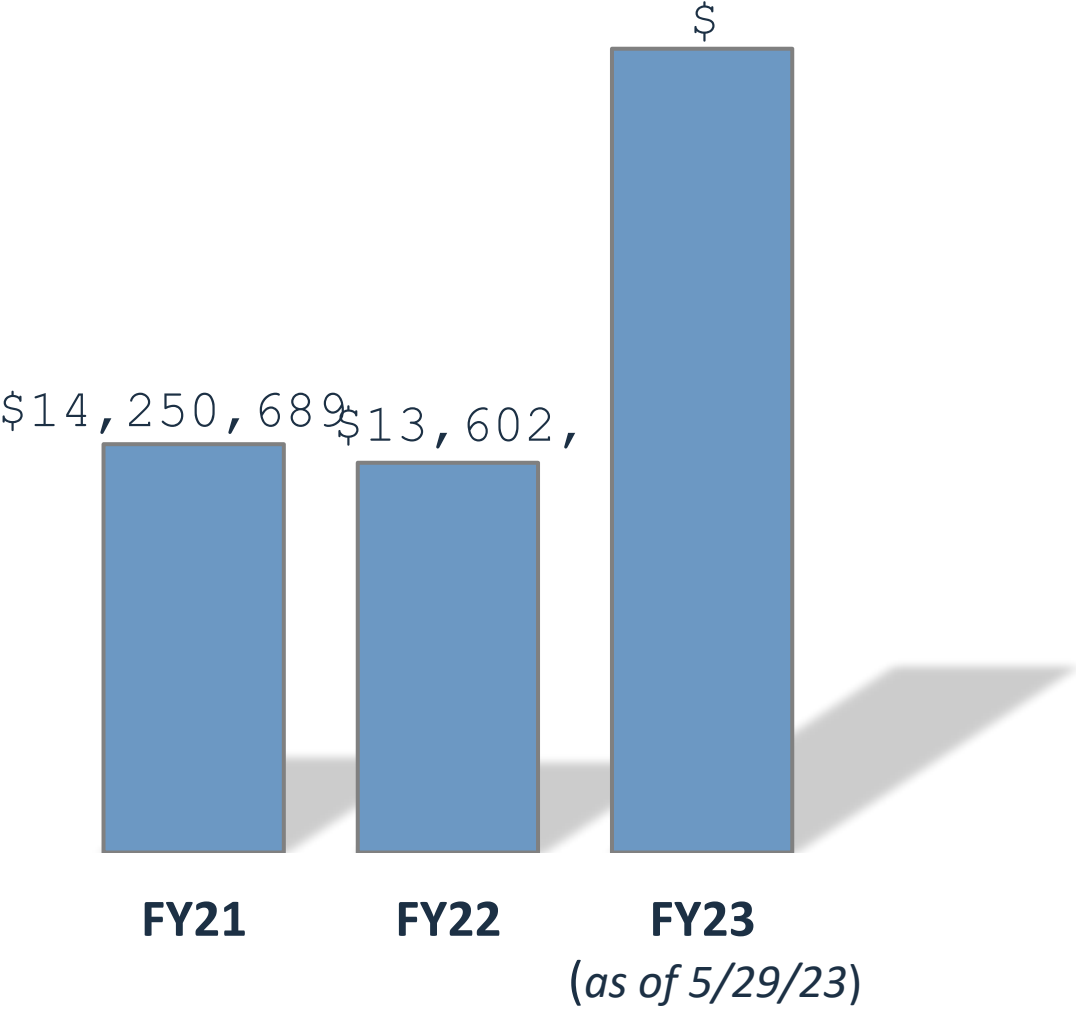
- Installed skybridge between University Physicians Medical Building and new Children's Hospital
- Clinical services begin moving in March 2024
- Grand opening planned for June 2024



Philanthropy Update



Total productivity for School of Medicine and MU Health Care



School of Medicine and MU Health Care highlights

Top Gifts

\$5M – Gift to support Department of Family and Community Medicine from Dr. David Cravens

\$5M – Gift to support scholarships for School of Medicine students from Anonymous Donor

\$900K – Gift to support scholarships for School of Medicine students from Estate of Dr. R. Philip Acuff

\$440K – Gift to support research in Alopecia areata from Mr. Bernie Fineman

\$260K – Total raised from Radiothon to support Children's Hospital

\$250K – Gift to support New Children's Hospital Interactive Screen from Mary Jo Henry

\$200K – Gift to support Faculty Professorship at Thompson Center for Autism & Neurodevelopment from Drs. Sonny and Dana Bal

\$150K – Gift to support New Children's Hospital Family Camping Nook and NICU Patient Room from Missouri Forest Foundation

Recent Engagement Events

Dean's Outreach Visits

- Kansas City, June 8, 2023
- St. Louis, November 17, 2022

Physicians Alumni Weekend

- Columbia, October 21-22, 2022

Children's Hospital Receptions

- Columbia, June 21, 2023
- Columbia, May 10, 2023
- Jefferson City, April 19, 2023
- Columbia, December 6, 2022



Children's Hospital campaign highlights

**Total Raised: \$8,672,083.87
(as of 5/29/23)**



2023 MizzouThon

**In 2021,
MizzouThon
pledged to raise
\$1,250,000 to
support the NICU
in the new
Children's Hospital
and the Music
Therapy Program.**

MU Health Care Financial Update



July – April FY23 MUHC Financials

In Millions	Jul-Feb FY23	Mar-Apr FY23	Jul-Apr FY23		Dec FY23 Re-Project	FY22 Full Year	FY21 Full Year
Patient Care Revenue	\$767.2	\$201.4	\$968.6		\$1,121.3	\$1,089.0	\$1,040.1
Pharmacy/Other Revenue	\$142.1	\$38.9	\$181.0		\$188.8	\$194.3	\$157.2
TOTAL REVENUE	\$909.3	\$240.3	\$1,149.6		\$1,310.1	\$1,283.2	\$1,197.3
Salaries & Benefits	\$386.1	\$102.5	\$488.6		\$567.2	\$527.1	\$460.0
Supplies	\$239.1	\$63.8	\$302.9		\$335.4	\$346.8	\$294.7
Other Expenses*	\$256.4	\$63.8	\$320.2		\$362.7	\$380.5	\$352.1
TOTAL EXPENSE	\$881.6	\$230.1	\$1,111.7		\$1,265.3	\$1,254.4	\$1,106.8
Operating Gain/(Loss)	\$27.7	\$10.2	\$37.9		\$44.9	\$28.8	\$90.6

- March and April finished at ~\$5M each.
- Agency labor began to subside at \$6.7M vs. \$7.1M in January.
- Currently on track to exceed the \$45M projection by end June.

* FRA (Medicaid Tax), Purchased Services, Legal/Compliance, Depreciation, Amortization, etc.



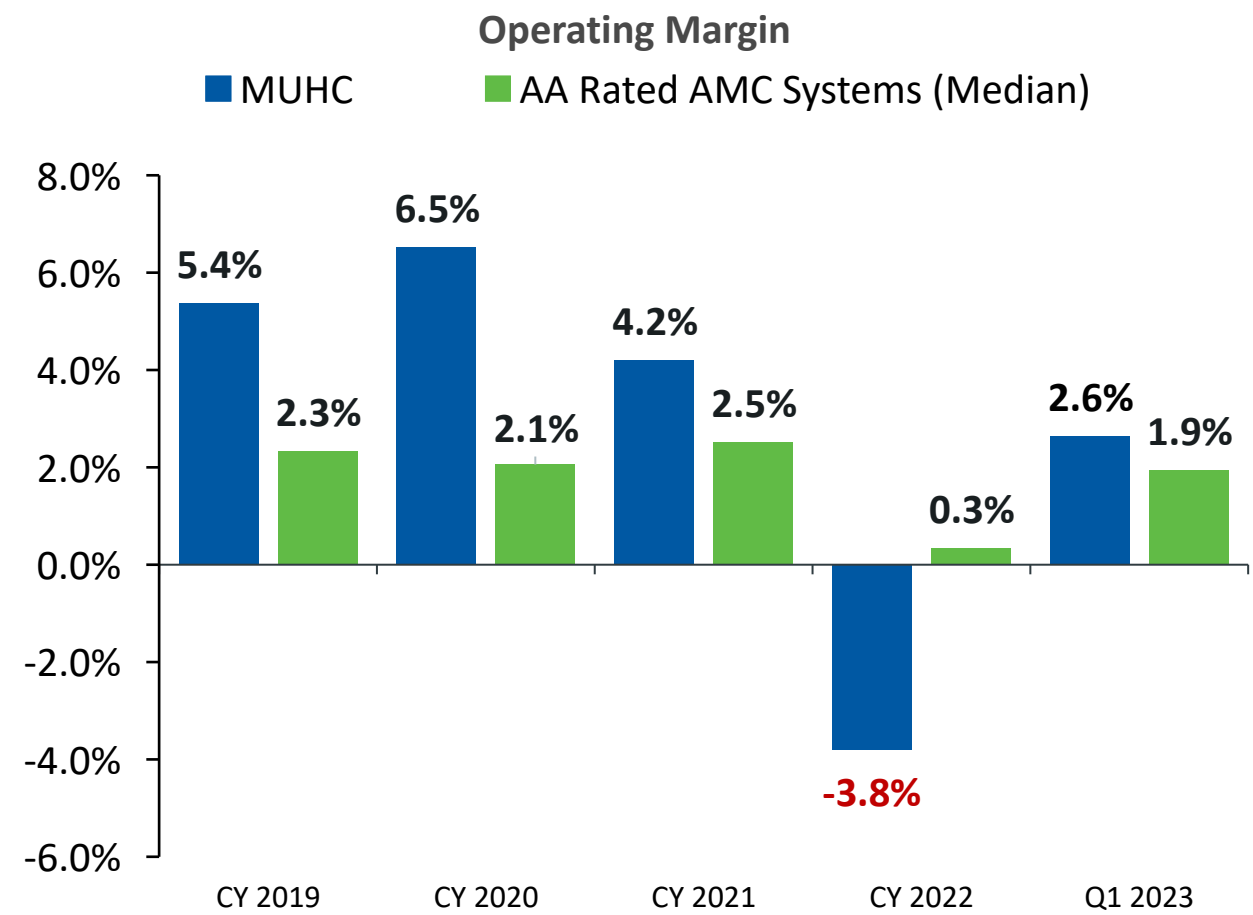
AMC Peer Institution Benchmarks

1) Peer Group Characteristics:

The peer group contains publicly owned AA rated academic health systems from the Kaufman Hall sample of health systems. For example, this would include health systems like the University of Iowa Health System, University of Kentucky Healthcare, University of Wisconsin Hospital & Clinics, and the University of Alabama at Birmingham (UAB) health system. The data looks only at the Health System component of the larger University operations.

2) These slides focus on volume and income statement comparisons. Balance sheet metrics & slides profiling the attributes of specific Health Systems as compared to MU Health Care are forthcoming.

MUHC's Operating Margin Was Higher Than the Benchmark Median in Q1 2023

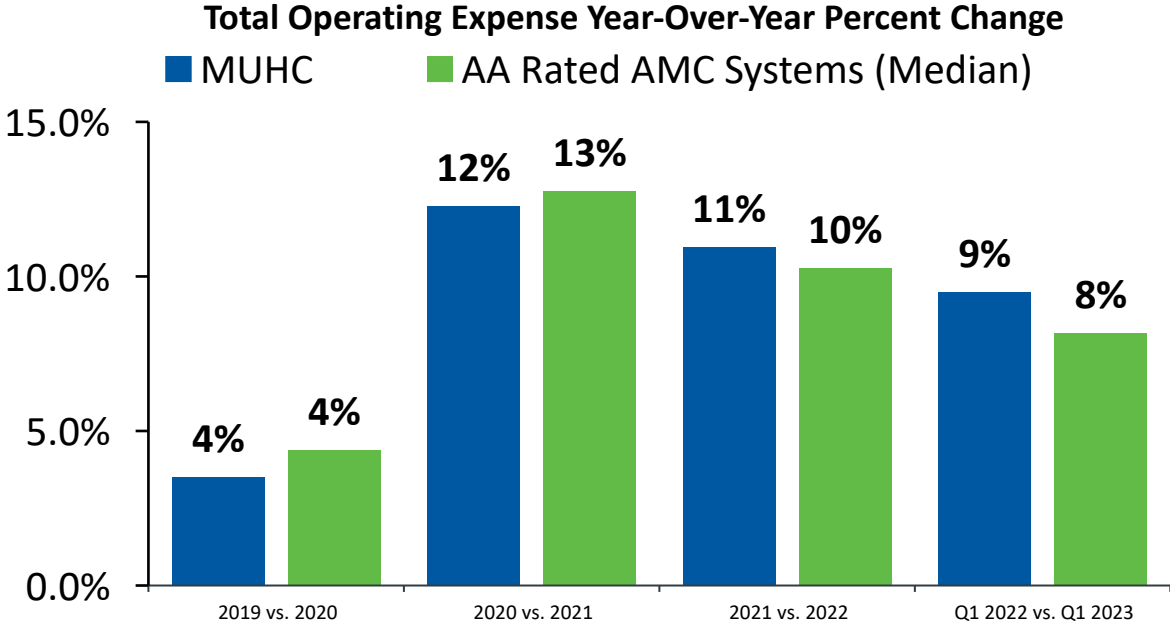
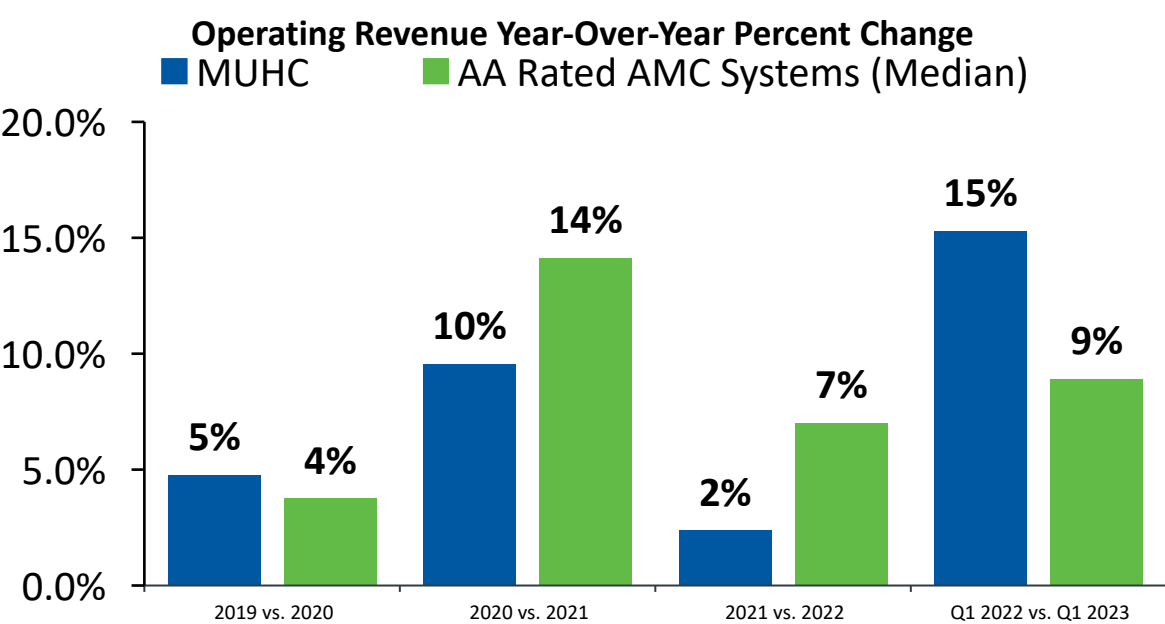


KEY TAKEAWAYS

- MUHC's operating margin was higher than the median AA rated AMC system for all time-periods except CY 2022
- MUHC's operating margin is still below pre-pandemic levels in Q1 2023

Source(s): 1) AA rated AMC system medians were produced by Kaufman Hall using data sourced from Syntellis' Performance Solutions.

Growth in MUHC’s Operating Revenue and Total Operating Expense in Q1 2023

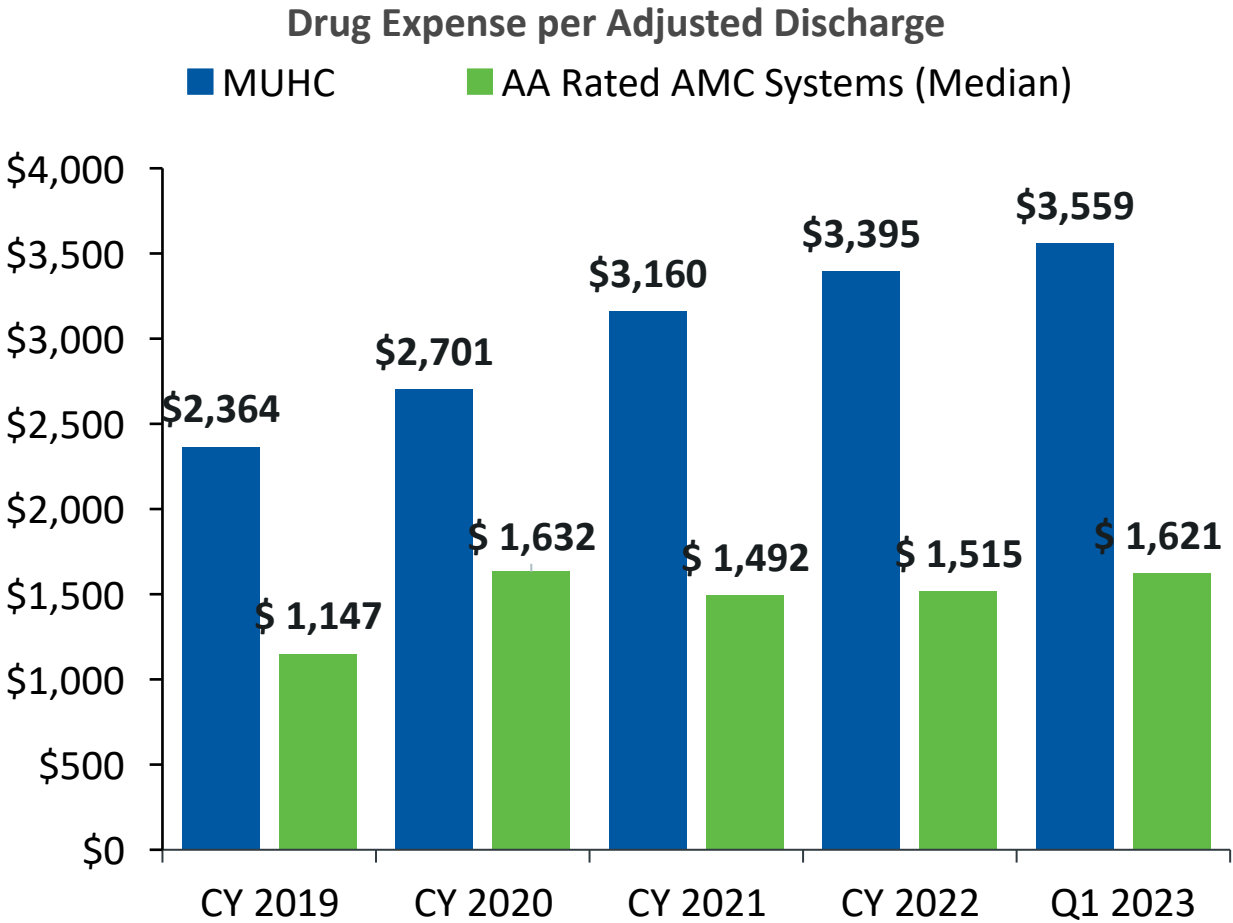


Key Takeaways

- MUHC experienced higher growth in net operating revenue in CY 2020 and Q1 2023 compared to the median AA rated AMC system
- MUHC’s total operating expense grew less than the median AA rated AMC system in CY 2020 and CY 2021, but has slightly outpaced the benchmark median in both CY 2022 and Q1 2023

Source(s): 1) AA rated AMC system medians were produced by Kaufman Hall using data sourced from Syntellis’ Performance Solutions.

MUHC’s Drug Expense per Adjusted Discharge Was Above the Median AA Rated AMC Health System in Q1 2023



KEY TAKEAWAYS

- MUHC’s drug expense per adjusted discharge was above the median AA rated AMC system for all time-periods.
- We suspect some of this is from our large retail pharmacy business.
- It is a known area of opportunity receiving enhanced focus in FY24 with a \$4M savings target.

Source(s): 1) AA rated AMC system medians were produced by Kaufman Hall using data sourced from Syntellis’ Performance Solutions.

Questions?



University of Missouri System
COLUMBIA | KANSAS CITY | ROLLA | ST. LOUIS

Strategies for Student Retention

Strategic Theme Discussion – June 2023



Introduction

John Middleton,
Associate Vice President for Academic Affairs
Chief of Staff



Introduction

- Recent board discussions have related to:
 - Enrolling students at our institutions, including challenges associated with changing demographics and test optional admissions policies
 - Student outcomes, including how the University works with employers and contributes to statewide economic needs
- Today's discussion is about what happens in between: Efforts at our institutions and institutions across the country to retain students and increase the likelihood that they graduate and succeed.



Today's Presenters



Dr. Kristi Holsinger
*Sr. Vice Provost for
Student Success*



Dr. Colette Dixon
*Associate Provost for
Student Success*



Dr. Jim Spain
*Vice Provost for
Undergraduate Studies*



Dr. Dan Reardon
*Vice Provost of
Undergraduate Studies*



Academic Advising

Kristi Holsinger,
Senior Vice Provost for Student Success, UMKC



Academic Advising & Retention

- Advising plays a crucial role in student success and retention and is an integral part of a student's academic experience.
- Ways advisors affect retention:
 - Clarify academic pathways, navigate complexities of degree programs
 - Empower students in academic and career goal setting and planning
 - Create a supportive environment, offer encouragement and referrals
 - Identify early warning signs and proactively intervene
 - Build rapport and trust through strong relationships, create sense of accountability



Roo Advising (Fall 2021)

- **Decentralized to Centralized Model**

- Standardize policies, practices, caseloads, and salaries
- Consistent use of technology tools (Starfish, SLATE, PeopleSoft, COGNOS)
- Provision of training and advancement opportunities
- Build networked, collaborative approach

- **Guiding Principles**

- Proactive
- Appreciative
- Integrate careers
- Improve visibility, accessibility, and knowledge



Advising Initiatives & Innovation

- **Pre-term activities and need based referrals**
 - Enrollment survey, Getting to know you form and appointment
 - Surveys, success coaches
- **Prioritized outreach**
 - Enrollment (Operation Roo Rescue and Roo Resilience)
 - Academic recovery
- **At UMKC, initiatives are having a positive impact on retention**
 - Achieved highest retention rate of 77% (FS22)
 - Significant improvements for FTC (+5%), transfer (+4.5%), and first gen (+10%) students in FS23



Advising Culture and Assessment

- Provide proactive, individualized, holistic advising to deliver an exceptional student experience
- Canvas advising site and syllabus
- Roo Rebound annual staff retreat and awards and recognition ceremony
- 4-year assessment cycle of students
- Annual review of Roo Advising data, practices, student feedback
- Partnership feedback



Student Well-Being and Belonging

Colette Dixon,
Associate Provost for Student Success



Well-Being, Belonging & Retention

- A student's well-being and their sense of belonging at our institutions is critical for retention and overall college success.
- The top three reasons students stop out are:
 - Emotional stress
 - Personal and mental health
 - Financial reasons (discussed in next segment)



Well-Being & Belonging Challenges

% of students that...	2019	2020	2021	2022	2023
Thought of transferring in the last year	23%	24%	20%	20%	23%
Thought of discontinuing education	18%	18%	22%	20%	19%
<i>Reasons contributing to considering leaving UM System Schools</i>					
Mental health concerns	-	-	-	53%	49%
Lack of friends/loneliness	36%	42%	32%	37%	42%
Lack of belonging on campus	28%	32%	23%	24%	28%



Prevention and Interventions

- Partners in Prevention (PIP) Coalition collects data annually to better understand these challenges and develop a strategic plan for addressing them across the UM System.
- CARE Teams: An industry-wide trend, these teams work with students experiencing urgent disruptions related to health, food, and housing.
- Food Pantries: Campus-wide resources designed to address food insecurity. Offered at no cost to those who need it.
- Increased investments in mental health services to reduce wait times and ensure students in crisis get the help they need.



Prevention and Interventions

- Universities are studying the possibility of adding new Basic Needs Coordinator positions (already in place at UMKC) to serve as a more proactive complement to CARE Teams – pre-crisis care.
- Investments in addressing student well-being and belonging challenges have had a significant impact, which we believe will benefit student success goals.
- As just one example, consider the reach of CARE Teams, which at UMSL addressed nearly 2,000 cases in the last year.



Student Financial Challenges

Jim Spain,
Vice Provost for Undergraduate Studies, MU



Student Finances and Retention

- Nationally, an estimated 38% of students drop out of college for financial reasons.
- Nearly half of non-completers (48%) drop out during or right after finishing their second year, and just over half (51%) rated the financial support they received from their institution as “fair” or “poor.”
- Finances can pose not only a direct barrier to students, but also impact a student’s mental health, sense of belonging, and raises concerns about return-on-investment.

Student Financial Challenges

- At MU, whether a student has a past due balance and/or has high financial need are key predictors of whether that student will be retained.
 - Last year, MU had a fall-to-fall retention rate of 88.4%, but that rate was 72.2% for students with a past due balance and 82.2% for those with high financial need.
- At MU, the average past due balance is \$4,877, and we see similar trends across the industry with average past due balances in the \$3,000-\$6,000 range.

MU Persistence Spring 22 to Fall 22

Group	Returning Students	Non-Returning Students	Non-Returning Students with Past Due Hold
Total Students	17,014	835	141
First Generation	22.5%	34.1%	46.8%
Underrepresented Minority (URM)	16.1%	22.2%	34.0%
MO Resident	72.1%	75.7%	78.0%
Non-Resident	27.9%	24.3%	22.0%
High Financial Need	24.8%	42.4%	53.2%
Past Due (%/\$)	N/A	16.8%	\$4,877
Average GPA	3.26	2.81	2.80



Prevention and Interventions

- MU New Student Check-In Survey in Week 3 of their 1st semester to guide early interventions

Top 5 Student Concerns	Fall 2019	Fall 2020	Fall 2021	Fall 2022
Course struggles	19.9%	18.5%	16.1%	14.3%
Class attendance	18.7%	9.3%	14.2%	15.8%
Financial	9.3%	8.8%	8.5%	9.1%
Involvement	4.1%	9.6%	6.4%	6.2%
Homesickness	4.8%	5.6%	4.8%	5.8%

Prevention and Interventions

- New investments in outreach and student financial literacy
 - Spring webinar series in Year 2 focused on costs, financial aid offers, loans, etc.
 - Drop-in financial aid appointments
- New processes to intervene when a student expresses concerns
 - Flag raised within online advising platform, prompts outreach from peer coach.
 - Coaches follow a specific script for calls, voicemails, and email for consistency.
 - All communication is documented, flags are cleared once outreach is complete.
 - MU Office of Financial Success has successfully connected with 55% of the students identified as potentially needing an intervention.
- Increased utilization of emergency grants to help students just in-time.
- Improved and streamlined policies and procedures.



Career Preparation & Services

Daniel Reardon,
Vice Provost of Undergraduate Studies, S&T



Career Services and Retention

- Students and families increasingly ask about career services
 - 8/10 first-year students prioritize career readiness in higher education
 - (Fischer, *Chronicle of Higher Ed*, 10 August 2022)
 - Impacts perception of return on investment
- First-year students often lack career goals
 - Delaying focus on major of choice
 - Prolonging time to degree completion
- Vocational Identity builds students' career path
 - Leading to persistence in coursework
 - Sense of belonging



Initiatives and Interventions

- Opening Week Mini Career Fair
 - Begins Engagement with employers from Day One on campus
- Employer Presence
 - At least one employer on S&T campus every day in fall and spring semesters
- Digital Services through the Miner Network
 - Powered by Firsthand
 - Allows S&T community to connect with career topic of interest
 - schedule consultations
 - Big Interview
 - Learn and practice interview skills



S&T Career Services

Key Performance Indicators

- Employer Satisfaction with hires: 100%
- Student Satisfaction with Career Services: 97%
- Employer Events (2022-23): 413
- Unique Students Served: 6,375
- Percent of S&T Population Served: 88%

"Graduates who rated their experiences with career services as very helpful are nearly 6x more likely to agree their alma mater prepared them for post-collegiate life." (Busteed, *Forbes* 2022, Gallup Poll 2016)



Questions?



UNIVERSITY OF MISSOURI



**BOARD OF CURATORS
OPEN MEETING AGENDA DRAFT**

Thursday, September 7, 2023
University of Missouri – Kansas City

General Business

Information

Board Chair's Report

President's Report

UMKC Highlights – Chancellor Agrawal

Consent Agenda

Action

Minutes, June 29, 2023 Board of Curators meeting

Minutes June 29, 2023 Board of Curators Committee meeting minutes

Fall Semester Degrees

Audit Committee

Information

Review Quarterly Internal Audit and Consulting Reports

Finance Committee

Information

Review Endowment and Retirement Fund Performance

Action

Investment Consultant Annual Approval

Health Affairs Committee

Information

Executive Vice Chancellor Report

Financial Report

BOARD OF CURATORS MEETING-Executive Session

June 29, 2023