



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 of Curators Meeting
September 24, 2020
Public Session**

UNIVERSITY OF MISSOURI



BOARD OF CURATORS
MEETING AGENDA - **REVISED**

Thursday, September 24, 2020

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

Board Committee meetings were held September 15 and 16, 2020 in conjunction with the September 24, 2020 Board meeting.

Originating:

From remote locations via conference telephone and Zoom webinar.

Please click the link below to join the webinar:

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

Or Telephone:

Dial US: +1 301 715 8592

Webinar ID: 991 9739 4966

THURSDAY, SEPTEMBER 24

BOARD OF CURATORS MEETING – PUBLIC SESSION

8:30 A.M. Call to Order

General Business

Information

1. University of Missouri Board Chair's Report
2. University of Missouri System President's Report
3. Strategic Theme Discussion – University of Missouri System Renewal Amid COVID-19

10:00 A.M. Break

**10:10 A.M. Reconvene Public Session
General Business**

Information

4. Student Representative to the Board of Curators Report – Remington Williams
5. Review Consent Agenda

Consent Agenda

Action

1. Minutes, July 28, 2020 Special Board of Curators Meeting
2. Degrees, Fall Semester 2020 for all Campuses
3. Amendment, Collected Rules and Regulations 300.040, Faculty Bylaws of University of Missouri – St. Louis
4. Amendment, UMKC School of Medicine Standards of Professional Conduct and Honor Council Procedures
5. Investment Consultant Annual Approval – UM
6. Amendments, Collected Rules and Regulations in Relation to New Title IX
References:
 - a. 200.010 Standard of Conduct
 - b. 200.020 Rules of Procedures in Student or Student Organization Conduct Matters
 - c. 310.020 Regulations Governing Application of Tenure
 - d. 310.060 Procedures in Case of Dismissal for Cause
 - e. 330.110 Standards of Faculty Conduct
 - f. 370.010 Academic Grievance Procedure
 - g. 380.010 Grievance Procedure for Administrative, Service and Support Staff
 - h. 600.070 Policy Related to Students with Disabilities
 - i. 600.080 Policy Related to Employees with Disabilities
7. Revision, Collected Rules and Regulations 140.012, Investment Policy for General Pool, UM
8. Energy Loan Program of the Missouri Department of Natural Resources/Division of Energy, UMKC
9. Naming Opportunity, MU

10:20 A.M. FINANCE COMMITTEE CHAIR REPORT (Curators Steelman, Chatman, Hoberock and Williams)

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

Information

1. FY20 Investment Performance Review, UM
2. FY20 Financial Status Report, UM
3. Financial Policies and Governance, UM

10:35 A.M. ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE CHAIR REPORT
(Curators Chatman, Hoberock, Layman and Snowden)

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

Action

1. New Degree Program, MA in Defense and Strategic Studies, MU
2. New Degree Program, MS in Supply Chain Analytics, UMSL
3. Naming Opportunity, MU

10:45 A.M. HEALTH AFFAIRS COMMITTEE CHAIR REPORT
(Curators Graham, Steelman, Wenneker, Williams, Mr. Ashworth and Mr. Phillips)

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

Information

1. Financial Report
2. MU Health and NextGen (Richard Barohn)
3. MU School of Medicine Update
4. MU Health Care Clinical Consolidation and Integration Strategies
5. Quarterly Compliance and Corporate Integrity Agreement Report

Action

1. Resolution, Corporate Integrity Agreement for Health Affairs Committee Members (HAC Committee only)
2. Minutes Approval, June 10, 2020 Health Affairs Committee Meeting (HAC Committee only)

11:05 A.M. AUDIT, COMPLIANCE AND ETHICS COMMITTEE CHAIR REPORT
(Curators Layman, Graham, Steelman and Wenneker)

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

Information

1. UM Internal Audit, Compliance and Ethics Quarterly Report, UM

Action

1. Engagement of Independent Auditors, UM

11:15 A.M. GOVERNANCE, COMPENSATION AND HUMAN RESOURCES COMMITTEE

(Curators Williams, Chatman, Layman and Snowden)

Governance, Compensation and Human Resources Committee Chair Williams to provide time for discussion.

Action

1. Amendment, Collected Rules and Regulations 110.080, Naming of University Buildings, Exterior Areas, Landmarks and Interior Spaces
2. Board Resolution Amendment
3. Resolution for Executive Session of the Governance, Compensation and Human Resources Committee

General Business Continued

Information

6. University of Missouri – Kansas City Campus Highlights – Chancellor Agrawal
7. Missouri University of Science and Technology Campus Highlights – Chancellor Dehghani
8. Information Technology Annual Report (written report only)
9. Good and Welfare of the Board

Action

1. Resolution for Executive Session of the Board of Curators Meeting, September 24, 2020

12:00 P.M. Press Conference with Board of Curators Chair and UM System President (time is approximate)

Join Zoom Meeting:

<https://umsystem.zoom.us/j/91841881269>

Meeting ID: 918 4188 1269

Or Telephone +1 312 626 6799

12:30 P.M. BOARD OF CURATORS COMPENSATION AND HUMAN RESOURCES COMMITTEE MEETING - EXECUTIVE SESSION

(time is approximate)

Via Zoom

The Compensation and Human Resources Committee will hold an executive session of the September 24, 2020 meeting, pursuant to Section 610.021(1), 610.021(3), 610.021(12), 610.021(13) and 610.021(17) RSMo, for consideration of certain confidential or privileged

communications with university counsel, contract, personnel items and confidential or privileged communications between a public governmental body and its auditor, as authorized by law and upon approval by resolution of the Governance, Compensation and Human Resources Committee.

1:15 P.M. BOARD OF CURATORS MEETING-EXECUTIVE SESSION (time is approximate)
Via Zoom

The Board of Curators will hold an executive session of the September 24, 2020 meeting, pursuant to Sections 610.021(1), 610.021(2), 610.021(3), 610.021(12), 610.021(13), 610.021(14) and 610.021(17) RSMo, for consideration of certain confidential or privileged communications with University Counsel, personnel, property, litigation, contract items, records protected by law, confidential or privileged communications between a public governmental body and its auditor, all as authorized by law and upon approval by resolution of the Board of Curators.

Upcoming meetings of the Board of Curators:

November 19, 2020	University of Missouri – St. Louis
February 4, 2021	University of Missouri – Columbia
April 22, 2021	Missouri University of Science and Technology
June 24-25, 2021	University of Missouri – Columbia
September 1, 2021	Special Finance Committee Meeting - UMKC
September 2, 2021	University of Missouri – Kansas City
November 18, 2021	University of Missouri – St. Louis

GENERAL BUSINESS

UNIVERSITY OF MISSOURI
BOARD CHAIR REPORT

There are no materials for this information item.

UNIVERSITY OF MISSOURI SYSTEM
PRESIDENT'S REPORT

There are no materials for this information item.

STRATEGIC THEME DISCUSSION –
UNIVERSITY OF MISSOURI SYSTEM RENEWAL AMID COVID-19

There are no materials for this information item.

STUDENT REPRESENTATIVE TO THE
BOARD OF CURATORS REPORT

There are no materials for this information item.

REVIEW CONSENT AGENDA

There are no materials for this information item.

CONSENT AGENDA

Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

No. 1

Recommended Action - Minutes, July 28, 2020 Board of Curators Special Meeting Minutes

It was moved by Curator _____ and seconded by Curator _____, that the minutes of the July 28, 2020 Board of Curators meeting be approved as presented.

Roll call vote: YES NO

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

The motion _____.

September 24, 2020

No. 2

Recommended Action - Approval of Degrees, Fall Semester 2020, for all campuses

It was recommended by Chancellors, endorsed by President 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 System 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 Fall Semester 2020, 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 the Board:	YES	NO
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Curator Brncic

Curator Chatman

Curator Graham

Curator Hoberock

Curator Layman

Curator Snowden

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

Revisions to Collected Rules and Regulations

300.040 Faculty Bylaws of the University of Missouri - St. Louis

Background:

In an effort to reduce the number of Senate and Assembly Committees at UMSL, the members of the Faculty Senate and University Assembly reviewed the mission statements and responsibilities of the 23 committees. After much discussion and review, the Senate and Assembly proposed merging several committees. The Senate's Bylaws and Rules Committee reviewed the proposed changes to the committees and approved the changes. The Chair of the Bylaws and Rules Committee presented the changes to the Faculty Senate and University Assembly. They were unanimously approved. The UMSL Faculty have also approved the proposed changes. The recommended changes are as follows:

Summary:

UMSL Faculty Senate proposes to merge the committees as listed below:

- 1.) Merge the University Libraries Committee and the Research Policy Committee.
The newly-merged committee will be called the Research and Libraries Committee.

Rationale: The rationale for this merger is to improve efficiency and allow for more comprehensive, strategic initiatives and advising in the area of research and libraries. By combining the committees, we are seeking to reduce the burden on faculty and students in terms of staffing.

The proposed mission of the newly-merged committee is as follows:

Mission: The Research and Libraries Committee shall be responsible for recommending and reviewing issues and policy in the areas of research, research administration, and libraries, including library budgetary issues. It shall advise the Vice Chancellor for Research and the Dean of Libraries, serve as a liaison between the libraries and the university research community via the Senate, and consider any matter referred by the Senate, the Dean of Libraries, the Vice Chancellor for Research, or any member of the campus community.

- 2.) Merge the Student Publications Committee into the Student Affairs Committee.
The newly-merged committee will be called the Student Affairs Committee.

Rationale: These changes are recommended in response to concerns regarding the streamlining of committees; to ensure a balance of student, faculty, and staff member input on the committee; to eliminate language regarding administrator titles that may be subject to change; and to better align student related services under one committee.

The proposed mission of the newly-merged committee is as follows:

Mission: The Committee on Student Affairs shall be responsible for recommending and reviewing policy in the areas of non-academic regulations and student services, such as student organizations and student publications, advising administration on policies related to students, and recommending approval of new student organizations. The responsibilities of the committee may be exercised by

subcommittees established in any of the above areas. Faculty and staff members with administrative responsibilities in these areas shall be members of the subcommittees dealing in those areas.

Approval Process:

The vetting and approval process for the bylaw proposals was the following:

- 1.) Proposed changes were created at the committee level and discussed by committee members.
- 2.) Proposed changes were submitted to UMSL's Bylaws and Rules Committee
- 3.) After approval, the Bylaws and Rules Committee presented the changes to the UMSL Faculty Senate and University Assembly. The Faculty Senate/University Assembly approved the proposed changes.
- 4.) The proposed changes were presented to the full faculty at the Spring Faculty Meeting. UMSL's Faculty unanimously approved the changes.
- 5.) The proposed changes were submitted to General Counsel (Paul Maguffee) for review and approved from the legal perspective.

Recommendation:

By direction of Chancellor Sobolik, UMSL Faculty Senate kindly requests that these changes be approved at the next Board of Curators meeting. These changes will allow the UMSL Senate committees to be more efficient and streamlined.

Contact information:

For questions regarding this proposal, please contact Senate Chair Alice Hall at halla@umsl.edu or contact the UMSL Senate Office - Loy Harvey at harveyle@umsl.edu

No. 3

Recommended Action – Revisions to Collected Rules and Regulations 300.040, Faculty Bylaws of the University of Missouri – St. Louis

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

that Collected Rules and Regulations, Section 300.040, Faculty Bylaws of the University of Missouri – St. Louis, be revised as attached.

Roll call vote of the Board:	YES	NO
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Curator Brncic		
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Curator Chatman		
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Curator Graham		
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Curator Hoberock		
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Curator Layman		
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Curator Snowden		
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Curator Steelman		
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Curator Wenneker		
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Curator Williams		
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The motion _____.

September 24, 2020

300.040 Faculty Bylaws of the University of Missouri - St. Louis

Bd. Min 3-19-71; Amended 10-12-73; 2-18-77; 12-15-78; 6-18-82; 2-11-83; 6-24-83; 5-4-84; 5-3-85; 7-29-88; 3-10-89; 6-22-90; 5-3-91; 1-29-92; 5-8-92, 5-6-93; 3-29-94; 3-24-95; 4-25-96; 5-29-97; 10-16-98; 5-27-99; 3-23-00; 9-28-01; 12-01-05; 12-15-06; 06-06-08, 12-10-10; 11-21-13; 4-10-15; 6-26-15; 10-7-16; 6-21-18.

A. **PURPOSE OF GOVERNING PRACTICES** - The purpose of these Bylaws is to establish a body that represents the voice of the Faculty and to establish an effective vehicle for the needs and concerns of the Faculty to be presented for discussion and debate. These Bylaws assume that Faculty may participate in academic decision processes. The right of the Faculty to organize and to carry out the responsibilities and functions delegated to them by the Board of Curators (Board) is recognized in Section 10.030.D.2 of the Collected Rules and Regulations of the University of Missouri.

B. **FACULTY**

1. **Membership** - The Faculty of the University of Missouri-St. Louis shall consist of the President, the Chancellor, tenured and tenure-track faculty, and all full-time, ranked, non-tenure track (NTT) faculty with professorial designation, and others elected by the Faculty. Elected members so designated by the Faculty shall be non-voting members of the Faculty. Campus-wide faculty votes on issues specific to tenure or tenured/tenure track (T/TT) faculty will be restricted to T/TT faculty.
2. **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.
 - b. **Civil Rights** - The constitutional rights of the Faculty members shall be preserved.
 - 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.
 - d. **Notification for Appointment or Changes Thereto** - Faculty members shall be notified of their appointments and workload, or any changes thereto, as much in advance of the beginning of institutional responsibilities as possible (as stated in the Board's Rules and Regulations).
 - e. **Right to be Kept Informed** - The Faculty shall be kept informed of actions and activities of committees and executive officers, and of other occurrences that pertain to the University

of Missouri-St. Louis. When possible, such information shall be made available to the Faculty before being made available to the general public.

3. **Responsibilities** - The Faculty of the University of Missouri-St. Louis shall bear primary responsibility for recommending and implementing educational policy, particularly in areas of curriculum, degree requirements, methods of instruction, research, requirements for admission, student affairs, and faculty status. The Faculty may also make recommendations to the Chancellor and other persons or offices concerning general policy matters affecting the University.
4. **Authority** - The faculty's authority, as delegated by the Board of Curators, is of three types: primary and direct, in which the Faculty has essential decision-making authority; shared, in which the Faculty participates with others; and advisory, in which the Faculty counsels with the person or offices with ultimate decision-making authority. (On those matters requiring multi-campus coordination, the Faculty shall act through its appropriate bodies, [UM System 300.040.B.5.](#))
 - a. **Primary and Direct Authority** - The UMSL faculty has essential decision-making authority in matters directly affecting the educational program of UMSL, including but not limited to:
 - (1) Articulation and maintenance of standards of academic performance--this includes but is not limited to guidelines for appropriate research, service, and scholarships; requirements for graduation; and related matters.
 - (2) Development and approval of courses of instruction and curricula.
 - (3) Development and approval of procedures governing educational support programs on the UMSL campus.
 - (4) Formulation of criteria determining professional standing of faculty--including but not limited to such matters as tenure, promotion, termination, guidelines for responsibility, faculty standing with regard to graduate faculty membership and doctoral dissertation supervision.
 - (5) Determination of an appropriate faculty committee structure.
 - (6) Determination of minimum admission requirements.
 - (7) Selection of awardees for academic scholarships.
 - b. **Shared Authority** - The UMSL faculty has shared authority by which it participates cooperatively with other persons or offices in matters such as:
 - (1) Development and articulation of students' rights and responsibilities.

(2) Determination of an appropriate academic calendar.

(3) Selection of awardees for honorary degrees.

(4) Application of criteria affecting professional standing of faculty, such as required professional licensure.

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

(1) Budget and resource allocation.

(2) Planning, including capital expenditures and physical facilities.

(3) Selection of departmental, divisional, campus, and university-level administrators.

(4) Determination of the campus standing committee structure.

(5) Development and implementation of general business procedures that facilitate academic program excellence.

(6) Use of facilities for program activities.

(7) Application of criteria affecting promotion, tenure and termination.

(8) Structure of academic departments and units.

d. **Faculty Delegation of Authority** - The Faculty, recognizing that handling matters through meetings of the Faculty is cumbersome, that attendance at such meetings varies, and that it is often difficult to have complete discussion of issues at such meetings, may delegate its authority to separate schools, colleges, or such other parallel units as may be created from time to time, and to the Faculty Senate within the University of Missouri-St. Louis. The actions of the Senate, in those areas in which they have delegated authority, shall be deemed final unless challenged within 10 days. Such challenge shall require a petition signed by at least twenty-five (25) faculty members from at least two parallel units calling for a review by the Faculty of a particular Senate action.

5. **Meetings** - The Faculty of the University of Missouri-St. Louis shall meet at least twice each year and at such additional times as the President, Chancellor, or the Faculty itself may determine. Upon written request of at least twenty-five (25) members of the Faculty, the Chancellor shall call a meeting within two weeks.

- a. The President, or in the President's absence, the Chancellor, or in the Chancellor's absence, a member of the Faculty designated by the Chancellor shall preside at each faculty meeting.
 - b. A quorum shall consist of at least ten (10) percent of the voting members of the Faculty representing at least two parallel units when business described in the published agenda is being considered. When other items of business not described in the published agenda are being considered, a quorum shall consist of at least fifty (50) percent of the voting members representing at least two parallel units.
 - c. Notice of all meetings of the Faculty shall be sent to each member of the Faculty at least five school days prior to the meeting. Such notice includes the agenda for the meeting.
 - d. Proceedings in Faculty meetings shall be in accordance with the rules set forth in the most recent edition of Robert's Rules of Order except where otherwise provided for in these Bylaws or the regulations of the University of Missouri-St. Louis.
 - e. Official minutes shall be kept and made available to each member of the Faculty within a week of the meeting.
6. **The Intercampus Faculty Council** - Three campus representatives will serve on the Intercampus Faculty Council. Two of the three shall be elected by the University of Missouri-St. Louis Faculty to serve three-year staggered terms so that no more than one of the two elected members will be replaced or reelected in any year. The Senate Chairperson shall serve as the third member of the Intercampus Faculty Council.
7. **Campus Standing Committees** -
- a. **Grievance Resolution Panel (GRP)** - The Panel shall perform the responsibilities prescribed by the Collected Rules and Regulations of the University of Missouri (370.010.C.1), "Academic Grievance Procedure." The role of the GRP is to address grievances brought by faculty members. The panel should consist of a senior administrator appointed by the Chancellor and two tenured faculty members, and two alternate faculty members. The faculty members will be chosen by the Faculty Senate after consultation with the Chancellor or the Chancellor's designee. Members shall serve two-year staggered renewable terms.
 - b. **Degree Revocation Committee** - In accordance with 220.025, this committee shall have jurisdiction to consider any case in which revocation of a degree, diploma and/or certificate is proposed. The Committee shall be called the Campus Degree Revocation Committee. Four (4) members of the Campus Degree Revocation Committee and an alternate to serve in the event one of the four (4) members cannot serve, shall be appointed annually by the Chancellor after consultation with the Faculty Council or Faculty Senate. Each of the members of the Committee and the alternate shall be a faculty member on continuous appointment at the rank of Professor or Associate Professor. In the event that the Chancellor approves the initiation of the procedures for revocation of a degree, diploma

and/or certificate, the Chancellor shall appoint a fifth member of the Campus Degree Revocation Committee, who shall also be a faculty member at one of the campuses of the University of Missouri System on continuous appointment at the rank of Associate Professor or Professor and who shall be from the same discipline or a related discipline as the department faculty who recommended the award of the degree, diploma and/or certificate, but who shall not be a faculty member in such department. The Campus Degree Revocation Committee shall elect a Chair from among its five (5) members.

C. STUDENT BODY

1. **Membership** - The student body of the University of Missouri-St. Louis shall consist of all persons who are officially enrolled as regular full-time or part-time students in the University of Missouri-St. Louis.
2. **Responsibilities**- The student body shall have the responsibility to participate in the recommending and implementing of educational policy, particularly in the areas of academic and student affairs. The student body may, through its official representatives, make recommendation to the Vice Provost for Student Affairs or the Chancellor concerning general policy matters affecting the University of Missouri-St. Louis.

D. STAFF

1. **Membership** - Non-academic staff members participate in shared governance through The UMSL Staff Association, whose membership includes all benefits eligible administrative, service and support staff of the University of Missouri-St. Louis.
2. **Responsibilities** - The staff of the University of Missouri-St. Louis, through its official representatives, shall have the responsibility of considering methods and means by which employment conditions may be improved and the operating efficiency of the University of Missouri-St. Louis increased; receiving and considering matters concerning working conditions; making such recommendations that it deems appropriate, and communicating problems of mutual concern to the University of Missouri-St. Louis administration.

E. FACULTY SENATE OF THE UNIVERSITY OF MISSOURI-ST. LOUIS
(Hereinafter referred to as Senate)

1. **Responsibilities** - The Faculty Senate is the legislative and policy-making body of the Faculty. It carries out the responsibilities of the Faculty (see Section 300.040 B.3) not reserved by the Faculty as a body or specifically delegated to the University Assembly (Section 300.040 E). The Senate, as a representative faculty voice, shall advise the chancellor and the UMSL faculty on questions of UMSL policy submitted by either to the Senate. It may also initiate recommendations concerning changes in UMSL policy for consideration and appropriate action by the chancellor or UMSL faculty.
2. **Delegation of Authority**
 - a. Since the authority of the Senate is delegated to it by the Faculty, it is subject to over-rule by the Faculty.
 - b. All authority delegated by the Senate to committees or individuals is subject to revocation by the Senate.

3. **Committees of the Senate** - In their deliberations the committees shall, when appropriate, consult with the Chancellor or other administrative officers; with representatives of the separate schools, colleges, and other parallel units which may be created from time to time; with departments and concerned faculty; and with students and student organizations. Committee recommendations shall be made to the Senate or to the appropriate administrative officer.

The Senate shall establish the following standing committees:

- a. **Committee on Committees** - The Committee on Committees shall be responsible for nominating for election all faculty members of the committees of the Senate and the University Assembly. The chair of the Committee shall be a faculty Senator.

- b. **Steering Committee of the Faculty Senate and University Assembly** (hereinafter referred to as the Steering Committee) - The Steering Committee shall consist of the Senate Chairperson, who shall serve as Chairperson of the Steering Committee, the Chancellor, the Secretary of the Senate, and three elected Senators. Chairs of Senate and Assembly Committees will be asked to attend Steering Committee meetings when their committees have items for the agenda of the next Senate or Assembly meeting. It shall be the responsibility of the Steering Committee:

(1) To call regular and special meetings of the Senate and Assembly and to prepare the agenda prior to each meeting.

(2) To coordinate the work and activities of the Senate and Assembly and of Senate and Assembly committees.

(3) To meet regularly and frequently with the Chancellor to discuss matters of policy concerning the University of Missouri-St. Louis.

(4) As an agency of the Senate and Assembly, to maintain avenues of communication with the Faculty and student body of the University of Missouri-St. Louis, with campus administrative officers and the governing board of the University.

(5) To establish all guidelines for elections for membership in the Senate and Assembly and to supervise said elections.

- c. **Committee on Curriculum and Instruction** - The Committee shall have general responsibility for recommending to the Senate policies and procedures in the area of curriculum and instruction. It shall also recommend policies regarding graduation requirements, special honors programs, and academic publications such as catalogs and schedules of courses.

(1) The Committee also shall regularly recommend to the Senate the calendar of the University. It shall recommend policies relating to schedules of classes and final examination schedules. Departures from calendars and examination schedules will be recommended by this Committee.

(2) New degrees and degree programs proposed by the separate

schools, colleges, and such other parallel units as may be created from time to time, shall be submitted by the appropriate dean or equivalent to the Committee for recommendation to the Senate.

(3) Curricular additions and changes will be sent by the appropriate dean or equivalent to the Committee to be examined for overlap and duplication. In the absence of overlap and/or duplication, such proposals will be reported to the Senate.

- d. **Committee on Appointments, Tenure, and Promotion** - The Committee shall consist of full professors holding a tenure appointment. There shall be one member on the Committee elected from each of the parallel units. There shall also be two members elected at large from the campus. The Committee shall elect a chairperson from among its members.

(1) Initial academic appointments to the University of Missouri-St. Louis recommended as tenure appointments shall be submitted by the Department or Division concerned through the Dean or equivalent of the appropriate school, college, or other parallel unit. The Dean or equivalent shall forward the Department's or Division's recommendations with the Dean's or equivalent's own recommendations for approval or disapproval. After consideration, the Committee on Appointments, Tenure, and Promotion shall submit its recommendations to the Chancellor.

(2) Tenure recommendations for Faculty holding term appointments, and recommendations for promotion above the rank of assistant professor, shall be made in accordance with the procedure outlined above.

(3) It shall be the responsibility of this Committee together with the appropriate administrative officers, to establish, develop, and maintain in all areas of the University the highest standards of faculty quality.

- e. **Committee on Promotion of Non-Tenure Track Faculty** - The Committee shall consist of eligible faculty holding the rank of Teaching Professor, Clinical Professor, Extension Professor, or Research Professor and at least one full professor. There shall be one member on the Committee elected from each of the parallel units. There shall also be two faculty members elected at large from the campus. The Committee shall elect a chairperson from among its members.

(1) The Dean or equivalent shall forward the Department's or Division's recommendations with the Dean's (or equivalent) own recommendation for approval or disapproval of promotion to the Committee. After consideration, the Committee shall submit its recommendation to the Chancellor.

(2) Promotion recommendations will be made in accordance with procedures determined by the Committee, consistent with the *Collected Rules and Regulations of the University of Missouri*.

(3) The committee shall use standards created by the academic units and shall not create additional campus-wide standards.

(4) It shall be the responsibility of this Committee, together with the appropriate administrative officers, to establish, develop, and maintain in all areas of the University the highest standards of faculty quality.

- f. **Committee on Research** - The Committee shall consist of two panels, one meeting in the fall semester and the other meeting in the spring semester.

(1) The Fall and Spring panels shall meet in the fall to elect a committee chairperson for each panel, to clarify program objectives, to coordinate deadlines, and to set guidelines for research proposals and awards. Thereafter, the panels shall meet during their semester of service to advise and make recommendations on:

(a) Competitions for internal grant funds, including financial support during the summer and during research leaves, support for research assistants, grants for equipment and supplies, and funds for travel to research locations, and

(b) Nominations for campus, University, and external research awards that are available campus-wide.

(2) Each panel shall also meet after completing its work in order to review procedures and develop recommendations for the following year's committee to consider.

(3) The committee chairperson shall vote only as a member of the panel to which he/she has been elected.

(4) Panel members are ineligible to receive funding and awards under the jurisdiction of the panel on which they serve during the period of their service on the panel. The committee chairperson is ineligible to receive funding and awards under the Committee's jurisdiction during the entire year of his/her service as chairperson.

~~Committee on University Libraries—The Committee shall advise the Dean of Libraries on policy issues, including budgetary issues; serve as liaison between the libraries and the University community via the Senate; advise the University administration about policies and recommendations adopted by the Senate or the Committee; and consider any matter referred by the Senate, the Dean of Libraries, or any member of the campus community.~~

- g. **Committee on Research and Libraries** - The Research and Libraries Committee shall be responsible for recommending and reviewing issues and policy in the areas of research, research administration, and libraries, including library budgetary issues. It shall advise the Vice Chancellor for Research and the Dean of Libraries, serve as a liaison between the libraries and the university research community via the Senate, and consider any matter referred by the Senate, the Dean of Libraries, the Vice Chancellor for Research, or any member of the campus community.
- h. **Committee on Faculty Teaching and Service Awards** - The Committee shall formulate and publish guidelines for campus-wide teaching and service awards; solicit nominations for these awards as well as University and external teaching and service awards; and recommend candidates to the Chancellor. Members of the Committee are ineligible to receive awards under the Committee's jurisdiction during the entire period of their service on the Committee.
- i. **Committee on the Assessment of Educational Outcomes** - The Committee shall have the general responsibility of making recommendations concerning policies in the area of assessment of educational outcomes and related matters. The Committee shall also regularly review and advise on policies and procedures in this area and recommend changes when appropriate.

~~Committee on Research Policy—The Committee on Research Policy shall be responsible for recommending and reviewing policy in the areas of research and research administration.~~

- j. **Academic Advisory Committee** - The Committee shall have the general responsibility of making recommendations to the Vice Chancellor for Academic Affairs on academic issues affecting the University, including recommending general policies and procedures governing the evaluation of academic instruction and advisement.
- k. **Committee on Bylaws and Rules for the Faculty Senate and University Assembly** - The Committee shall:
 - (1) Receive all proposals for changes to the Bylaws and the Collected Rules and Regulations, review proposed changes to the Bylaws and the Collected Rules and Regulations, and initiate the process of Bylaws changes as smoothly and infrequently as possible.
 - (2) Recommend interpretation of the Bylaws and Collected Rules and Regulations upon the written request of the Senate Chairperson, and report its conclusions to the Senate.
 - (3) Compile and maintain a current set of Senate and Assembly Operating Rules, consider changes in Operating Rules, and report recommendations regarding Operating Rules to the Senate.
- l. **Committee on Research Misconduct** - The Committee shall perform the responsibilities prescribed by the Collected Rules and

Regulations of the University of Missouri (420.010), "Research Misconduct."

- m. Committee on Issues of Tenure Removal** - The Committee shall conduct hearings in removal cases or in disputed cases involving tenure rights and status as provided for in the Academic Tenure Regulations of the University of Missouri. This committee is referred to as the Campus Faculty Committee on Tenure in the Academic Tenure Regulations (310.050). Grievances by faculty members shall be handled through the Academic Grievances Procedure.
- n. Oversight Committee** - The Committee shall perform the responsibilities prescribed by the Collected Rules and Regulations of the University of Missouri (370.010.C.11), "Academic Grievance Procedure." The role of the Oversight Committee is to monitor the grievance process as neutral observers and provide feedback on the process to the Faculty Senate, the Faculty, and the Provost's and Chancellor's offices.
- o. Ad hoc Committees** - As the need arises, the Senate shall establish or recommend to the Chancellor establishment of ad hoc committees.
Ad hoc Senate Committees shall be established through Senate approval of nominees selected by the Senate Committee on Committees or by nomination from the floor of the Senate. The faculty composition for each ad hoc committee shall be determined by the Senate.
- p. University-Wide and Statewide Committees** - Reports from University-wide and statewide committees may be presented to the Senate. Whenever possible, representatives of the University of Missouri-St. Louis serving on University-wide and/or statewide committees should advise the Senate Steering Committee if a report to the Senate is necessary.

F. UNIVERSITY ASSEMBLY OF THE UNIVERSITY OF MISSOURI-ST. LOUIS
(Hereinafter referred to as Assembly)

- 1. **Membership** - The voting members of the Assembly shall consist of the elected members of the Senate; the President; the Chancellor; the Vice Chancellor for Academic Affairs; the Dean of the Graduate School; the Vice Provost for Student Affairs; student representatives equal in number to one-third of the Faculty members of the Assembly; two members of the adjunct faculty; and three staff members, including the President of the Staff Association. Non-voting members shall consist of vice chancellors and vice provosts not already included, deans of all colleges and schools (whether or not their faculties are represented), the Dean of Libraries, and the President of the Student Government Association.
- 2. **Responsibilities** - The Assembly provides a forum for many of the major stakeholders of the University, including administrators, faculty, staff and students, to work together. The Assembly may exercise those responsibilities of the Faculty (see Section 300.040 B.3) that are delegated by the Faculty as a body.
- 3. **Meetings and Officers** - The Assembly shall meet regularly every other month during the academic year or in special meetings as called by the Steering Committee of the Senate and the Assembly (hereinafter

referred to as the Steering Committee). The Steering Committee shall call a special meeting of the Assembly on request of the Chancellor or of any five members of the Assembly. Proceedings in Assembly meetings shall be in accordance with the rules set forth in the most recent edition of Robert's Rules of Order. A quorum shall consist of a majority of elected representatives.

- a. The elected officers of the Assembly shall be the same as those for the Senate.
 - b. The Chairperson, or in the Chairperson's absence a voting member of the Assembly designated by the Chairperson, shall be the presiding officer at each meeting of the Assembly.
4. **Committees of the Assembly** - All members of the eligible faculty, Administration, and Staff shall be eligible to serve on Assembly committees. Students who satisfy the eligibility requirements for service on the Assembly shall also be eligible to serve on Assembly committees. The standing committees of the Assembly shall be elected each year at the second organizational meeting of the Senate. The Assembly shall establish the following standing committees:
- a. **Administrator Evaluation** - The Committee shall annually conduct an evaluation of administrators on the UM-St. Louis campus.
 - b. **Budget and Planning Committee** - This Committee makes recommendations to the Faculty Senate, the Chancellor and the Vice-Chancellor for Administration and Finance on matters concerning the long-range vision of the campus; plans to fulfill this vision; and budgetary matters as a consequence of the vision. This includes, but is not limited to, significant matters of a budgetary nature, and policies and priorities for strategic action plans. The Committee studies the Campus budget, keeps informed of its preparation and status, and consults with and advises the Chancellor on significant matters pertaining to budgetary affairs.
 - c. **Committee on Recruitment, Admissions, Retention, and Student Financial Aid** - The Committee shall:
 - (1) Monitor processes associated with recruitment, admissions, retention, and student financial aid and facilitate reporting to the Assembly.
 - (2) Recommend policies and procedures to the Assembly, the Dean of Enrollment, the Director of Student Retention Services, and the Director of Student Financial Aid regarding recruitment, admissions, retention, and student financial aid.
 - (3) Facilitate discussion with administrators and students on policies and procedures regarding scholarships, advisement and appeals.
 - ~~d. **Committee on Student Affairs** - The Committee on Student Affairs shall be responsible for recommending and reviewing policy in the areas of non-academic regulations and student services, and for advising the Vice Provost for Student Affairs. The responsibilities of the Committee may be exercised by~~

~~subcommittees established in any of the above areas. Faculty and staff members with administrative responsibilities in these areas shall be members of the subcommittees dealing in those areas. This charge does not contradict nor supersede the explicit charge of any of the other standing committees of the Assembly.~~

~~e. **Committee on Student Publications**—The Committee on Student Publications shall be responsible for recommending and reviewing policy concerning student publications which are directly funded by the University. This charge does not contradict nor supersede the explicit charge of any of the other standing committees of the Assembly.~~

d. **Committee on Student Affairs** - The Committee on Student Affairs shall be responsible for recommending and reviewing policy in the areas of non-academic regulations and student services, such as student organizations and student publications, advising administration on policies related to students, and recommending approval of new student organizations. The responsibilities of the committee may be exercised by subcommittees established in any of the above areas. Faculty and staff members with administrative responsibilities in these areas shall be members of the subcommittees dealing in those areas.

e. **Committee on Physical Facilities, Space, and General Services** - The Committee shall have the general responsibility for recommending to the Assembly policies and procedures in the areas of campus facilities and general services. It shall act in an advisory and fact-finding capacity for the planning of physical facilities, review and report priority matters relating to maintenance, construction, and support services to the Assembly, and review and process complaints and suggestions regarding physical facilities and services.

The Committee shall be responsible for formulating long-range space recommendations including the type and amount of space needed, and priorities. Proposals for a long-term or campus-wide nature will be brought to the Assembly for discussion, debate, and ultimate recommendation to the Chancellor.

Allocation of existing unused space will be recommended to the Chancellor by the Committee and reported to the Assembly.

f. **Committee on Information Technology** – The Committee shall be responsible for general policy issues regarding campus information technology.

g. **Ad hoc Committees** - As the need arises, the Assembly shall establish or recommend to the Chancellor establishment of ad hoc committees. Ad hoc Assembly committees shall be established through Assembly approval of nominees selected by the Senate/Assembly Committee on Committees or by nomination from the floor of the Assembly. The composition for each ad hoc committee shall be determined by the University Assembly.

G. AMENDMENTS

1. Proposed changes to these Bylaws shall be submitted to, or initiated by, the Bylaws and Rules Committee, which will follow the relevant procedures outlined above (D.2.I) and then provide them in written form to the Senate or Assembly as appropriate. The appropriate body shall then recommend passage or rejection of the proposed amendment(s) by majority vote. Upon passage of an amendment by the Senate or Assembly, the Chancellor shall submit the proposed change to the Faculty of the University of Missouri-St. Louis for a vote at the Spring Faculty Meeting. Bylaw changes recommended by the Senate or Assembly shall be adopted by a majority of votes cast by the Faculty. Any amendments or modifications shall be presented by the Chancellor through the President to the Board of Curators for its approval before becoming effective.
2. Senate Operating Rules may be amended by majority vote of the Senate.
3. Assembly Operating Rules may be amended by majority vote of the Assembly.

300.040 Faculty Bylaws of the University of Missouri - St. Louis

Bd. Min 3-19-71; Amended 10-12-73; 2-18-77; 12-15-78; 6-18-82; 2-11-83; 6-24-83; 5-4-84; 5-3-85; 7-29-88; 3-10-89; 6-22-90; 5-3-91; 1-29-92; 5-8-92, 5-6-93; 3-29-94; 3-24-95; 4-25-96; 5-29-97; 10-16-98; 5-27-99; 3-23-00; 9-28-01; 12-01-05; 12-15-06; 06-06-08, 12-10-10; 11-21-13; 4-10-15; 6-26-15; 10-7-16; 6-21-18;

A. **PURPOSE OF GOVERNING PRACTICES** - The purpose of these Bylaws is to establish a body that represents the voice of the Faculty and to establish an effective vehicle for the needs and concerns of the Faculty to be presented for discussion and debate. These Bylaws assume that Faculty may participate in academic decision processes. The right of the Faculty to organize and to carry out the responsibilities and functions delegated to them by the Board of Curators (Board) is recognized in Section 10.030.D.2 of the Collected Rules and Regulations of the University of Missouri.

B. **FACULTY**

1. **Membership** - The Faculty of the University of Missouri-St. Louis shall consist of the President, the Chancellor, tenured and tenure-track faculty, and all full-time, ranked, non-tenure track (NTT) faculty with professorial designation, and others elected by the Faculty. Elected members so designated by the Faculty shall be non-voting members of the Faculty. Campus-wide faculty votes on issues specific to tenure or tenured/tenure track (T/TT) faculty will be restricted to T/TT faculty.
2. **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.
 - b. **Civil Rights** - The constitutional rights of the Faculty members shall be preserved.
 - 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.
 - d. **Notification for Appointment or Changes Thereto** - Faculty members shall be notified of their appointments and workload, or any changes thereto, as much in advance of the beginning of institutional responsibilities as possible (as stated in the Board's Rules and Regulations).
 - e. **Right to be Kept Informed** - The Faculty shall be kept informed of actions and activities of committees and executive officers, and of other occurrences that pertain to the University

of Missouri-St. Louis. When possible, such information shall be made available to the Faculty before being made available to the general public.

3. **Responsibilities** - The Faculty of the University of Missouri-St. Louis shall bear primary responsibility for recommending and implementing educational policy, particularly in areas of curriculum, degree requirements, methods of instruction, research, requirements for admission, student affairs, and faculty status. The Faculty may also make recommendations to the Chancellor and other persons or offices concerning general policy matters affecting the University.
4. **Authority** - The faculty's authority, as delegated by the Board of Curators, is of three types: primary and direct, in which the Faculty has essential decision-making authority; shared, in which the Faculty participates with others; and advisory, in which the Faculty counsels with the person or offices with ultimate decision-making authority. (On those matters requiring multi-campus coordination, the Faculty shall act through its appropriate bodies, [UM System 300.040.B.5.](#))
 - a. **Primary and Direct Authority** - The UMSL faculty has essential decision-making authority in matters directly affecting the educational program of UMSL, including but not limited to:
 - (1) Articulation and maintenance of standards of academic performance--this includes but is not limited to guidelines for appropriate research, service, and scholarships; requirements for graduation; and related matters.
 - (2) Development and approval of courses of instruction and curricula.
 - (3) Development and approval of procedures governing educational support programs on the UMSL campus.
 - (4) Formulation of criteria determining professional standing of faculty--including but not limited to such matters as tenure, promotion, termination, guidelines for responsibility, faculty standing with regard to graduate faculty membership and doctoral dissertation supervision.
 - (5) Determination of an appropriate faculty committee structure.
 - (6) Determination of minimum admission requirements.
 - (7) Selection of awardees for academic scholarships.
 - b. **Shared Authority** - The UMSL faculty has shared authority by which it participates cooperatively with other persons or offices in matters such as:
 - (1) Development and articulation of students' rights and responsibilities.

- (2) Determination of an appropriate academic calendar.
 - (3) Selection of awardees for honorary degrees.
 - (4) Application of criteria affecting professional standing of faculty, such as required professional licensure.
- c. **Advisory Authority** - The UMSL faculty has advisory authority and responsibility with other persons or offices in matters such as:
- (1) Budget and resource allocation.
 - (2) Planning, including capital expenditures and physical facilities.
 - (3) Selection of departmental, divisional, campus, and university-level administrators.
 - (4) Determination of the campus standing committee structure.
 - (5) Development and implementation of general business procedures that facilitate academic program excellence.
 - (6) Use of facilities for program activities.
 - (7) Application of criteria affecting promotion, tenure and termination.
 - (8) Structure of academic departments and units.
- d. **Faculty Delegation of Authority** - The Faculty, recognizing that handling matters through meetings of the Faculty is cumbersome, that attendance at such meetings varies, and that it is often difficult to have complete discussion of issues at such meetings, may delegate its authority to separate schools, colleges, or such other parallel units as may be created from time to time, and to the Faculty Senate within the University of Missouri-St. Louis. The actions of the Senate, in those areas in which they have delegated authority, shall be deemed final unless challenged within 10 days. Such challenge shall require a petition signed by at least twenty-five (25) faculty members from at least two parallel units calling for a review by the Faculty of a particular Senate action.
5. **Meetings** - The Faculty of the University of Missouri-St. Louis shall meet at least twice each year and at such additional times as the President, Chancellor, or the Faculty itself may determine. Upon written request of at least twenty-five (25) members of the Faculty, the Chancellor shall call a meeting within two weeks.

- a. The President, or in the President's absence, the Chancellor, or in the Chancellor's absence, a member of the Faculty designated by the Chancellor shall preside at each faculty meeting.
 - b. A quorum shall consist of at least ten (10) percent of the voting members of the Faculty representing at least two parallel units when business described in the published agenda is being considered. When other items of business not described in the published agenda are being considered, a quorum shall consist of at least fifty (50) percent of the voting members representing at least two parallel units.
 - c. Notice of all meetings of the Faculty shall be sent to each member of the Faculty at least five school days prior to the meeting. Such notice includes the agenda for the meeting.
 - d. Proceedings in Faculty meetings shall be in accordance with the rules set forth in the most recent edition of Robert's Rules of Order except where otherwise provided for in these Bylaws or the regulations of the University of Missouri-St. Louis.
 - e. Official minutes shall be kept and made available to each member of the Faculty within a week of the meeting.
6. **The Intercampus Faculty Council** - Three campus representatives will serve on the Intercampus Faculty Council. Two of the three shall be elected by the University of Missouri-St. Louis Faculty to serve three-year staggered terms so that no more than one of the two elected members will be replaced or reelected in any year. The Senate Chairperson shall serve as the third member of the Intercampus Faculty Council.
7. **Campus Standing Committees** -
- a. **Grievance Resolution Panel (GRP)** - The Panel shall perform the responsibilities prescribed by the Collected Rules and Regulations of the University of Missouri (370.010.C.1), "Academic Grievance Procedure." The role of the GRP is to address grievances brought by faculty members. The panel should consist of a senior administrator appointed by the Chancellor and two tenured faculty members, and two alternate faculty members. The faculty members will be chosen by the Faculty Senate after consultation with the Chancellor or the Chancellor's designee. Members shall serve two-year staggered renewable terms.
 - b. **Degree Revocation Committee** - In accordance with 220.025, this committee shall have jurisdiction to consider any case in which revocation of a degree, diploma and/or certificate is proposed. The Committee shall be called the Campus Degree Revocation Committee. Four (4) members of the Campus Degree Revocation Committee and an alternate to serve in the event one of the four (4) members cannot serve, shall be appointed annually by the Chancellor after consultation with the Faculty Council or Faculty Senate. Each of the members of the Committee and the alternate shall be a faculty member on continuous appointment at the rank of Professor or Associate Professor. In the event that the Chancellor approves the initiation of the procedures for revocation of a degree, diploma

and/or certificate, the Chancellor shall appoint a fifth member of the Campus Degree Revocation Committee, who shall also be a faculty member at one of the campuses of the University of Missouri System on continuous appointment at the rank of Associate Professor or Professor and who shall be from the same discipline or a related discipline as the department faculty who recommended the award of the degree, diploma and/or certificate, but who shall not be a faculty member in such department. The Campus Degree Revocation Committee shall elect a Chair from among its five (5) members.

C. **STUDENT BODY**

1. **Membership** - The student body of the University of Missouri-St. Louis shall consist of all persons who are officially enrolled as regular full-time or part-time students in the University of Missouri-St. Louis.
2. **Responsibilities**- The student body shall have the responsibility to participate in the recommending and implementing of educational policy, particularly in the areas of academic and student affairs. The student body may, through its official representatives, make recommendation to the Vice Provost for Student Affairs or the Chancellor concerning general policy matters affecting the University of Missouri-St. Louis.

D. **STAFF**

1. **Membership** - Non-academic staff members participate in shared governance through The UMSL Staff Association, whose membership includes all benefits eligible administrative, service and support staff of the University of Missouri-St. Louis.
2. **Responsibilities** - The staff of the University of Missouri-St. Louis, through its official representatives, shall have the responsibility of considering methods and means by which employment conditions may be improved and the operating efficiency of the University of Missouri-St. Louis increased; receiving and considering matters concerning working conditions; making such recommendations that it deems appropriate, and communicating problems of mutual concern to the University of Missouri-St. Louis administration.

E. **FACULTY SENATE OF THE UNIVERSITY OF MISSOURI-ST. LOUIS**

(Hereinafter referred to as Senate)

1. **Responsibilities** - The Faculty Senate is the legislative and policy-making body of the Faculty. It carries out the responsibilities of the Faculty (see Section 300.040 B.3) not reserved by the Faculty as a body or specifically delegated to the University Assembly (Section 300.040 E). The Senate, as a representative faculty voice, shall advise the chancellor and the UMSL faculty on questions of UMSL policy submitted by either to the Senate. It may also initiate recommendations concerning changes in UMSL policy for consideration and appropriate action by the chancellor or UMSL faculty.
2. **Delegation of Authority**
 - a. Since the authority of the Senate is delegated to it by the Faculty, it is subject to over-rule by the Faculty.
 - b. All authority delegated by the Senate to committees or individuals is subject to revocation by the Senate.

3. **Committees of the Senate** - In their deliberations the committees shall, when appropriate, consult with the Chancellor or other administrative officers; with representatives of the separate schools, colleges, and other parallel units which may be created from time to time; with departments and concerned faculty; and with students and student organizations. Committee recommendations shall be made to the Senate or to the appropriate administrative officer.

The Senate shall establish the following standing committees:

- a. **Committee on Committees** - The Committee on Committees shall be responsible for nominating for election all faculty members of the committees of the Senate and the University Assembly. The chair of the Committee shall be a faculty Senator.
- b. **Steering Committee of the Faculty Senate and University Assembly** (hereinafter referred to as the Steering Committee) - The Steering Committee shall consist of the Senate Chairperson, who shall serve as Chairperson of the Steering Committee, the Chancellor, the Secretary of the Senate, and three elected Senators. Chairs of Senate and Assembly Committees will be asked to attend Steering Committee meetings when their committees have items for the agenda of the next Senate or Assembly meeting. It shall be the responsibility of the Steering Committee:

(1) To call regular and special meetings of the Senate and Assembly and to prepare the agenda prior to each meeting.

(2) To coordinate the work and activities of the Senate and Assembly and of Senate and Assembly committees.

(3) To meet regularly and frequently with the Chancellor to discuss matters of policy concerning the University of Missouri-St. Louis.

(4) As an agency of the Senate and Assembly, to maintain avenues of communication with the Faculty and student body of the University of Missouri-St. Louis, with campus administrative officers and the governing board of the University.

(5) To establish all guidelines for elections for membership in the Senate and Assembly and to supervise said elections.

- c. **Committee on Curriculum and Instruction** - The Committee shall have general responsibility for recommending to the Senate policies and procedures in the area of curriculum and instruction. It shall also recommend policies regarding graduation requirements, special honors programs, and academic publications such as catalogs and schedules of courses.

(1) The Committee also shall regularly recommend to the Senate the calendar of the University. It shall recommend policies relating to schedules of classes and final examination schedules. Departures from calendars and examination schedules will be recommended by this Committee.

(2) New degrees and degree programs proposed by the separate

schools, colleges, and such other parallel units as may be created from time to time, shall be submitted by the appropriate dean or equivalent to the Committee for recommendation to the Senate.

(3) Curricular additions and changes will be sent by the appropriate dean or equivalent to the Committee to be examined for overlap and duplication. In the absence of overlap and/or duplication, such proposals will be reported to the Senate.

- d. **Committee on Appointments, Tenure, and Promotion** - The Committee shall consist of full professors holding a tenure appointment. There shall be one member on the Committee elected from each of the parallel units. There shall also be two members elected at large from the campus. The Committee shall elect a chairperson from among its members.

(1) Initial academic appointments to the University of Missouri-St. Louis recommended as tenure appointments shall be submitted by the Department or Division concerned through the Dean or equivalent of the appropriate school, college, or other parallel unit. The Dean or equivalent shall forward the Department's or Division's recommendations with the Dean's or equivalent's own recommendations for approval or disapproval. After consideration, the Committee on Appointments, Tenure, and Promotion shall submit its recommendations to the Chancellor.

(2) Tenure recommendations for Faculty holding term appointments, and recommendations for promotion above the rank of assistant professor, shall be made in accordance with the procedure outlined above.

(3) It shall be the responsibility of this Committee together with the appropriate administrative officers, to establish, develop, and maintain in all areas of the University the highest standards of faculty quality.

- e. **Committee on Promotion of Non-Tenure Track Faculty** - The Committee shall consist of eligible faculty holding the rank of Teaching Professor, Clinical Professor, Extension Professor, or Research Professor and at least one full professor. There shall be one member on the Committee elected from each of the parallel units. There shall also be two faculty members elected at large from the campus. The Committee shall elect a chairperson from among its members.

(1) The Dean or equivalent shall forward the Department's or Division's recommendations with the Dean's (or equivalent) own recommendation for approval or disapproval of promotion to the Committee. After consideration, the Committee shall submit its recommendation to the Chancellor.

(2) Promotion recommendations will be made in accordance with procedures determined by the Committee, consistent with the *Collected Rules and Regulations of the University of Missouri*.

(3) The committee shall use standards created by the academic units and shall not create additional campus-wide standards.

(4) It shall be the responsibility of this Committee, together with the appropriate administrative officers, to establish, develop, and maintain in all areas of the University the highest standards of faculty quality.

- f. **Committee on Research** - The Committee shall consist of two panels, one meeting in the fall semester and the other meeting in the spring semester.

(1) The Fall and Spring panels shall meet in the fall to elect a committee chairperson for each panel, to clarify program objectives, to coordinate deadlines, and to set guidelines for research proposals and awards. Thereafter, the panels shall meet during their semester of service to advise and make recommendations on:

(a) Competitions for internal grant funds, including financial support during the summer and during research leaves, support for research assistants, grants for equipment and supplies, and funds for travel to research locations, and

(b) Nominations for campus, University, and external research awards that are available campus-wide.

(2) Each panel shall also meet after completing its work in order to review procedures and develop recommendations for the following year's committee to consider.

(3) The committee chairperson shall vote only as a member of the panel to which he/she has been elected.

(4) Panel members are ineligible to receive funding and awards under the jurisdiction of the panel on which they serve during the period of their service on the panel. The committee chairperson is ineligible to receive funding and awards under the Committee's jurisdiction during the entire year of his/her service as chairperson.

- g. **Committee on Research and Libraries** - The Research and Libraries Committee shall be responsible for recommending and reviewing issues and policy in the areas of research, research administration, and libraries, including library budgetary issues. It shall advise the Vice Chancellor for Research and the Dean of Libraries, serve as a liaison between the libraries and the university research community via the Senate, and consider any matter referred by the Senate, the Dean of Libraries, the Vice Chancellor for Research, or any member of the campus community.

- h. **Committee on Faculty Teaching and Service Awards** - The Committee shall formulate and publish guidelines for campus-wide teaching and service awards; solicit nominations for these awards as well as University and external teaching and service awards; and recommend candidates to the Chancellor. Members of the Committee are ineligible to receive awards under the Committee's jurisdiction during the entire period of their service on the Committee.
- i. **Committee on the Assessment of Educational Outcomes** - The Committee shall have the general responsibility of making recommendations concerning policies in the area of assessment of educational outcomes and related matters. The Committee shall also regularly review and advise on policies and procedures in this area and recommend changes when appropriate.
- j. **Academic Advisory Committee** - The Committee shall have the general responsibility of making recommendations to the Vice Chancellor for Academic Affairs on academic issues affecting the University, including recommending general policies and procedures governing the evaluation of academic instruction and advisement.
- k. **Committee on Bylaws and Rules for the Faculty Senate and University Assembly** - The Committee shall:
 - (1) Receive all proposals for changes to the Bylaws and the Collected Rules and Regulations, review proposed changes to the Bylaws and the Collected Rules and Regulations, and initiate the process of Bylaws changes as smoothly and infrequently as possible.
 - (2) Recommend interpretation of the Bylaws and Collected Rules and Regulations upon the written request of the Senate Chairperson, and report its conclusions to the Senate.
 - (3) Compile and maintain a current set of Senate and Assembly Operating Rules, consider changes in Operating Rules, and report recommendations regarding Operating Rules to the Senate.
- l. **Committee on Research Misconduct** - The Committee shall perform the responsibilities prescribed by the Collected Rules and Regulations of the University of Missouri (420.010), "Research Misconduct."
- m. **Committee on Issues of Tenure Removal** - The Committee shall conduct hearings in removal cases or in disputed cases involving tenure rights and status as provided for in the Academic Tenure Regulations of the University of Missouri. This committee is referred to as the Campus Faculty Committee on Tenure in the Academic Tenure Regulations (310.050). Grievances by faculty members shall be handled through the Academic Grievances Procedure.
- n. **Oversight Committee** - The Committee shall perform the responsibilities prescribed by the Collected Rules and Regulations of the University of Missouri (370.010.C.11), "Academic Grievance Procedure." The role of the Oversight Committee is to monitor the grievance process as neutral observers and provide

feedback on the process to the Faculty Senate, the Faculty, and the Provost's and Chancellor's offices.

- o. **Ad hoc Committees** - As the need arises, the Senate shall establish or recommend to the Chancellor establishment of ad hoc committees.

Ad hoc Senate Committees shall be established through Senate approval of nominees selected by the Senate Committee on Committees or by nomination from the floor of the Senate. The faculty composition for each ad hoc committee shall be determined by the Senate.

- p. **University-Wide and Statewide Committees** - Reports from University-wide and statewide committees may be presented to the Senate. Whenever possible, representatives of the University of Missouri-St. Louis serving on University-wide and/or statewide committees should advise the Senate Steering Committee if a report to the Senate is necessary.

F. **UNIVERSITY ASSEMBLY OF THE UNIVERSITY OF MISSOURI-ST. LOUIS**
(Hereinafter referred to as Assembly)

1. **Membership** - The voting members of the Assembly shall consist of the elected members of the Senate; the President; the Chancellor; the Vice Chancellor for Academic Affairs; the Dean of the Graduate School; the Vice Provost for Student Affairs; student representatives equal in number to one-third of the Faculty members of the Assembly; two members of the adjunct faculty; and three staff members, including the President of the Staff Association. Non-voting members shall consist of vice chancellors and vice provosts not already included, deans of all colleges and schools (whether or not their faculties are represented), the Dean of Libraries, and the President of the Student Government Association.
2. **Responsibilities** - The Assembly provides a forum for many of the major stakeholders of the University, including administrators, faculty, staff and students, to work together. The Assembly may exercise those responsibilities of the Faculty (see Section 300.040 B.3) that are delegated by the Faculty as a body.
3. **Meetings and Officers** - The Assembly shall meet regularly every other month during the academic year or in special meetings as called by the Steering Committee of the Senate and the Assembly (hereinafter referred to as the Steering Committee). The Steering Committee shall call a special meeting of the Assembly on request of the Chancellor or of any five members of the Assembly. Proceedings in Assembly meetings shall be in accordance with the rules set forth in the most recent edition of Robert's Rules of Order. A quorum shall consist of a majority of elected representatives.
 - a. The elected officers of the Assembly shall be the same as those for the Senate.
 - b. The Chairperson, or in the Chairperson's absence a voting member of the Assembly designated by the Chairperson, shall be the presiding officer at each meeting of the Assembly.
4. **Committees of the Assembly** - All members of the eligible faculty, Administration, and Staff shall be eligible to serve on Assembly committees. Students who satisfy the eligibility requirements for

service on the Assembly shall also be eligible to serve on Assembly committees. The standing committees of the Assembly shall be elected each year at the second organizational meeting of the Senate.

The Assembly shall establish the following standing committees:

- a. **Administrator Evaluation** - The Committee shall annually conduct an evaluation of administrators on the UM-St. Louis campus.
- b. **Budget and Planning Committee** - This Committee makes recommendations to the Faculty Senate, the Chancellor and the Vice-Chancellor for Administration and Finance on matters concerning the long-range vision of the campus; plans to fulfill this vision; and budgetary matters as a consequence of the vision. This includes, but is not limited to, significant matters of a budgetary nature, and policies and priorities for strategic action plans. The Committee studies the Campus budget, keeps informed of its preparation and status, and consults with and advises the Chancellor on significant matters pertaining to budgetary affairs.

- c. **Committee on Recruitment, Admissions, Retention, and Student Financial Aid** - The Committee shall:

- (1) Monitor processes associated with recruitment, admissions, retention, and student financial aid and facilitate reporting to the Assembly.

- (2) Recommend policies and procedures to the Assembly, the Dean of Enrollment, the Director of Student Retention Services, and the Director of Student Financial Aid regarding recruitment, admissions, retention, and student financial aid.

- (3) Facilitate discussion with administrators and students on policies and procedures regarding scholarships, advisement and appeals.

- d. **Committee on Student Affairs** - The Committee on Student Affairs shall be responsible for recommending and reviewing policy in the areas of non-academic regulations and student services, such as student organizations and student publications, advising administration on policies related to students, and recommending approval of new student organizations. The responsibilities of the committee may be exercised by subcommittees established in any of the above areas. Faculty and staff members with administrative responsibilities in these areas shall be members of the subcommittees dealing in those areas.

- e. **Committee on Physical Facilities, Space, and General Services** - The Committee shall have the general responsibility for recommending to the Assembly policies and procedures in the areas of campus facilities and general services. It shall act in an advisory and fact-finding capacity for the planning of physical facilities, review and report priority matters relating to maintenance, construction, and support services to the Assembly, and review and process complaints and suggestions regarding physical facilities and services.

The Committee shall be responsible for formulating long-range

space recommendations including the type and amount of space needed, and priorities. Proposals for a long-term or campus-wide nature will be brought to the Assembly for discussion, debate, and ultimate recommendation to the Chancellor.

Allocation of existing unused space will be recommended to the Chancellor by the Committee and reported to the Assembly.

f. **Committee on Information Technology** – The Committee shall be responsible for general policy issues regarding campus information technology.

g. **Ad hoc Committees** - As the need arises, the Assembly shall establish or recommend to the Chancellor establishment of ad hoc committees. Ad hoc Assembly committees shall be established through Assembly approval of nominees selected by the Senate/Assembly Committee on Committees or by nomination from the floor of the Assembly. The composition for each ad hoc committee shall be determined by the University Assembly.

G. **AMENDMENTS**

1. Proposed changes to these Bylaws shall be submitted to, or initiated by, the Bylaws and Rules Committee, which will follow the relevant procedures outlined above (D.2.I) and then provide them in written form to the Senate or Assembly as appropriate. The appropriate body shall then recommend passage or rejection of the proposed amendment(s) by majority vote. Upon passage of an amendment by the Senate or Assembly, the Chancellor shall submit the proposed change to the Faculty of the University of Missouri-St. Louis for a vote at the Spring Faculty Meeting. Bylaw changes recommended by the Senate or Assembly shall be adopted by a majority of votes cast by the Faculty. Any amendments or modifications shall be presented by the Chancellor through the President to the Board of Curators for its approval before becoming effective.
2. Senate Operating Rules may be amended by majority vote of the Senate.
3. Assembly Operating Rules may be amended by majority vote of the Assembly.

Amendments to UMKC School of Medicine Standards of Professional Conduct and Honor Council Procedures

Background:

Collected Rules and Regulations, section 200.020.E.7 require the review and approval of the standards by the Board of Curators. The University of Missouri Kansas City's policy was first introduced in 1994 and includes both actual standards and the procedures followed by Honor Council. UMKC recommends changes to their Standards of Professional Conduct and Honor Council Procedures. The revisions address the existence of social media platforms and their potential role in unprofessional behavior and updated the means for communication between school and students, consistency of language etc..

This recommendation was vetted through UMKC Chancellor, UMKC Provost, UMKC Student Affairs, UMKC School of Medicine faculty, staff and students and approved by General Counsel's office.

No. 4

Recommended Action - Revised School of Medicine Standards of Professional Conduct and Honor Council Procedures – University of Missouri – Kansas City

It was recommended by Chancellor Agrawal, endorsed by UM System President and MU Chancellor 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 revisions to the UMKC School of Medicine Standards of Professional Conduct and Honor Council Procedures be approved as attached.

Roll call vote of the Board:	YES	NO
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Curator Brncic

Curator Chatman

Curator Graham

Curator Hoberock

Curator Layman

Curator Snowden

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.



University of Missouri-Kansas City School of Medicine Standards of Professional Conduct and Honor Council Procedures

STANDARDS OF PROFESSIONAL CONDUCT

Approved by the University of Missouri Board of Curators:- December 1994, revised January 31, 2013 and updated December 2014

I. Preamble

~~Patient-Health~~ care professionals are characterized ~~by-by:~~ 1) a prolonged specialized training in a body of knowledge and skills; 2) ethical principles; 3) a service orientation; and 4) judgment~~—~~. These professions determine their own standards of education, training, licensure, and practice~~,~~ and have long subscribed to a body of ethical statements developed primarily for the benefit of the patient~~—~~. As a potential future member of these professions, a student must recognize responsibility and an obligation not only to patients, but also to society, other health ~~care~~ professionals, and self to behave in a manner compatible with the ~~medical-health care~~ profession's standards of conduct.

One of the goals of a medical school is to educate a student during the transition to a professional life~~—~~. The University of Missouri-Kansas City ("~~UMKC~~") School of Medicine ~~has~~ an obligation to evaluate our students pursuing the M.D. and other ~~patient care health graduate health care professional professionals related~~ degrees administered by the School of Medicine as thoroughly as possible for their cognitive abilities, their academic and professional knowledge and skills, their integrity, and their suitability for the practice of ~~medicine their health care professions—~~. Accordingly, the Standards of Professional Conduct detailed in this document have been developed to guide the pre-professional behavior of students in ~~patient care health care professional professionals~~ degree programs of ~~the University of Missouri-Kansas-UMKC City~~ School of Medicine, and to prepare the students to meet the ethical standards of these ~~medical health care~~ professions.

All students in the UMKC School of Medicine, including students enrolled in either the M.D. or graduate health-care professional professionals programs involving direct patient care, are subject to the jurisdiction of the Standards of Professional Conduct and Honor Council Procedures for Violations of the Standards of Professional Conduct upon enrollment—. The presentation of these documents shall be an integral part of the orientation of newly accepted students at UMKC School of Medicine.

II. UMKC School of Medicine Standards of Professional Conduct

A. Professional Integrity

1. Honesty

A student shall deal honestly with people including, but not limited to, colleagues, instructors, representatives of the University, patients, attending physicians, and other members of the health care team~~—~~. Students are expected to demonstrate honesty and integrity in all aspects of their interactions~~s~~ with patients and staff — particularly in assuring accuracy and completeness of their ~~part-of documentation in the~~ medical records~~s—~~. The student shall be willing to admit errors and must not mislead others or promote himself/herself at the patient's expense~~—~~. ~~The~~

~~student~~Students shall strive to report, by utilizing the Honor Council Procedures for Violations of the Standards of Professional Conduct, those students ~~deficient in character or competence, or who engage in fraud or deception who violate these Standards of Professional Conduct ("Standards").~~

The basic principle underlying all research is ~~honesty~~— Scientists and students who participate in research have a responsibility to provide research results of the highest quality; to gather facts meticulously; to keep impeccable records of work done; to interpret results realistically, not forcing them into preconceived molds or models; and to report new knowledge through appropriate channels— Co-authors of research reports must be sufficiently acquainted with the work of their co-workers ~~that so~~ they can personally vouch for the integrity of the study and validity of the findings, and must have been active in the research itself.

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. The instructor shall also report the alleged academic dishonesty to the Chair of the Honor Council.

Examples of academic dishonesty include, but are not limited to, the following:

Cheating — 1) use of any unauthorized ~~assistance~~ assistance including, but not limited to, notes, textbooks, unauthorized electronic devices or prohibited internet resources, in taking quizzes, tests, or examinations; 2) dependence upon the aid of sources beyond those authorized by the instructor in writing papers, preparing reports, solving problems, or carrying out other assignments; ~~or~~ 3) acquisition or possession without permission of tests or other academic material belonging to a member of the University faculty or staff; 4) in any way giving assistance to others who are participating in any of the three preceding types of behavior; ~~or,~~ 5) falsifying attendance records or other official documents; or 6) submitting the same paper, project, or document for a grade or credit in multiple courses.

Plagiarism — 1) use by paraphrase or direct quotation of the published or unpublished work of another person without fully and properly crediting the author with footnotes, citations or bibliographical reference; 2) unacknowledged use of materials prepared by another person or agency engaged in the selling of term papers or other academic materials; or 3) unacknowledged use of original work/material that has been produced through collaboration with others without release in writing from collaborators— The detection may involve the use of commercially available software.

Sabotage — unauthorized interference with, modification of, or destruction of the work or intellectual property of another member of the University community.

Examples of dishonesty related to clinical practice include, but are not limited to, the following:

Falsification of Patient's Medical Record — writing progress notes regarding the patient's status that are false; including, but not limited to, clinical observations or results in the patient's chart when the student has not seen or evaluated the patient, or using incorrect times of data entry.

Falsification of Patient's Medical Information — reporting medical information such as physical examination findings, lab values, test results, and any other relevant patient information to other students, residents, attending physicians, preceptor, the patient, the patient's family, or other relevant medical personnel that has been fabricated by the student.

2. Responsibility

A student must acquire competencies with the appropriate concepts, knowledge, and skills which the faculty determines to be essential— These competencies shall be utilized to care for the sick and to promote the health and welfare of society— A

student shall recognize a responsibility to participate in activities contributing to an improved community.

Students in the care of patients must not be harmful, dangerous, or negligent to the mental or physical health of a patient or the public. Negligent means the failure to use that degree of skill and learning ordinarily used under the same or similar circumstances by other students.

Students must pay tuition and other University fees, such as the medical equipment or disability fees, on time. Students must complete required forms of evaluation, degree forms, examination applications, etc. on time.

Students must be familiar with and follow the rules and regulations of the UMKC School of Medicine, the University, and the applicable related health care professional organizations. Students shall be familiar with and comply with the policies and procedures of clinical sites where they are assigned.

While the University and UMKC School of Medicine are committed to the rights of students to free expression, they also have the right to restrict certain conduct which violates the law or University policy, or otherwise directly interferes with the functioning of the University or UMKC School of Medicine and/or its clinical affiliates. Students are expected to be knowledgeable of and comply with the limits on free expression as set forth in the University "Commitment to Free Expression," available at <https://freespeech.missouri.edu/commitment-to-free-expression/>.

Students shall be responsible in their use of personal and professional social media accounts. "Social media" includes any electronic communication or networking using an online service, platform, or site to share information, ideas, personal messages, images, photographs, or other content including, but not limited to, emails, Facebook, Twitter, LinkedIn, YouTube, Snapchat, Instagram, GROUPME, and TikTok, Reddit, Tumblr, and blogs. Students shall use appropriate judgment and be respectful and professional in all social media communications. Information shall be truthful and not misleading or deceptive. Content on social media is considered to be published material and therefore must comply with Federal copyright laws.

B. ~~Medical~~ Professional Behavior

1. ~~Nondiscrimination~~ Prohibition Against Discrimination, Harassment, and Sexual Misconduct

A student shall be dedicated to providing supervised, competent ~~medical health care services~~ with compassion, respect for human dignity, and without discrimination.

It is against University regulations to discriminate on the basis of race, color, religion, pregnancy, sex, sexual orientation, gender identity, gender expression, ancestry, national origin, age, disability, protected veteran status, and status as a Vietnam era veteran, or any other status protected by applicable State or Federal law. The University has an AIDS policy statement consistent with state Missouri law that prohibits discrimination against persons with AIDS, AIDS Related Complex ("ARC"), or who are HIV positive.

Students shall not harass, discriminate against, or engage in sexual harassment, sexual discrimination, or sexual misconduct with any other individual, either in person or on social media.

2. Representation

A student shall accurately represent himself/herself to others including, but not limited to, colleagues, instructors, representatives of the University, patients, attending physicians, and other members of the health care team.

Examples of misrepresentation include, but are not limited to, the following:

- a. A student shall never use the title of “Doctor” or M.D., as this clearly misrepresents the student’s position, knowledge, and authority.
- b. Use of fraud, deception, lies, or bribery in securing any certificate of registration or authority, diploma, permit or license issued, or in obtaining permission to take any examinations.
- c. Impersonation of any person holding a certificate of registration or authority, permit, license or allowing any person to use his/her certificate of registration or authority, permit, license, or diploma from any school.
- d. Forgery, alteration, or misuse of a patient's medical records or knowingly furnishing false information to the ~~medical health care~~ team and/or professional organizations.

Representations on social media shall accurately reflect that any opinions voiced are those of the student and the student is not speaking on behalf of the University, or UMKC School of Medicine ~~and/or its clinical affiliates~~.

3. Confidentiality and Privacy

A student shall respect the rights of patients, colleagues, and other health ~~care~~ professionals, and shall safeguard ~~the confidentiality and privacy of patient confidences, communications and protected health information~~ within the constraints of the law. The patient’s right to ~~confidentiality-privacy~~ in regard to his/her medical record, which includes ~~confidentiality-privacy~~ of personal and social history, is a fundamental tenet to ~~medical health~~ care.

The discussion in public of the problems of an identified patient, without the patient’s permission, by ~~professional violates students violates~~ patient confidentiality ~~and privacy laws~~ and is unethical. Under no circumstances can any medical record be removed from ~~the an~~ institution. ~~Photocopying~~ Copying of the entire ~~medical~~ record is never permitted for presentations or rounds; students are permitted to extract information, but not copy “wholesale” parts of ~~the a chart~~ medical record. ~~Names and any other identifiers~~ of patients should be omitted from any documents used for these presentations.

Any protected health information of patients, or any patient identifiers, hospital room numbers, or photographs of patients or their hospital or clinic rooms shall not be posted on social media.

4. Disclosures of Information

While the student is a member of the ~~medical health care~~ team and under faculty supervision, a student shall continue to study, apply, and advance scientific knowledge, make relevant information available to patients, colleagues, and the public, obtain consultation, and use the talents of other health ~~care~~ professionals when indicated.

Sharing of ~~medical health~~ information appropriately with a patient and colleagues involved in the care of the patient is a fundamental ethical requirement. The patient must be well informed to make health care decisions and work intelligently in partnership with the ~~medical health care~~ team. Information that the patient needs for decision making shall be presented in terms the patient can understand. If, for some reason, the patient is unable to comprehend ~~information~~, there shall be disclosure to the patient’s authorized representative. ~~Failure of a student to share medical health information relevant to a patient with the patient and colleagues involved in the care of the patient is unethical. Providing inaccurate health information with these individuals is also unacceptable.~~

Students are prohibited from communicating with patients and/or their authorized representatives or family members on social media. Any conversations regarding specific patient health care conditions, treatments, or particular processes in a clinical setting can be mutually beneficial for the professional community; however, these must only occur without identifying patients and when using professional social media sites that maintain the privacy and security of communications with registered users.

~~Failure of a student to share medical information relevant to a patient with the patient and colleague involved in the care of the patient is unethical. Providing inaccurate information with these individuals is also unacceptable.~~

5. Assessment of Personal Competence (Self-Evaluation)

Students shall seek consultation and supervision whenever their ability to play their role in the care for a patient is inadequate because of lack of knowledge or experience.

Students are expected to respond to constructive criticism by appropriate modification of behavior.

It is unacceptable for a student to attempt procedures or to prescribe therapies without supervision.

6. Professional Demeanor, Appearance, and Communications

The student is expected to be thoughtful and professional when interacting with patients and their families, attending physicians, preceptors, supervising residents, and other students, and whenever his/her behavior may influence adversely the judgments of others about ~~the professional school~~ UMKC School of Medicine and/or its clinical affiliates, or the University. Students shall comply with the code of ethics for their applicable health care profession both on campus and at clinical affiliates, by conduct and speech, and when using social media.

Students shall maintain a neat and clean appearance, and dress in attire that is generally accepted as professional by the patient populations served and in compliance with any policies of clinical affiliates.

Inappropriate behaviors may include, but ~~is are~~ not limited to, either in person or on social media: (1) the use of offensive, vulgar, lewd, obscene, profane, or unprofessional language, gestures, images, or videos; or (2) cyberbullying, gestures, or remarks. Any conduct or speech that materially and substantially interferes with the educational process of other students or violates the rights of others is prohibited.

Attempting, directly or indirectly, by way of intimidation, coercion or deception, to obtain or retain a patient or discourage the use of a second opinion or consultation is not appropriate.

7. Informed Consent

Students are to understand the ~~physician's~~ obligations of health care professionals to obtain informed consent from patients, but students are not responsible for obtaining consent ~~it for a physician~~. Simply, it is the physician's responsibility of health care professionals to ensure that the patient or his/her surrogate be appropriately informed as to the nature of the patient's medical condition, the objectives of proposed treatments, treatment alternatives, and risks involved. The patient's or surrogate's ~~concurrent~~ consent must be obtained without coercion.

8. Avoidance of Conflicts of Interests

If a conflict of interest arises, in which the student has competing interests or loyalties that could potentially undermine their ability to act in an impartial manner, the student will disclose this information as soon as possible through the appropriate channels, the moral principle is clear — the welfare of the patient must be, at all times, paramount. For example, gifts, hospitality, or subsidies offered by manufacturers and distributors of medical and pharmaceutical equipment/goods shall not be accepted if acceptance would influence the objectivity of clinical judgment.

9. Appropriate Conduct with Patients

The student will demonstrate respect for others, act without discrimination, treat patients politely and considerately, respect their views, respect their privacy and right to confidentiality. The student will communicate effectively and appropriately, and will understand, accept, and agree to be bound by the principle of confidentiality of patient data, and also of information concerning staff and fellow students. The

student will not engage in romantic, sexual, or other non-professional behaviors with a patient — even upon the apparent request of a patient — while the student is involved with the patient's care—Any involvement or communications with former patients must meet the professional standards of conduct of the student, and shall not breach the patient's right of privacy of protected health information.

10. **Awareness of Impairments**

The student will not use alcohol or drugs or practice while under a physical or mental health condition if such in ways that impairs his/her ability to perform the work of the profession or results in compromised patient care—It is also the responsibility of every student to strive to protect the public from an impaired colleague and to assist that colleague whose capability is impaired because of alcohol or drug use, or a physical or mental health condition. Students are strongly encouraged to self-report and/or seek assistance if they are aware of any potential self-impairment. Additionally, any student who displays signs of impairment should be reported by a peer or UMKC School of Medicine faculty or staff member.- Any retaliation against a student for good faith reporting of a peer suspected of impairment shall constitute a violation of professional conduct.

11. **Criticism of Civility with Colleagues**

Professional relations among all members of the medical community shall be marked by civility—Scholarly contributions shall be acknowledged and each person shall recognize and facilitate the contributions of others to this community; slanderous comments and acts are not acceptable—Students shall deal with professional, staff, and peer members of the health care team in a considerate manner and with a spirit of cooperation.

It is unethical and harmful for a student to disparage, in person or on social media, without sufficient evidence, the professional competence, knowledge, qualifications, or services of a colleague to anyone—It is also unethical to imply without reliable evidence — by word, gesture, or deed — that a patient has been poorly managed or mistreated by a colleague.

12. **Teaching Duty To Teach**

The word “doctor” (for the Latin “docere” — to teach) implies a responsibility to share knowledge and information with colleagues and patients.—It is incumbent upon these students entering this profession health care professions to teach other students what they know of the science, art, and ethics of medicine their professions. It also includes communicating clearly and teaching patients so that they are properly prepared to participate in their own care and in the maintenance of their health.

~~III.—The University of Missouri~~ **Student Conduct Code Standard of Conduct for Students**
~~IV.—III.—~~

In addition to the conduct detailed in the preceding sections above, a student is subject to the University of Missouri Student Conduct Code Standard of Conduct for Students, as administered by the UMKC Office of the Vice Chancellor for Student Affairs Student Conduct and Civility in the Division of Student Affairs, except for provisions dealing with academic dishonesty, in Section 200.010-B-1. of the Collected Rules and Regulations of the University (http://www.umssystem.edu/ums/rules/collected_rules/programs/ch200/200.010_standard_of_conduct)—Students in the UMKC School of Medicine may be subject to discipline by either the UMKC Office of Student Conduct and Civility or the Honor Council, or by the Title IX Coordinator in the Office of Affirmative Action for allegations related to sexual discrimination.—A student will not be subject to discipline for the same violation by multiple entities—The Honor Council, and the Office of Student Conduct and Civility, and the Title IX Office Office of Affirmative Action may share information about possible violations to determine which entity will handle the matter, and about violations that have been substantiated.—

As of February 7, 2017, such conduct falls into the following categories, and is provided for the convenience of patient care professional students at the University of Missouri School of Medicine: for which students are subject to sanctions falls into the following categories:

Commented [FS1]: The following changes reflect the current CRR.

1. **Academic dishonesty, ~~such including, but not limited to,~~ as cheating, plagiarism, 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—**The instructor shall report the alleged academic dishonesty to the Primary Administrative Officer—~~(see section II.A.1. Honesty above)~~
2. **Forgery, alteration, or misuse of University documents, records or identification, or knowingly furnishing false information to the University.**
3. **Obstruction or disruption of teaching, research, administration, conduct proceedings, or other University activities, including its public service functions on or off campus.**
4. **Physical abuse or other conduct which threatens or endangers the health or safety of any person.**
5. **Stalking** another by following or engaging in a course of conduct with no legitimate purpose that puts another person reasonably in fear for ~~his or her~~one's safety or would cause a reasonable person under the circumstances to be frightened, intimidated or emotionally distressed.
6. **Violation of the University's Equal Employment/Education Opportunity Policy and Statement of Nondiscrimination** ~~located at~~in Section ~~320.040600.010~~ of the Collected Rules and Regulations—~~Discrimination is prohibited on the basis of race, color, national origin, ancestry, religion, sex, pregnancy, sexual orientation, gender identity, gender expression, age, disability, protected veteran status, and any other status protected by applicable State or Federal law.~~

~~These violations include, but are not limited to:~~

6. ~~**Harassment.** Harassment in violation of the University's antidiscrimination policies, is unwelcome verbal or physical conduct, on the basis of actual or perceived membership in a protected class as defined in the University's anti-discrimination policies, that creates a hostile environment by being sufficiently severe or pervasive and objectively offensive that it interferes with, limits or denies the ability of an individual to participate in or benefit from educational programs or activities or employment access, benefits or opportunities.~~
7. ~~**Sex Discrimination, Sexual Harassment and Sexual Misconduct** as further defined in Section 600.020 and/or referenced in Section 200.010B7 below.~~
8. ~~**Bullying.** Bullying is defined as repeated and/or severe aggressive behavior likely to intimidate or intentionally hurt, control or diminish another person, physically or mentally on the basis of actual or perceived membership in a protected class.~~
9. ~~**Retaliation.** Retaliation is any adverse action taken against a person because of that person's participation in protected activity. The University strictly prohibits retaliation against any person for making any good faith report or for filing, testifying, assisting, or participating in any investigation or proceeding involving allegations of discrimination in violation of the University's Equal Employment/Education Opportunity Policy.~~
10. ~~**False Reporting.** False reporting is making an intentional false report or accusation as opposed to a report or accusation, which, even if erroneous, is made in good faith.~~
- 14.7. **Violation of the University's Sex Discrimination, Sexual Harassment and Sexual Misconduct in Education/Employment Policy in Section 600.0020 of the Collected Rules and Regulations—**These violations include:
 - a. **Sex Discrimination.** Sex discrimination ~~occurs when a person has been treated inequitably on the basis of sex, gender identity, or gender expression. Specifically, the University of Missouri System upholds Title IX, which states in part that "[n]o person in the United States shall on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity."—~~ is conduct that is based upon an individual's sex, pregnancy, gender identity, or gender expression that adversely

affects a term or condition of the individual's employment, education, living environment, or participation in a University activity— Sexual harassment, sexual misconduct, sexual exploitation, stalking on the basis of sex, and dating/intimate partner violence are forms of sex discrimination which are prohibited under this policy.

- b. **Sexual Harassment—** Sexual harassment is defined as:
1. Unwelcome sexual advances or requests for sexual activity by a person or persons in a position of power or authority to another person, or
 2. Other unwelcome verbal or physical conduct of a sexual nature by a person to another person, when:
 - a. Submission to or rejection of such conduct is used explicitly or implicitly as a condition for academic or employment decisions; or
 - b. Such conduct creates a hostile environment by being sufficiently severe or pervasive and/or objectively offensive that it interferes with, limits or denies the ability of an individual to participate in or benefit from the University's educational programs, or activities, or employment access, benefits or opportunities.
- c. **Sexual Misconduct.** Sexual misconduct includes: 1) Nonconsensual sexual intercourse; 2) Nonconsensual sexual contact involving the sexual touching of the genitals, breast or anus of another person or the nonconsensual sexual touching of another with one's own genitals a body part (i.e., the lips, genitals, breast, anus, groin, or buttocks of another person) or the nonconsensual sexual touching of another with one's own genitals, whether directly or through the clothing; 3) Exposing one's genitals to another under circumstances in which he or she should reasonably know that his or her conduct is likely to cause affront or alarm; or 4) Sexual exploitation.
- d. **Stalking on the Basis of Sex.** Stalking on the basis of sex is following or engaging in a course of conduct on the basis of sex with no legitimate purpose that puts another person reasonably in fear concerned for his or her safety or would cause a reasonable person under the circumstances to be frightened, intimidated or emotionally distressed.
- e. **Dating/Intimate Partner Violence—** Violence, threats of violence, intimidation, or act of ~~committed~~ coercion committed by a person who is or has been in a social relationship of a romantic or intimate nature with the recipient of the violent behavior.
- e.f. **Sexual Exploitation—** Sexual exploitation occurs when one person takes nonconsensual or abusive sexual advantage of another person for his/her own advantage or benefit or for the advantage or benefit of anyone other than the person being exploited and which behavior does not constitute any other form of sexual misconduct—Examples of sexual exploitation include, but are not limited to, the following activities done without the consent of all participants:
1. Invasion of sexual privacy;
 2. Prostituting another person;
 3. Taping or recording of sexual activity;
 4. Going beyond the boundaries of consent to sexual activity (letting your friends hide to watch you engaging in sexual activity);
 5. Engaging in voyeurism;
 6. Knowingly transmitting and STI, STD, venereal disease or HIV to another person;
 7. Inducing another to expose their genitals;
 8. Nonconsensual distribution of intimate images; or
 - 7-9. Use or distribution of drugs or alcohol with the intent to facilitate sexual contact without consent (i.e., predatory drugs or alcohol).
- f.g. **Retaliation.** Retaliation is any adverse action taken against a person because of that person's participation in protected activity—The University strictly prohibits retaliation against any person for making any good faith report required by Section 600.020 of the Collected Rules and Regulations, for making any good faith report to a Title IX Coordinator or for filing, testifying, assisting, or

participating in any investigation or proceeding involving allegations of sex discrimination, sexual harassment or sexual misconduct.

- ~~g-h.~~ **False Reporting**— 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.
- ~~42-8.~~ **Threatening 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.
- ~~43-9.~~ **Participating in attempted or actual ~~theft taking~~ of, damage to, or possession without permission of property of the University or of a member of the University community or of a campus visitor.**
- ~~44-10.~~ **Unauthorized possession, duplication or use of keys to any University facilities or unauthorized entry to or use of University facilities.**
- ~~45-11.~~ **Violation of University policies, rules or regulations or of campus regulations** including, but not limited to, those governing residence in University-provided housing, or the use of University facilities, or student organizations, or the time, place and manner of public expression.
- ~~46-12.~~ **Manufacture, use, possession, sale or distribution of alcoholic beverages or any controlled substance 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.
- ~~47-13.~~ **Disruptive conduct**— Conduct that creates a substantial disruption of University operations including obstruction of teaching, research, administration, other University activities, and/or other authorized non-University activities that occur on campus.
- ~~48-14.~~ **Failure to comply with directions of University officials acting in the performance of their duties.**
- ~~49-15.~~ **The illegal or unauthorized possession or use of firearms, explosives, other weapons, or hazardous chemicals.**
- ~~20-16.~~ **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 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— Failing to intervene to prevent, ~~(and/or) failing to discourage~~, ~~and/or~~, ~~(and/or) failing to report~~ those acts may also violate this policy.
- ~~24-17.~~ **Misuse of computing 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 facilities to interfere with the work of another student, faculty member, or University official;
 - ~~f.~~ Use of computing facilities to interfere with normal operation of the University computing system; ~~and~~
 - ~~g.~~ Knowingly causing a computer virus to become installed in a computer system or file.

Details of current ~~policies, procedures, rules~~, sanctions, and due process for violations of the University of Missouri ~~Student Conduct Code~~ Standard of Conduct for Students are found ~~in-at~~ ~~and~~ http://www.umssystem.edu/ums/rules/collected_rules/programs/ch200/200.020_rules_of_procedures_in_student_conduct_matters and in the University of Missouri-Kansas City General Catalogue— Students ~~should shall check and~~ be familiar with these rules and procedures.

HONOR COUNCIL PROCEDURES FOR VIOLATIONS OF THE STANDARDS OF PROFESSIONAL CONDUCT

Approved by the University of Missouri Board of Curators: December 1994, Revised January 31, 2013

I. Jurisdiction of the Honor Council

The Honor Council shall ~~be concerned with~~ have the authority to address incidents of alleged violations by University of Missouri-Kansas City ("UMKC") School of Medicine students enrolled in either the M.D. or graduate ~~Professional health care professional/professional~~ programs involving direct patient care ~~at the UMKC School of Medicine of the School's the UMKC School of Medicine~~ Standards of Professional Conduct ("Standards"), Sections II.A and II.B., whether such violations occur on the Volker campus or in classes or clinical experiences at affiliated hospitals and clinics through the UMKC ~~Medical School of Medicine.~~ Violations of Section III will be referred to the Office of the Vice Chancellor for Student Affairs. The ~~standards/Standards~~ identify areas of conduct which are judged unacceptable for ~~individuals-students~~ either who are in or aspire to ~~the a health care profession of medicine.~~ The ~~Standards of Professional Conduct and Honor Council Procedures for Violations of the Standards of Professional Conduct ("Procedures") is are~~ published documents ~~of the UMKC School of Medicine and have been approved by the University of Missouri Board of Curators.~~ It is distributed to all newly accepted students during orientation. When a student has been charged with one or more ~~acts of misconduct according to violations of these Standards ("Respondent"),~~ the Honor Council shall adhere to the following ~~Procedures, detailed herein.~~ The Honor Council shall have the authority to recommend sanctions upon any student Respondent appearing before the Honor Council. The disciplinary proceedings described are not to be construed as judicial trials. ~~Care shall be taken, however, to comply as fully as possible with the spirit and intent of these procedural safeguards/Procedures.~~

II. Organization of the Honor Council

A. Composition

The Honor Council voting members shall consist of the Chair ~~representing the Dean's Office,~~ six- faculty/staff members (1 Docent, 1 Basic Scientist, 2 Clinical Scientists, ~~1 Humanities/Social Sciences representative, and 1 Graduate faculty member), and two student members (1 Years 3-6 and 1 graduate student).~~ Four members constitute a quorum. ~~Two Nonvoting Honor Council staff, the Council Coordinator and the Administrative Assistant, who~~ assist the Chair in investigations and generation of reports ~~and may be present at the hearings to take minutes or assist with the hearing.~~

B. Eligibility and Appointment

The Chair, faculty/staff, and student members shall be appointed to the Honor Council by the Dean of ~~the UMKC~~ School of Medicine.

C. Chair

The Chair shall count as one member of the Honor Council and shall be entitled to vote on all matters before the Honor Council.

D. Time of Appointment and Term of Office

The Chair and faculty/staff members of the Honor Council shall serve for the duration of their appointments ~~by the Dean.~~ The student members of the Honor Council shall serve for one year.

A student is ineligible to continue as a member of the Honor Council if he/she is placed on academic or disciplinary probation, or if for any other reason his/her continued membership on the Honor Council may not be in the best interest of ~~the UMKC~~ School of Medicine as determined by the Dean of UMKC School of Medicine.

III. ~~Procedures for Report of Violation, Investigation, Informal Disposition, and Notice~~

A. Report of Violation

An alleged violation of the Standards of Professional Conduct ~~should~~ should be reported to the Chair ~~or his/her designee~~ of the Honor Council or his/her designee, as soon as possible after discovery of the incident. ~~Reports may be made in person or by webform or email.~~

B. Preliminary Procedures and Investigation

The Chair of the Honor Council or his/her designee shall investigate any reported student misconduct ~~before initiating formal conduct procedures and determine whether any violation(s) of the Standards occurred.~~ The reporter ~~will~~ may be requested to meet with the Chair or his/her designee to discuss the alleged violation.

The Chair is responsible for notifying ~~in writing, the accused student~~ Respondent by UMKC email of the ~~charge-alleged violation brought against him/her~~ prior to the commencement of the investigation. ~~In addition, the student-Respondent charged with misconduct shall receive a copy of these Procedures for Violations of the Standards of Professional Conduct along as an attachment to the email with the written notice.~~ The Chair shall meet with the ~~accused student-Respondent to give allow the student-Respondent~~ the opportunity to ~~present a personal version of the incident or occurrence~~ respond to the alleged violation.

~~After conducting an investigation, if the Chair determines that a violation of the Standards has occurred, the Chair or his/her designee shall provide notice by UMKC email to the accused student-Respondent of the student-Respondent's right to a hearing.~~

~~The Dean of UMKC School of Medicine or his/her designee may at any time temporarily suspend or deny readmission to a Respondent pending formal procedures when the Dean or his/her designee finds and believes from available information that the presence of the Respondent would seriously disrupt UMKC School of Medicine or constitute a danger to the health, safety, or welfare of members of the UMKC School of Medicine community.~~

C. Informal Disposition

~~After conducting an investigation, the Chair or his/her designee shall provide a written report to the Dean of UMKC School of Medicine, the accused student, and the Honor Council members, and by UMKC email to the accused student.~~

The Chair shall have the authority to ~~dismiss a charge determine that a violation of the Standards that is determined unfounded did not occur or~~ and to impose ~~appropriate sanctions~~ an informal non-disciplinary disposition, and shall fix a reasonable time within which the ~~student-Respondent~~ shall accept or reject a proposed informal non-disciplinary disposition.

A failure of the ~~student-Respondent~~ either to accept or reject a proposed informal non-disciplinary disposition within the time fixed shall be deemed to be an acceptance of the informal non-disciplinary disposition and, in such event, the proposed informal non-disciplinary disposition shall become final upon expiration of such time.

If the ~~student-Respondent~~ rejects a proposed informal non-disciplinary disposition, it must be in writing and shall be forwarded to the Chair of the Honor Council.

The Chair may refer ~~cases a matter~~ to the Honor Council for formal investigation and hearing without first offering informal disposition.

~~The Dean or his/her designee may at any time temporarily suspend or deny readmission to a student from the School of Medicine pending formal procedures when the Dean or his/her designee finds and believes from available information that the presence of the student on campus would seriously disrupt the School of Medicine or constitute a danger to the health, safety, or welfare of members School of Medicine community. The appropriate procedure to determine the future status of the student will be initiated within seven calendar days.~~

D. Notice of Hearing

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Upon completion of the investigation, when ~~a student rejects informal disposition or the charge a violation of the Standards justifies a formal hearing~~ has been substantiated in the judgment of the ~~Chair of the Honor Council~~ Chair, the Chair will schedule a formal hearing as soon as possible ~~but no later than sixty (60) calendar days after receipt of the report of the alleged violation~~. A request for an extension may be made by the Chair to the Dean of UMKC SOM if there are extenuating circumstances that justify the delay of the hearing. The Dean of UMKC SOM shall determine whether an extension shall be granted and the length of any extension. Notice of an extension shall be provided to the ~~accused student~~ Respondent by UMKC email.

The reporter ~~of the violation~~, witnesses, and ~~accused student~~ Respondent will be given written notice of the hearing by UMKC email ~~or personal delivery~~. The Notice of Hearing shall ~~set forth describe the alleged violation and include~~ the date, time, and place of the alleged violation. ~~the conduct for inquiry that forms the basis for the alleged violation(s)~~. The Notice of Hearing shall also provide the date, time, and place of the hearing before the Honor Council, request for attendance of the parties involved, and a reference for the ~~accused student~~ Respondent to the Rights of the ~~Accused Student~~ Respondent Upon Hearing which are outlined in these Procedures.

~~Notice by certified mail may be addressed to the mailing address currently on record with the university. Failure by the accused student to have a current correct local address on record with the School of Medicine shall not be construed to invalidate such notice.~~

The Notice of Hearing shall be given at least seven (7) consecutive calendar days prior to the hearing, unless a shorter time is fixed by the Chair for good cause.

Any request for continuance shall be made in writing to the Chair who shall have the authority at his/her discretion to postpone the hearing if he/she determines the request is timely and made for good cause. The Chair shall notify the Honor Council members, the ~~accused student~~ Respondent, the reporter, the witnesses, and any other relevant individuals of the new date, time, and location for the hearing.

If the ~~accused student~~ Respondent fails to appear at the scheduled time, the Honor Council may hear and determine the matter in the ~~student's~~ Respondent's absence.

IV. ~~Procedures~~ for Honor Council Hearing

A. Rights of the Honor Council

The Honor Council shall have the right to:

1. hear together cases involving more than one ~~student~~ Respondent which arise out of the same act of misconduct, but in that event shall make separate findings and ~~determinations recommendations~~ for each ~~student~~ Respondent;
2. permit a stipulation of facts by the Honor Council member who performed the investigation and ~~by the accused student~~ Respondent involved;
3. permit the incorporation in the record by a reference of any document, affidavit, or other material produced and desired in the record by ~~the UMKC~~ School of Medicine or the ~~accused student~~ Respondent charged;
4. question witnesses or ~~challenge review~~ other evidence introduced by either ~~the UMKC~~ School of Medicine or the ~~student~~ Respondent at any time;
5. hear from the ~~Council~~ Chair about dispositions made in similar cases and any dispositions offered to the ~~student Respondent appearing before the Honor Council~~;
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, within a reasonable time as determined by the Honor Council, amendment of the Notice of Hearing to include new or additional matters which may come to the attention of the Honor Council before final determination of the case; provided, however, that in such event the Honor Council shall grant to the ~~student Respondent and/or the UMKC School of Medicine~~ such time as the Honor Council may determine reasonable under the circumstances to answer or explain such additional matters; and
- 8-9. ~~dismiss any person from the hearing who interferes with or obstructs the hearing or fails to abide by the rulings of the Council Chair on any procedural question or request of the Chair for order.~~

B. Rights of the ~~Accused Student~~ Respondent

~~An accused student~~The Respondent scheduled to appear before the Honor Council pursuant to formal notice of charges and disciplinary hearing shall have the right to:

1. submit a written response to the ~~charge~~ alleged violation outlined in the Notice of Hearing before the scheduled hearing is to commence;
2. request in advance of the scheduled hearing a review of any materials contained in ~~his/her~~the Respondent's hearing file;
3. submit a written request for the identities of witnesses to be called to testify before the Honor Council;
4. be present at the hearing;
5. have an adviser or ~~counselor~~ attorney appear with him/her and to consult with such an adviser or ~~counselor~~ attorney during the hearing; however, the adviser/~~counselor~~ attorney will not be allowed to question witnesses and/or members of the Honor Council;
6. hear or examine evidence presented to the Honor Council ~~against him/her~~;
7. question witnesses present who are testifying ~~against him/her~~ at the hearing;
8. present evidence by witness, affidavit, written report, other memoranda, photographs, drawings, and any other relevant evidence ~~of any defense~~ the student Respondent desires;
9. make any statement to the Honor Council in mitigation or explanation of the conduct in question;
10. ~~remain silent to avoid self incrimination~~ not respond to questions during the hearing;
11. be informed in writing of the findings and ~~any decisions imposed~~ recommendations of ~~by~~ the Honor Council, ~~Coordinating Committee, and the Dean~~; and
12. appeal the final decision ~~and/or disposition~~ to the UMKC Chancellor, as herein provided.

C. Rights of Witnesses

Witnesses shall be notified of the scheduled time, date, and location of the hearing. Witnesses shall bring with them whatever documentation is requested. Failure of a student witness to appear, without good cause, is a violation of the Standards of Professional Conduct.

D. Record of Hearing

All proceedings of the Honor Council are to be held in the strictest confidence by the members and all other persons involved. The hearings shall be ~~audio taped, and written minutes are also recorded~~ recorded, either by audio, video, digitally, or stenographically as determined by the Chair of the Honor Council, and shall serve as the official hearing record. The ~~notice~~ Notice of Hearing, exhibits, hearing record including exhibits, verdict, and disposition ~~findings, and recommendations~~ and Final Report of the Honor Council shall become the "Record of the Case." ~~This official document~~ The Record of the Case shall be ~~filed under strictest security in the permanent records~~ scanned and stored electronically with limited access. The ~~record~~ Record of the Case shall be accessible at reasonable times and places to both the University, UMKC School of Medicine, and the student Respondent for the purposes of review or appeal. All requests for access to the Record of the Case shall be made to the Chair or Coordinator of the Honor Council.

E. Conduct of the Hearing

The ~~Honor Council~~ Chair of the Honor Council shall preside at the hearing, call the hearing to order, call the roll of the Honor Council members in attendance, ascertain the presence or absence of the ~~student charged with misconduct~~ Respondent, read the Notice of Hearing, ~~and charge and~~ verify the receipt of the Notice of Hearing ~~notice of charge~~ by the student Respondent, report any continuances requested or granted, establish the presence of any adviser or ~~counselor~~ attorney of the student Respondent, call to the attention of the ~~accused student~~ Respondent charged and the adviser/attorney any special or extraordinary procedures to be employed during the hearing, and permit the student Respondent to make suggestions of or objections to any procedures for the Honor Council to consider.

~~The Respondent may also invite guests to the hearing—. In advance of the hearing, the Respondent shall provide the Chair of the Honor Council with signed UMKC SOM Forms, "FERPA: Access to Student Records," for each adviser/attorney and guest who will be present at the hearing—. Without such signed Form, the person will not be permitted to attend the hearing.~~

All requests to address the Honor Council shall be addressed to the Chair—. The Chair will rule on all requests and points of order and may consult with Honor Council'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 Honor Council at the request of a member of the Honor Council, in which event the ruling of the Honor Council by majority vote shall be final.

Rules of common courtesy and decency shall be observed at all times—. An adviser or ~~counselor-attorney~~ may be permitted to address the Honor Council at the discretion of the Chair—. An adviser or ~~counselor-attorney~~ may request clarification of a procedural matter or object on the basis of procedure at any time by addressing the Chair after recognition—. Written statements may be submitted by any person to the Chair of the Honor Council either prior to or at the hearing.

Witnesses may only be questioned by the Honor Council members and ~~the accused student~~Respondent.

Opening Statements: - 1) The ~~Honor Council~~ Chair of the Honor Council or his/her designee shall make opening remarks outlining the general nature of the case and testify to any facts the investigation has revealed—. 2) The ~~accused student~~Respondent may make an opening statement to the Honor Council about the ~~charge-alleged violation~~ at this time or at the conclusion of ~~the-UMKC~~ School of Medicine's presentation.

UMKC School of Medicine Evidence: - 1) UMKC School of Medicine witnesses are to be called by the Chair of the Honor Council and identified or written reports of evidence are introduced as appropriate—. 2) The Honor Council may question ~~witnesses at any time~~the accused studentRespondent—. 3) The ~~student-Respondent~~ may question a witnesses or examine evidence at the conclusion of ~~the-UMKC~~ School of Medicine's ~~presentation~~ questioning of the witness or introduction of such evidence.

Student-Respondent Evidence: -1) The ~~student-Respondent~~ shall have the opportunity to make a statement to the Honor Council about the ~~charge-alleged violation~~—. 2) The ~~student-Respondent~~ may present evidence through witnesses or written memoranda—. 3) The Honor Council may question ~~the student or witnesses at any time~~ a witness after the witness is questioned by the studentRespondent.

Rebuttal Evidence: - The Honor Council may permit ~~the-UMKC~~ School of Medicine or the ~~student-Respondent~~ to offer a rebuttal of the other's presentation.

If it appears that essential testimony is unavailable, or that for other good cause the hearing should be deferred, the Chair of the Honor Council may continue, recess, or discontinue the hearing without prejudice.

V. Determination of the Honor Council

Following the hearing, the Honor Council shall promptly deliberate in closed session out of the presence of the ~~accused student~~Respondent- charged—. Determinations ~~are-is~~ to be made regarding both the validity of the ~~misconduct charge and on the discipline-alleged violation(s)~~ and, if any ~~violations are substantiated, the sanction(s)~~ to be imposed.

A. Violation of the Standards of Professional Conduct

The Honor Council shall determine if the evidence presented in the hearing supports ~~the charge-of~~ substantiation of a violation(s) of the Standards ~~of Professional Conduct~~—. The Honor Council may consult with other persons or examine other evidence prior to making a decision—. Minutes of any meetings or any additional evidence shall be included in the

~~“Record of the Case.” Each member of the Honor Council shall have a vote; however, the Chair shall only vote in the event of a tie vote. The Honor Council shall render a decision by simple majority vote, of whether a one or more violations has been committed by the accused student Respondent. Each charge of misconduct/alleged violation, if there is more than one, shall be considered individually and/or collectively at the discretion of the Honor Council. The Honor Council shall recommend sanctions for any substantiated violations.~~

~~An oral presentation of the Honor Council's findings and recommendations is permitted following the hearing, but a written document “Final Report of the Honor Council” including that includes findings of fact, verdict, and recommended disposition/sanctions shall be completed as soon as possible after the hearing. This Final Report of the Honor Council shall be submitted to the Respondent by UMKC email, the Coordinating Committee, the Dean of UMKC School of Medicine, and any UMKC School of Medicine faculty or staff involved in any required remediation, and the Office of the Vice Chancellor for Student Affairs, UMKC Office of Student Conduct and Civility.~~

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B. ~~Discipline Imposed~~Sanctions

The Honor Council shall determine the ~~discipline sanctions~~ to be imposed, if any, based upon its deliberations. One of the following ~~forms of disciplinesanctions~~ is to be recommended by means of simple majority vote of the Honor Council members. Where there are multiple violations, there can be separate sanctions for each violation ~~or one sanction for all violations. Requirements for education and/or training, or referral to a UMKC School of Medicine Committee or other resource may be imposed on a Respondent irrespective of whether a violation of the Standards of Professional Conduct has been substantiated. Any such requirements do not constitute a sanction.~~

The sanctions include, ~~but are not limited to,~~ the following:

~~No Disciplinary Action~~Sanction. Given when the ~~student Respondent~~ is not found in violation of ~~the any of the~~ Standards of Professional Conduct.

~~Warning.~~ A written reprimand ~~to the student that the student Respondent~~ has violated ~~one or more the~~ Standards of Professional Conduct. A copy is to be placed in the ~~student's Respondent's~~ file. ~~There is no prohibition on a student receiving more than one (1) warning; however, that fact that a student has received one or more warnings may be taken into account if there are any subsequent violations of the Standards. A warning is not a reportable action.~~

~~Probation.~~ A written reprimand to the ~~student Respondent~~ for ~~one or more~~ violations of the Standards of ~~Academic Professional~~ Conduct that includes a designated period of time, the probability of more severe sanctions if the ~~student Respondent~~ violates any ~~institutional regulation(e) other~~ Standards of Professional Conduct during the probationary period, and subject to any appropriate terms or conditions, such as loss of privileges, restitution, and discretionary assignments. ~~A disciplinary probation is a reportable action.~~

~~Suspension.~~ An involuntary separation of the ~~student Respondent~~ from ~~the UMKC~~ School of Medicine for a specified period of time or until ~~a~~ special conditions have been met, with a statement whether suspension should relate back to the date of the ~~offense violation~~, begin at the time imposed, or begin at a date specified in the future. ~~At the conclusion of the period of suspension, the suspended student Respondent is automatically returned to student status. Conditions for readmission may be specified. A disciplinary suspension is a reportable action.~~

~~Dismissal.~~ An involuntary separation from ~~the UMKC~~ School of Medicine for an indefinite period of time. ~~The order of dismissal may specify a date before which the~~

faculty will not consider a petition for readmission from the ~~dismissed student~~ Respondent. A disciplinary dismissal is a reportable action.

Expulsion— Permanent separation of the student from ~~the~~ UMKC School of Medicine. A disciplinary expulsion is a reportable action.

The above sanctions only apply to the status of the ~~accused student~~ Respondent in ~~the~~ at UMKC School of Medicine. Any of the above actions that are reportable will be included on a Respondent's MSPE. Additionally, this information will be reported by UMKC SOM as needed on any future licensure certifications and verifications for the student Respondent, and/or any official requests for information made from other UMKC entities. Any sanction impacting a student's enrollment status and/or privileges will be forwarded to the Vice Chancellor for Student Affairs or designee UMKC Office of Student Conduct and Civility for information purposes. Students Respondents may also have an obligation to report sanctions on licensure or other applications.

VI. —Decision of the Coordinating Committee

~~The findings and determination of the Honor Council serve as recommendations to the Coordinating Committee and to the Dean of the School of Medicine. The Coordinating Committee, chaired by the UMKC Associate Vice Dean for Academic Affairs and composed of members as detailed in the The Academic Plan for the School of Medicine Bylaws of the Coordinating Committee, reviews shall review the charge of misconduct, the findings of fact, the decision of the Council, and the recommended discipline to be imposed from the Honor Council. Final Report of the Honor Council.~~

~~Each member of the Coordinating Council shall have a vote; however, the Chair of the Coordinating Council shall only vote in the event of a tie vote.~~ After deliberation and careful consideration, the Coordinating Committee shall approve, by simple majority vote, one of the following actions: 1) to sustain the recommendations of the Honor Council; 2) to amend the recommendations of the Honor Council to another type of sanction; 3) to remand the Honor Council's recommendations for further consideration by the Honor Council; or 4) to reverse the Honor Council's recommendations.

The findings and determinations of the Honor Council and the Coordinating Committee shall be transmitted, to the ~~student~~ Respondent by UMKC email and to the Dean of UMKC School of Medicine in writing, within seven (7) consecutive calendar days following the ~~Coordinating Committee meeting of the Coordinating Committee where an action was approved.~~ A copy of this recommendation shall also be transmitted to the accused student by email or personal delivery in the indicated time frame.

VII. —Decision of the Dean of UMKC School of Medicine

Upon receipt of the documents from the Honor Council and the Coordinating Committee, the Dean of UMKC School of Medicine shall review the ~~entire record that includes the following: 1) formal notice of the charges; Notice of Hearing; 2) minutes of the Honor Council hearing; 3) written findings; Final Report of the Honor Council and its recommendations to the Coordinating Committee; and 4) Record of the Case and the written decision approved action of the Coordinating Committee.~~ concerning the sanction passed.

The Dean of UMKC School of Medicine will, within a reasonable amount of time, make a decision to affirm, amend, or reverse the Coordinating Committee's ~~sentence~~ action, or remand the matter to the Coordinating Committee for further proceedings.

The Dean of UMKC School of Medicine shall notify the ~~student~~ Respondent in writing by certified mail or personal delivery by UMKC email of his/her final decision. ~~Copies of the letter notice to the student Respondent will be sent to the Honor Council Chair of the Honor Council and the Coordinating Committee Chair of the Coordinating Committee, and will be~~

placed in the ~~student's Respondent's~~ file at UMKC School of Medicine and in the ~~official hearing file~~ Record of the Case.

VIII.

Right of Appeal

When a recommendation ~~from the Honor Council and the Coordinating Committee~~ is made for ~~some form of disciplinary action a sanction(s)~~ other than "none," and this is upheld by the Dean of UMKC School of Medicine, or if a recommendation of "no ~~disciplinary actions~~sanction" is revised ~~to one of greater severity~~ by the Dean ~~to expulsion, dismissal, or suspension from UMKC School of Medicine~~, the ~~student Respondent~~ may appeal such decision to the UMKC Chancellor or his/her designated representative by filing a written "~~N~~otice of ~~A~~ppel" with the UMKC Chancellor within ten (10) consecutive calendar days after notification of the decision ~~of from~~ the Dean. A copy of the Notice of Appeal will also be given by the ~~student Respondent~~ to the Dean of ~~the~~ UMKC School of Medicine at the time of filing ~~with the UMKC Chancellor~~. The ~~student Respondent~~ may file a written memorandum for consideration by the UMKC Chancellor with the Notice of Appeal. ~~If the Respondent fails to timely file an appeal, the decision of the Dean of UMKC SOM School of Medicine shall become final and effective on the eleventh calendar day after notice to the Respondent.~~

The UMKC Chancellor or his/her designated representative shall review the ~~full R~~ecord of the ~~C~~ase and the appeal documents and may affirm, reverse, or remand the case for further proceedings, and shall notify the Dean of UMKC School of Medicine and the ~~student Respondent~~ in writing of the decision on the appeal. The action of the UMKC Chancellor shall be final unless it is to remand the matter for further proceedings. ~~The decision of the Dean of UMKC School of Medicine shall be deemed effective on the eleventh calendar day after notice was given to the Respondent unless the matter is remanded by the UMKC Chancellor. Any final sanction will be forwarded to the UMKC Office of Student Conduct and Civility for information purposes. Any sanction impacting a student's enrollment status and/or privileges at UMKC SOM will be forwarded to the UMKC Office of Student Conduct and Civility for information purposes.~~

~~Status during Appeal:~~ In cases of suspension, dismissal, or expulsion where a Notice of Appeal is filed within the required time, a ~~student Respondent~~ may petition the UMKC Chancellor in writing for permission to attend classes pending final determination of appeal. The Chancellor may permit a ~~student Respondent~~ to continue in school under such conditions as may be designated pending completion of appellate procedures, provided such continuance will not disrupt the University or constitute a danger to the health, safety, or welfare of the University community. In such event, however, any ~~final disciplinary actions~~sanction imposed shall be effective from the date of the action of the Dean of UMKC School of Medicine.

VIII. Status of Amendments to the Standards of Professional Conduct or Honor Council Procedures for Violations of the Standards of Professional Conduct

Amendments to the Standards of Professional Conduct and/or Honor Council Procedures for Violations ~~of the Standards of Professional Conduct~~ may be proposed by petition of any twenty-five members of the student body, the Honor Council on its own motion, or the UMKC SOM Faculty.

~~A proposed amendment in the Standards of Professional Conduct and/or Honor Council Procedures for Violations. Any proposed amendments~~ must be approved by the Honor Council, the Coordinating Committee, the Dean of UMKC School of Medicine, the UMKC Chancellor, and the University of Missouri Board of Curators.

~~The Standards of Professional Conduct and/or Honor Council Procedures for Violations may be terminated at any time by action under the general amending procedure.~~

~~All students in the School of Medicine, including students enrolled in either the M.D. or graduate Professional programs involving direct patient care at the UMKC School of Medicine are subject to the jurisdiction of the Standards of Professional Conduct and Honor Council Procedures for Violations upon enrollment. To insure their knowledge of the Standards of Professional Conduct and Honor Council Procedures for Violations, the presentation of these documents shall be an integral part of the orientation of newly accepted students in these programs to the School of Medicine.~~

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University of Missouri-Kansas City School of Medicine Standards of Professional Conduct and Honor Council Procedures

STANDARDS OF PROFESSIONAL CONDUCT

Approved by the University of Missouri Board of Curators: December 1994, revised January 31, 2013 and updated December 2014

I. Preamble

Health care professionals are characterized by: 1) a prolonged specialized training in a body of knowledge and skills; 2) ethical principles; 3) a service orientation; and 4) judgment. These professions determine their own standards of education, training, licensure, and practice, and have long subscribed to a body of ethical statements developed primarily for the benefit of the patient. As a potential future member of these professions, a student must recognize responsibility and an obligation not only to patients, but also to society, other health care professionals, and self to behave in a manner compatible with the health care profession's standards of conduct.

One of the goals of a medical school is to educate a student during the transition to a professional life. The University of Missouri-Kansas City ("UMKC") School of Medicine has an obligation to evaluate our students pursuing the M.D. and other health professions degrees administered by the School of Medicine as thoroughly as possible for their cognitive abilities, their academic and professional knowledge and skills, their integrity, and their suitability for the practice of their health care professions. Accordingly, the Standards of Professional Conduct detailed in this document have been developed to guide the pre-professional behavior of students in health professions degree programs of UMKC School of Medicine, and to prepare the students to meet the ethical standards of these professions.

All students in the UMKC School of Medicine, including students enrolled in either the M.D. or graduate health professions programs involving direct patient care, are subject to the jurisdiction of the Standards of Professional Conduct and Honor Council Procedures for Violations of the Standards of Professional Conduct upon enrollment. The presentation of these documents shall be an integral part of the orientation of newly accepted students at UMKC School of Medicine.

II. UMKC School of Medicine Standards of Professional Conduct

A. Professional Integrity

1. Honesty

A student shall deal honestly with people including, but not limited to, colleagues, instructors, representatives of the University, patients, attending physicians, and other members of the health care team. Students are expected to demonstrate honesty and integrity in all aspects of their interactions with patients and staff — particularly in assuring accuracy and completeness of their documentation in medical records. The student shall be willing to admit errors and must not mislead others or promote himself/herself at the patient's expense. Students shall strive to report, by utilizing the Honor Council Procedures for Violations of the Standards

of Professional Conduct, those students who violate these Standards of Professional Conduct (“Standards”).

The basic principle underlying all research is *honesty*. Scientists and students who participate in research have a responsibility to provide research results of the highest quality; to gather facts meticulously; to keep impeccable records of work done; to interpret results realistically, not forcing them into preconceived molds or models; and to report new knowledge through appropriate channels. Co-authors of research reports must be sufficiently acquainted with the work of their co-workers so they can personally vouch for the integrity of the study and validity of the findings, and must have been active in the research itself.

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. The instructor shall also report the alleged academic dishonesty to the Chair of the Honor Council.

Examples of academic dishonesty include, but are not limited to, the following:

Cheating — 1) use of any unauthorized assistance including, but not limited to, notes, textbooks, unauthorized electronic devices or prohibited internet resources, in taking quizzes, tests, or examinations; 2) dependence upon the aid of sources beyond those authorized by the instructor in writing papers, preparing reports, solving problems, or carrying out other assignments; 3) acquisition or possession without permission of tests or other academic material belonging to a member of the University faculty or staff; 4) in any way giving assistance to others who are participating in any of the three preceding types of behavior; 5) falsifying attendance records or other official documents; or 6) submitting the same paper, project, or document for a grade or credit in multiple courses.

Plagiarism — 1) use by paraphrase or direct quotation of the published or unpublished work of another person without fully and properly crediting the author with footnotes, citations or bibliographical reference; 2) unacknowledged use of materials prepared by another person or agency engaged in the selling of term papers or other academic materials; or 3) unacknowledged use of original work/material that has been produced through collaboration with others without release in writing from collaborators. The detection may involve the use of commercially available software.

Sabotage — unauthorized interference with, modification of, or destruction of the work or intellectual property of another member of the University community.

Examples of dishonesty related to clinical practice include, but are not limited to, the following:

Falsification of Patient's Medical Record — writing progress notes regarding the patient's status that are false including, but not limited to, clinical observations or results in the patient's chart when the student has not seen or evaluated the patient, or using incorrect times of data entry.

Falsification of Patient's Medical Information — reporting medical information such as physical examination findings, lab values, test results, and any other relevant patient information to other students, residents, attending physicians, preceptor, the patient, the patient's family, or other relevant medical personnel that has been fabricated by the student.

2. Responsibility

A student must acquire competencies with the appropriate concepts, knowledge, and skills which the faculty determines to be essential. These competencies shall

be utilized to care for the sick and to promote the health and welfare of society. A student shall recognize a responsibility to participate in activities contributing to an improved community.

Students in the care of patients must not be harmful, dangerous, or negligent to the mental or physical health of a patient or the public. Negligent means the failure to use that degree of skill and learning ordinarily used under the same or similar circumstances by other students.

Students must pay tuition and other University fees, such as the medical equipment or disability fees, on time. Students must complete required forms of evaluation, degree forms, examination applications, etc. on time.

Students must be familiar with and follow the rules and regulations of UMKC School of Medicine, the University, and the applicable health care professional organizations. Students shall be familiar with and comply with the policies and procedures of clinical sites where they are assigned.

While the University and UMKC School of Medicine are committed to the rights of students to free expression, they also have the right to restrict certain conduct which violates the law or University policy, or otherwise directly interferes with the functioning of the University or UMKC School of Medicine and/or its clinical affiliates. Students are expected to be knowledgeable of and comply with the limits on free expression as set forth in the University "Commitment to Free Expression," available at <https://freespeech.missouri.edu/commitment-to-free-expression/> .

Students shall be responsible in their use of personal and professional social media accounts. "Social media" includes any electronic communication or networking using an online service, platform, or site to share information, ideas, personal messages, images, photographs, or other content including, but not limited to, emails, Facebook, Twitter, LinkedIn, YouTube, Snapchat, Instagram, GROUPE, TikTok, Reddit, Tumblr, and blogs. Students shall use appropriate judgment and be respectful and professional in all social media communications. Information shall be truthful and not misleading or deceptive. Content on social media is considered to be published material and therefore must comply with Federal copyright laws.

B. Professional Behavior

1. Prohibition Against Discrimination, Harassment, and Sexual Misconduct

A student shall be dedicated to providing supervised, competent health care services with compassion, respect for human dignity, and without discrimination.

It is against University regulations to discriminate on the basis of race, color, religion, pregnancy, sex, sexual orientation, gender identity, gender expression, ancestry, national origin, age, disability, protected veteran status, or any other status protected by applicable State or Federal law. The University has an AIDS policy statement consistent with Missouri law that prohibits discrimination against persons with AIDS, AIDS Related Complex ("ARC"), or who are HIV positive.

Students shall not harass, discriminate against, or engage in sexual harassment, sexual discrimination, or sexual misconduct with any other individual, either in person or on social media.

2. Representation

A student shall accurately represent himself/herself to others including, but not limited to, colleagues, instructors, representatives of the University, patients, attending physicians, and other members of the health care team.

Examples of misrepresentation include, but are not limited to, the following:

- a. A student shall never use the title of "Doctor" or M.D., as this clearly misrepresents the student's position, knowledge, and authority.
- b. Use of fraud, deception, lies, or bribery in securing any certificate of registration or authority, diploma, permit or license issued, or in obtaining permission to take any examinations.
- c. Impersonation of any person holding a certificate of registration or authority, permit, license or allowing any person to use his/her certificate of registration or authority, permit, license, or diploma from any school.
- d. Forgery, alteration, or misuse of a patient's medical records or knowingly furnishing false information to the health care team and/or professional organizations.

Representations on social media shall accurately reflect that any opinions voiced are those of the student and the student is not speaking on behalf of the University, or UMKC School of Medicine and/or its clinical affiliates.

3. Confidentiality and Privacy

A student shall respect the rights of patients, colleagues, and other health care professionals, and shall safeguard the confidentiality and privacy of patient communications and protected health information within the constraints of the law. The patient's right to privacy in regard to his/her medical record, which includes privacy of personal and social history, is a fundamental tenet to health care.

The discussion in public of the problems of an identified patient, without the

patient's permission, by students violates patient confidentiality and privacy laws and is unethical. Under no circumstances can any medical record be removed from an institution. Copying of the entire medical record is never permitted for presentations or rounds; students are permitted to extract information, but not copy "wholesale" parts of a medical record. Names and any other identifiers of patients should be omitted from any documents used for these presentations.

Any protected health information of patients, or any patient identifiers, hospital room numbers, or photographs of patients or their hospital or clinic rooms shall not be posted on social media.

4. Disclosures of Information

While the student is a member of the health care team and under faculty supervision, a student shall continue to study, apply, and advance scientific knowledge, make relevant information available to patients, colleagues, and the public, obtain consultation, and use the talents of other health care professionals when indicated.

Sharing of health information appropriately with a patient and colleagues involved in the care of the patient is a fundamental ethical requirement. The patient must be well informed to make health care decisions and work intelligently in partnership with the health care team. Information that the patient needs for decision making shall be presented in terms the patient can understand. If, for some reason, the patient is unable to comprehend information, there shall be disclosure to the patient's authorized representative. Failure of a student to share health information relevant to a patient with the patient and colleagues involved in the care of the patient is unethical. Providing inaccurate health information with these individuals is also unacceptable.

Students are prohibited from communicating with patients and/or their authorized representatives or family members on social media. Any conversations regarding specific patient health care conditions, treatments, or particular processes in a clinical setting can be mutually beneficial for the professional community; however, these must only occur without identifying patients and when using professional social media sites that maintain the privacy and security of communications with registered users.

5. Assessment of Personal Competence (Self-Evaluation)

Students shall seek consultation and supervision whenever their ability to play their role in the care for a patient is inadequate because of lack of knowledge or experience.

Students are expected to respond to constructive criticism by appropriate modification of behavior.

It is unacceptable for a student to attempt procedures or to prescribe therapies without supervision.

6. Professional Demeanor, Appearance, and Communications

The student is expected to be thoughtful and professional when interacting with patients and their families, attending physicians, preceptors, supervising residents, and other students, and whenever his/her behavior may influence adversely the judgments of others about UMKC School of Medicine and/or its clinical affiliates, or the University. Students shall comply with the code of ethics for their applicable health care profession both on campus and at clinical affiliates, by conduct and speech, and when using social media.

Students shall maintain a neat and clean appearance, and dress in attire that is generally accepted as professional by the patient populations served and in compliance with any policies of clinical affiliates.

Inappropriate behaviors may include, but are not limited to, either in person or on social media: 1) the use of offensive, vulgar, lewd, obscene, profane, or unprofessional language, gestures, images, or videos; or 2) cyberbullying. Any conduct or speech that materially and substantially interferes with the educational process of other students or violates the rights of others is prohibited.

Attempting, directly or indirectly, by way of intimidation, coercion or deception, to obtain or retain a patient or discourage the use of a second opinion or consultation is not appropriate.

7. Informed Consent

Students are to understand the obligations of health care professionals to obtain informed consent from patients, but students are **not** responsible for obtaining consent. It is the responsibility of health care professionals to ensure that the patient or his/her surrogate be appropriately informed as to the nature of the patient's medical condition, the objectives of proposed treatments, treatment alternatives, and risks involved. The patient's or surrogate's consent must be obtained without coercion.

8. Avoidance of Conflicts of Interests

If a conflict of interest arises, in which the student has competing interests or loyalties that could potentially undermine their ability to act in an impartial manner, the student will disclose this information as soon as possible through the appropriate channels. For example, gifts, hospitality, or subsidies offered by manufacturers and distributors of medical and pharmaceutical equipment/goods shall not be accepted if acceptance would influence the objectivity of clinical judgment.

9. Appropriate Conduct with Patients

The student will demonstrate respect for others, act without discrimination, treat patients politely and considerately, respect their views, respect their privacy and right to confidentiality. The student will communicate effectively and appropriately, and will understand, accept, and agree to be bound by the principle of confidentiality of patient data, and also of information concerning staff and fellow students. The student will not engage in romantic, sexual, or other non-professional behaviors with a patient — even upon the apparent request of a patient — while the student is involved with the patient's care. Any involvement or communications with former patients must meet the professional standards of conduct of the student, and shall not breach the patient's right of privacy of protected health information.

10. Awareness of Impairments

The student will not use alcohol or drugs or practice while under a physical or mental health condition if such impairs his/her ability to perform the work of the profession or results in compromised patient care. It is also the responsibility of every student to strive to protect the public from an impaired colleague and to assist that colleague whose capability is impaired because of alcohol or drug use, or a physical or mental health condition. Students are strongly encouraged to self-report and/or seek assistance if they are aware of any potential self-impairment. Additionally, any student who displays signs of impairment should be reported by a peer or UMKC School of Medicine faculty or staff member. Any retaliation against a student for good faith reporting of a peer suspected of impairment shall constitute a violation of professional conduct.

11. Civility with Colleagues

Professional relations among all members of the medical community shall be marked by civility. Scholarly contributions shall be acknowledged and each person shall recognize and facilitate the contributions of others to this community;

slanderous comments and acts are not acceptable. Students shall deal with professional, staff, and peer members of the health care team in a considerate manner and with a spirit of cooperation.

It is unethical and harmful for a student to disparage, in person or on social media, without sufficient evidence, the professional competence, knowledge, qualifications, or services of a colleague to anyone. It is also unethical to imply without reliable evidence — by word, gesture, or deed — that a patient has been poorly managed or mistreated by a colleague.

12. Duty To Teach

It is incumbent upon students entering health care professions to teach other students what they know of the science, art, and ethics of their professions. It also includes communicating clearly and teaching patients so that they are properly prepared to participate in their own care and in the maintenance of their health.

III. The University of Missouri Standard of Conduct for Students

In addition to the conduct detailed above, a student is subject to the University of Missouri Standard of Conduct for Students, as administered by the UMKC Office of Student Conduct and Civility in the Division of Student Affairs, in Section 200.010. of the Collected Rules and Regulations of the University

(http://www.umssystem.edu/ums/rules/collected_rules/programs/ch200/200.010_standard_of_conduct). Students in the UMKC School of Medicine may be subject to discipline by either the UMKC Office of Student Conduct and Civility or the Honor Council, or by the Title IX Coordinator in the Office of Affirmative Action for allegations related to sexual discrimination. A student will not be subject to discipline for the same violation by multiple entities. The Honor Council, the Office of Student Conduct and Civility, and the Office of Affirmative Action may share information about possible violations to determine which entity will handle the matter, and about violations that have been substantiated.

As of February 7, 2017, conduct for which students are subject to sanctions falls into the following categories:

1. **Academic dishonesty**, including, but not limited to, as cheating, plagiarism, 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. The instructor shall report the alleged academic dishonesty to the Primary Administrative Officer.
2. **Forgery, alteration, or misuse of University documents, records or identification, or knowingly furnishing false information to the University.**
3. **Obstruction or disruption of teaching, research, administration, conduct proceedings, or other University activities, including its public service functions on or off campus.**
4. **Physical abuse or other conduct which threatens or endangers the health or safety of any person.**

5. **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. **Violation of the University's Equal Employment/Education Opportunity Policy and Statement of Nondiscrimination** in Section 600.010 of the Collected Rules and Regulations. Discrimination is prohibited on the basis of race, color, national origin, ancestry, religion, sex, pregnancy, sexual orientation, gender identity, gender expression, age, disability, protected veteran status, and any other status protected by applicable State or Federal law.
7. **Violation of the University's Sex Discrimination, Sexual Harassment and Sexual Misconduct in Education/Employment Policy in Section 600.0020 of the Collected Rules and Regulations.** These violations include:
 - a. **Sex Discrimination.** Sex discrimination is conduct that is based upon an individual's sex, pregnancy, gender identity, or gender expression that adversely affects a term or condition of the individual's employment, education, living environment, or participation in a University activity. Sexual harassment, sexual misconduct, sexual exploitation, stalking on the basis of sex, and dating/intimate partner violence are forms of sex discrimination which are prohibited under this policy.
 - b. **Sexual Harassment.** Sexual harassment is defined as:
 1. Unwelcome sexual advances or requests for sexual activity by a person or persons in a position of power or authority to another person, or
 2. Other unwelcome verbal or physical conduct of a sexual nature by a person to another person, when:
 - a. Submission to or rejection of such conduct is used explicitly or implicitly as a condition for academic or employment decisions; or
 - b. Such conduct creates a hostile environment by being sufficiently severe or pervasive or objectively offensive that it interferes with, limits or denies the ability to participate in or benefit from the University's educational programs, activities, or employment.
 - c. **Sexual Misconduct.** Sexual misconduct includes: 1) Nonconsensual sexual intercourse; 2) Nonconsensual sexual contact involving the sexual touching of a body part (i.e., the lips, genitals, breast, anus, groin, or buttocks of another person) or the nonconsensual sexual touching of another with one's own genitals, whether directly or through the clothing; 3) Exposing one's genitals to another under circumstances in which one should reasonably know that the conduct is likely to cause affront or alarm; or 4) Sexual exploitation.
 - d. **Stalking on the Basis of Sex.** Stalking on the basis of sex is following or engaging in a course of conduct on the basis of sex with no legitimate purpose that puts another person reasonably concerned for his or her safety or would cause a reasonable person under the circumstances to be frightened, intimidated or emotionally distressed.
 - e. **Dating/Intimate Partner Violence.** Violence, threats of violence, intimidation, or act of coercion committed by a person who is or has been in a social relationship of a romantic or intimate nature with the recipient of the violent behavior.
 - f. **Sexual Exploitation.** Sexual exploitation occurs when one person takes nonconsensual or abusive sexual advantage of another person for one's own advantage or benefit or for the advantage or benefit of anyone other than the person being exploited and which behavior does not constitute any other form of sexual misconduct. Examples of sexual exploitation include, but are not limited to, the following activities done without the consent of all participants:
 1. Invasion of sexual privacy;

2. Prostituting another person;
 3. Taping or recording of sexual activity;
 4. Going beyond the boundaries of consent to sexual activity (letting your friends hide to watch you engaging in sexual activity);
 5. Engaging in voyeurism;
 6. Knowingly transmitting an STI, STD, venereal disease or HIV to another person;
 7. Inducing another to expose their genitals;
 8. Nonconsensual distribution of intimate images; or
 9. Use or distribution of drugs or alcohol with the intent to facilitate sexual contact without consent (i.e., predatory drugs or alcohol).
- g. **Retaliation.** Retaliation is any adverse action taken against a person because of that person's participation in protected activity. The University strictly prohibits retaliation against any person for making any good faith report to a Title IX Coordinator or for filing, testifying, assisting, or participating in any investigation or proceeding involving allegations of sex discrimination, sexual harassment or sexual misconduct.
- h. **False Reporting.** 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.
8. **Threatening 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. **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 of a campus visitor.**
 10. **Unauthorized possession, duplication or use of keys to any University facilities or unauthorized entry to or use of University facilities.**
 11. **Violation of University policies, rules or regulations or of campus regulations** including, but not limited to, those governing residence in University-provided housing, or the use of University facilities, or student organizations, or the time, place and manner of public expression.
 12. **Manufacture, use, possession, sale or distribution of alcoholic beverages or any controlled substance 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.
 13. **Disruptive conduct.** Conduct that creates a substantial disruption of University operations including obstruction of teaching, research, administration, other University activities, and/or other authorized non-University activities that occur on campus.
 14. **Failure to comply with directions of University officials acting in the performance of their duties.**
 15. **The illegal or unauthorized possession or use of firearms, explosives, other weapons, or hazardous chemicals.**
 16. **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 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. Failing to intervene to prevent, failing to discourage, and/or failing to report those acts may also violate this policy.
 17. **Misuse of computing 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 facilities to interfere with the work of another student, faculty member, or University official;
- f. Use of computing facilities to interfere with normal operation of the University computing system; and
- g. Knowingly causing a computer virus to become installed in a computer system or file.

Details of current rules, sanctions, and due process for violations of the University of Missouri Standard of Conduct for Students are found at http://www.umsystem.edu/ums/rules/collected_rules/programs/ch200/200.020_rules_of_procedures_in_student_conduct_matters and in the University of Missouri-Kansas City General Catalogue. Students shall be familiar with these rules and procedures.

**HONOR COUNCIL PROCEDURES FOR VIOLATIONS OF THE STANDARDS OF
PROFESSIONAL CONDUCT**

Approved by the University of Missouri Board of Curators: December 1994, Revised
January 31, 2013

I. Jurisdiction of the Honor Council

The Honor Council shall have the authority to address incidents of alleged violations by University of Missouri-Kansas City (“UMKC”) School of Medicine students enrolled in either the M.D. or graduate health professions programs involving direct patient care of the UMKC School of Medicine Standards of Professional Conduct (“Standards”), whether such violations occur on the Volker campus or in classes or clinical experiences at affiliated hospitals and clinics through the UMKC School of Medicine. The Standards identify areas of conduct which are judged unacceptable for students either who are in or aspire to a health care profession. The Standards and Honor Council Procedures for Violations of the Standards of Professional Conduct (“Procedures”) are published documents of UMKC School of Medicine and have been approved by the University of Missouri Board of Curators. When a student has been charged with one or more violations of these Standards (“Respondent”), the Honor Council shall adhere to the following Procedures. The Honor Council shall have the authority to recommend sanctions upon a Respondent appearing before the Honor Council. The disciplinary proceedings described are not to be construed as judicial trials. Care shall be taken, however, to comply as fully as possible with the spirit and intent of these Procedures.

II. Organization of the Honor Council

A. Composition

The Honor Council voting members shall consist of the Chair, six faculty/staff members (1 Doцент, 1 Basic Scientist, 2 Clinical Scientists, 1 Humanities/Social Sciences representative, and 1 Graduate faculty member), and two student members (1 Years 3-6 and 1 graduate student). Four members constitute a quorum. Nonvoting Honor Council staff who assist the Chair in investigations and generation of reports may be present at the hearings to take minutes or assist with the hearing.

B. Eligibility and Appointment

The Chair, faculty/staff, and student members shall be appointed to the Honor Council by the Dean of UMKC School of Medicine.

C. Chair

The Chair shall count as one member of the Honor Council and shall be entitled to vote on all matters before the Honor Council.

D. Time of Appointment and Term of Office

The Chair and faculty/staff members of the Honor Council shall serve for the duration of their appointments. The student members of the Honor Council shall serve for one year.

A student is ineligible to continue as a member of the Honor Council if he/she is placed on academic or disciplinary probation, or if for any other reason his/her continued membership on the Honor Council may not be in the best interest of UMKC School of Medicine as determined by the Dean of UMKC School of Medicine.

III. Procedures for Report of Violation, Investigation, Informal Disposition, and Notice

A. Report of Violation

An alleged violation of the Standards should be reported to the Chair of the Honor Council, or his/her designee, as soon as possible after discovery of the incident. Reports may be made in person or by webform or email.

B. Preliminary Procedures and Investigation

The Chair of the Honor Council or his/her designee shall investigate any reported student misconduct and determine whether any violation(s) of the Standards

occurred. The reporter may be requested to meet with the Chair or his/her designee to discuss the alleged violation.

The Chair is responsible for notifying the Respondent by UMKC email of the alleged violation prior to the commencement of the investigation. In addition, the Respondent shall receive a copy of these Procedures as an attachment to the email notice. The Chair shall meet with the Respondent to allow the Respondent the opportunity to respond to the alleged violation.

After conducting an investigation, if the Chair determines that a violation of the Standards has occurred, the Chair or his/her designee shall provide notice by UMKC email to the Respondent of the Respondent's right to a hearing.

The Dean of UMKC School of Medicine or his/her designee may at any time temporarily suspend or deny readmission to a Respondent pending formal procedures when the Dean or his/her designee finds and believes from available information that the presence of the Respondent would seriously disrupt UMKC School of Medicine or constitute a danger to the health, safety, or welfare of members of the UMKC School of Medicine community.

C. Informal Disposition

The Chair shall have the authority to determine that a violation of the Standards did not occur and to impose an informal non-disciplinary disposition, and shall fix a reasonable time within which the Respondent shall accept or reject a proposed informal non-disciplinary disposition.

A failure of the Respondent either to accept or reject a proposed informal non-disciplinary disposition within the time fixed shall be deemed to be an acceptance of the informal non-disciplinary disposition and, in such event, the proposed informal non-disciplinary disposition shall become final upon expiration of such time.

If the Respondent rejects a proposed informal non-disciplinary disposition, it must be in writing and shall be forwarded to the Chair of the Honor Council.

The Chair may refer a matter to the Honor Council for formal investigation and hearing without first offering informal disposition.

D. Notice of Hearing

Upon completion of the investigation, when a violation of the Standards has been substantiated in the judgment of the Chair of the Honor Council, the Chair will schedule a formal hearing as soon as possible but no later than sixty (60) calendar days after receipt of the report of the alleged violation. A request for an extension may be made by the Chair to the Dean of UMKC SOM if there are extenuating circumstances that justify the delay of the hearing. The Dean of UMKC SOM shall determine whether an extension shall be granted and the length of any extension. Notice of an extension shall be provided to the Respondent by UMKC email.

The reporter of the violation, witnesses, and Respondent will be given written notice of the hearing by UMKC email. The Notice of Hearing shall describe the alleged violation and include the date, time, and place of the alleged violation. The Notice of Hearing shall also provide the date, time, and place of the hearing before the Honor Council, request for attendance of the parties involved, and a reference for the Respondent to the Rights of the Respondent which are outlined in these Procedures.

The Notice of Hearing shall be given at least seven (7) consecutive calendar days prior to the hearing, unless a shorter time is fixed by the Chair for good cause.

Any request for continuance shall be made in writing to the Chair who shall have the authority at his/her discretion to postpone the hearing if he/she determines the

request is timely and made for good cause. The Chair shall notify the Honor Council members, the Respondent, the reporter, the witnesses, and any other relevant individuals of the new date, time, and location for the hearing.

If the Respondent fails to appear at the scheduled time, the Honor Council may hear and determine the matter in the Respondent's absence.

IV. Procedures for Honor Council Hearing

A. Rights of the Honor Council

The Honor Council shall have the right to:

1. hear together cases involving more than one Respondent which arise out of the same act of misconduct, but in that event shall make separate findings and recommendations for each Respondent;
2. permit a stipulation of facts by the Honor Council member who performed the investigation and by the Respondent;
3. permit the incorporation in the record by a reference of any document, affidavit, or other material produced and desired in the record by UMKC School of Medicine or the Respondent;
4. question witnesses or review other evidence introduced by either UMKC School of Medicine or the Respondent at any time;
5. hear from the Chair about dispositions made in similar cases and any dispositions offered to the Respondent;
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, within a reasonable time as determined by the Honor Council, amendment of the Notice of Hearing to include new or additional matters which may come to the attention of the Honor Council before final determination of the case; provided, however, that in such event the Honor Council shall grant to the Respondent and/or UMKC School of Medicine such time as the Honor Council may determine reasonable under the circumstances to answer or explain such additional matters; and
9. dismiss any person from the hearing who interferes with or obstructs the hearing or fails to abide by the rulings of the Council Chair on any procedural question or request of the Chair for order.

B. Rights of the Respondent

The Respondent shall have the right to:

1. submit a written response to the alleged violation outlined in the Notice of Hearing before the scheduled hearing is to commence;
2. request in advance of the scheduled hearing a review of any materials contained in the Respondent's hearing file;
3. submit a written request for the identities of witnesses to be called to testify before the Honor Council;
4. be present at the hearing;
5. have an adviser or attorney appear with him/her and to consult with such an adviser or attorney during the hearing; however, the adviser/attorney will not be allowed to question witnesses and/or members of the Honor Council;
6. hear or examine evidence presented to the Honor Council;
7. question witnesses present who are testifying at the hearing;
8. present evidence by witness, affidavit, written report, other memoranda, photographs, drawings, and any other relevant evidence the Respondent desires;
9. make any statement to the Honor Council in mitigation or explanation of the conduct in question;
10. not respond to questions during the hearing;
11. be informed in writing of the findings and recommendations of the Honor Council; and
12. appeal the final decision to the UMKC Chancellor, as herein provided.

C. Rights of Witnesses

Witnesses shall be notified of the scheduled time, date, and location of the hearing. Witnesses shall bring with them whatever documentation is requested. Failure of a student witness to appear, without good cause, is a violation of the Standards.

D. Record of Hearing

All proceedings of the Honor Council are to be held in the strictest confidence by the members and all other persons involved. The hearings shall be recorded, either by audio, video, digitally, or stenographically as determined by the Chair of the Honor Council, and shall serve as the official hearing record. The Notice of Hearing, hearing record including exhibits, and Final Report of the Honor Council shall become the "Record of the Case." The Record of the Case shall be scanned and stored electronically with limited access. The Record of the Case shall be accessible at reasonable times and places to the University, UMKC School of Medicine, and the Respondent for the purposes of review or appeal. All requests for access to the Record of the Case shall be made to the Chair or Coordinator of the Honor Council.

E. Conduct of the Hearing

The Chair of the Honor Council shall preside at the hearing, call the hearing to order, call the roll of the Honor Council members in attendance, ascertain the presence or absence of the Respondent, read the Notice of Hearing, verify the receipt of the Notice of Hearing by the Respondent, report any continuances requested or granted, establish the presence of any adviser or attorney of the Respondent, call to the attention of the Respondent and the adviser/attorney any special or extraordinary procedures to be employed during the hearing, and permit the Respondent to make suggestions of or objections to any procedures for the Honor Council to consider.

The Respondent may also invite guests to the hearing. In advance of the hearing, the Respondent shall provide the Chair of the Honor Council with signed UMKC SOM Forms, "FERPA: Access to Student Records," for each adviser/attorney and guest who will be present at the hearing. Without such signed Form, the person will not be permitted to attend the hearing.

All requests to address the Honor Council shall be addressed to the Chair. The Chair will rule on all requests and points of order and may consult with Honor Council'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 Honor Council at the request of a member of the Honor Council, in which event the ruling of the Honor Council by majority vote shall be final.

Rules of common courtesy and decency shall be observed at all times. An adviser or attorney may be permitted to address the Honor Council at the discretion of the Chair. An adviser or attorney may request clarification of a procedural matter or object on the basis of procedure at any time by addressing the Chair after recognition. Written statements may be submitted by any person to the Chair of the Honor Council either prior to or at the hearing.

Witnesses may only be questioned by the Honor Council members and the Respondent.

Opening Statements: 1) The Chair of the Honor Council or his/her designee shall make opening remarks outlining the general nature of the case and testify to any facts the investigation has revealed. 2) The Respondent may make an opening statement to the Honor Council about the alleged violation at this time or at the conclusion of UMKC School of Medicine's presentation.

UMKC School of Medicine Evidence: 1) UMKC School of Medicine witnesses are to be called by the Chair of the Honor Council and identified or written reports of evidence are introduced as appropriate. 2) The Honor Council may question the Respondent. 3) The Respondent may question a witness or examine evidence at the conclusion of UMKC School of Medicine's questioning of the witness or introduction

of such evidence.

Respondent Evidence: 1) The Respondent shall have the opportunity to make a statement to the Honor Council about the alleged violation. 2) The Respondent may present evidence through witnesses or written memoranda.
3) The Honor Council may question a witness after the witness is questioned by the Respondent.

Rebuttal Evidence: The Honor Council may permit UMKC School of Medicine or the Respondent to offer a rebuttal of the other's presentation.

If it appears that essential testimony is unavailable, or that for other good cause the hearing should be deferred, the Chair of the Honor Council may continue, recess, or discontinue the hearing without prejudice.

V. Determination of the Honor Council

Following the hearing, the Honor Council shall promptly deliberate in closed session out of the presence of the Respondent. Determinations are to be made regarding both the validity of the alleged violation(s) and, if any violations are substantiated, the sanction(s) to be imposed.

A. Violation of the Standards of Professional Conduct

The Honor Council shall determine if the evidence presented in the hearing supports substantiation of a violation(s) of the Standards. The Honor Council may consult with other persons or examine other evidence prior to making a decision. Minutes of any meetings or any additional evidence shall be included in the "Record of the Case." Each member of the Honor Council shall have a vote; however, the Chair shall only vote in the event of a tie vote. The Honor Council shall render a decision, by simple majority vote, of whether one or more violations has been committed by the Respondent. Each alleged violation, if there is more than one, shall be considered individually and/or collectively at the discretion of the Honor Council. The Honor Council shall recommend sanctions for any substantiated violations.

An oral presentation of the Honor Council's findings and recommendations is permitted following the hearing, but a written "Final Report of the Honor Council" that includes findings of fact and recommended sanctions shall be completed as soon as possible after the hearing. This Final Report of the Honor Council shall be submitted to the Respondent by UMKC email, the Coordinating Committee, the Dean of UMKC School of Medicine, and any UMKC School of Medicine faculty or staff involved in any required remediation.

B. Sanctions

The Honor Council shall determine the sanctions to be imposed, if any, based upon its deliberations. One of the following sanctions is to be recommended by means of simple majority vote of the Honor Council members.

Where there are multiple violations, there can be separate sanctions for each violation or one sanction for all violations. Requirements for education and/or training, or referral to a UMKC School of Medicine Committee or other resource may be imposed on a Respondent irrespective of whether a violation of the Standards of Professional Conduct has been substantiated. Any such requirements do not constitute a sanction.

The sanctions include the following:

No Sanction. Given when the Respondent is not found in violation of any of the Standards of Professional Conduct.

Warning. A written reprimand that the Respondent has violated one or more Standards of Professional Conduct. A copy is to be placed in the Respondent's file. There is no prohibition on a student receiving more than one (1) warning; however, that fact that a student has received one or more warnings may be taken into account if there are any subsequent violations of the Standards. A warning is not a reportable action.

Probation. A written reprimand to the Respondent for one or more violations of the Standards of Professional Conduct that includes a designated period of time, the probability of more severe sanctions if the Respondent violates any other Standards of Professional Conduct during the probationary period, and subject to any appropriate terms or conditions, such as loss of privileges, restitution, and discretionary assignments. A disciplinary probation is a reportable action.

Suspension. An involuntary separation of the Respondent from UMKC School of Medicine for a specified period of time or until special conditions have been met, with a statement whether suspension should relate back to the date of the violation, begin at the time imposed, or begin at a date specified in the future. At the conclusion of the period of suspension, the Respondent is automatically returned to student status. Conditions for readmission may be specified. A disciplinary suspension is a reportable action.

Dismissal. An involuntary separation from UMKC School of Medicine for an indefinite period of time. The order of dismissal may specify a date before which the faculty will not consider a petition for readmission from the Respondent. A disciplinary dismissal is a reportable action.

Expulsion. Permanent separation of the student from UMKC School of Medicine. A disciplinary expulsion is a reportable action.

The above sanctions only apply to the status of the Respondent at UMKC School of Medicine. Any of the above actions that are reportable will be included on a Respondent's MSPE. Additionally, this information will be reported by UMKC SOM as needed on any future licensure certifications and verifications for the Respondent, and/or any official requests for information made from other UMKC entities. Respondents may also have an obligation to report sanctions on licensure or other applications.

VI. Decision of the Coordinating Committee

The Coordinating Committee, chaired by the UMKC Vice Dean for Academic Affairs and composed of members as detailed in the *Bylaws of the Coordinating Committee*, shall review the Final Report of the Honor Council. Each member of the Coordinating Council shall have a vote; however, the Chair of the Coordinating Council shall only vote in the event of a tie vote. After deliberation and careful consideration, the Coordinating Committee shall approve, by simple majority vote, one of the following actions: 1) to sustain the recommendations of the Honor Council; 2) to amend the recommendations of the Honor Council to another type of sanction; 3) to remand the Honor Council's recommendations for further consideration by the Honor Council; or 4) to reverse the Honor Council's recommendations.

The findings and determinations of the Honor Council and the Coordinating Committee shall be transmitted, to the Respondent by UMKC email and to the Dean of UMKC School of Medicine in writing, within seven (7) consecutive calendar days following the meeting of the Coordinating Committee where an action was approved.

VII. Decision of the Dean of UMKC School of Medicine

Upon receipt of the documents from the Honor Council and the Coordinating Committee, the Dean of UMKC School of Medicine shall review the Record of the Case and the approved action of the Coordinating Committee.

The Dean of UMKC School of Medicine will, within a reasonable amount of time, make a decision to affirm, amend, or reverse the Coordinating Committee's action, or remand the matter to the Coordinating Committee for further proceedings.

The Dean of UMKC School of Medicine shall notify the Respondent by UMKC email of his/her final decision. Copies of the notice to the Respondent will be sent to the Chair of the Honor Council and the Chair of the Coordinating Committee, and will be placed in the Respondent's file at UMKC School of Medicine and in the Record of the Case.

VIII. Right of Appeal

When a recommendation is made for a sanction(s) other than "none," and this is upheld by the Dean of UMKC School of Medicine, or if a recommendation of "no sanction" is revised by the Dean to expulsion, dismissal, or suspension from UMKC School of Medicine, the Respondent may appeal such decision to the UMKC Chancellor or his/her designated representative by filing a written "Notice of Appeal" with the UMKC Chancellor within ten (10) consecutive calendar days after notification of the decision from the Dean. A copy of the Notice of Appeal will also be given by the Respondent to the Dean of UMKC School of Medicine at the time of filing with the UMKC Chancellor. The Respondent may file a written memorandum for consideration by the UMKC Chancellor with the Notice of Appeal. If the Respondent fails to timely file an appeal, the decision of the Dean of UMKC School of Medicine shall become final and effective on the eleventh calendar day after notice to the Respondent.

The UMKC Chancellor or his/her designated representative shall review the Record of the Case and the appeal documents and may affirm, reverse, or remand the case for further proceedings, and shall notify the Dean of UMKC School of Medicine and the Respondent in writing of the decision on the appeal. The action of the UMKC Chancellor shall be final unless it is to remand the matter for further proceedings. The decision of the Dean of UMKC School of Medicine shall be deemed effective on the eleventh calendar day after notice was given to the Respondent unless the matter is remanded by the UMKC Chancellor. Any final sanction will be forwarded to the UMKC Office of Student Conduct and Civility for information purposes.

In cases of suspension, dismissal, or expulsion where a Notice of Appeal is filed within the required time, a Respondent may petition the UMKC Chancellor in writing for permission to attend classes pending final determination of appeal. The Chancellor may permit a Respondent to continue in school under such conditions as may be designated pending completion of appellate procedures, provided such continuance will not disrupt the University or constitute a danger to the health, safety, or welfare of the University community. In such event, however, any sanction imposed shall be effective from the date of the action of the Dean of UMKC School of Medicine.

VIII. Amendments to the Standards of Professional Conduct or Honor Council Procedures for Violations of the Standards of Professional Conduct

Amendments to the Standards of Professional Conduct and/or Honor Council Procedures for Violations of the Standards of Professional Conduct may be proposed by petition of any twenty-five members of the student body, the Honor Council on its own motion, or the UMKC SOM Faculty. Any proposed amendments must be approved by the Honor Council, the Coordinating Committee, the Dean of UMKC School of Medicine, the UMKC Chancellor, and the University of Missouri Board of Curators.

Investment Consultant Annual Approval
UM

Management is recommending for Board of Curators approval the retention of Verus. Verus, a fiduciary to the Board, provides general investment consulting services to the University.

In 2018, after a formal RFP process, the Board of Curators retained Verus as the general investment consultant. The Board of Curators approves the appointment of the general investment consultant on an annual basis. The approved fee for fiscal year 2020 was \$403,422. The agreement with Verus provides for an annual CPI inflation adjustment to be calculated in October each year. Attached is an overview of Verus for your review.

No 5.

Recommended Action - Investment Consultant Annual Approval, UM

It was recommended by Vice President Rapp, endorsed by UM System President and MU Chancellor Mun Y. Choi, recommended by the Finance Committee, moved by Curator _____ and seconded by Curator _____, that the investment consulting firm, Verus, be retained for one year:

Roll call vote of the Committee: YES NO

Curator Chatman
Curator Hoberock
Curator Steelman
Curator Williams

The motion _____.

Roll call vote of The Board of Curators: YES NO

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

The motion _____.



**PERSPECTIVES
THAT DRIVE
ENTERPRISE
SUCCESS**

AUGUST 2020

Verus Overview

OPEN - CONSENT - 5-3

VERUSINVESTMENTS.COM

SEATTLE 206-622-3700

LOS ANGELES 310-297-1777

SAN FRANCISCO 415-362-3484

PITTSBURGH 412-784-6678

September 24, 2020

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Firm Background

Verus was established in 1986 to provide independent consulting services to institutional investors. With offices in Seattle, Los Angeles, San Francisco and Pittsburgh, our professionals advise over \$401 billion in client assets for 154 clients. The firm has 30 shareholders and employs 87 people, 77 of whom are investment professionals. Our clients include corporate retirement plans, universities, endowment and foundations, public retirement plans, sovereign wealth funds, and multi-employer pension and welfare funds.

Our core competencies follow a clear and consistent approach, and offer research-driven solutions that enable our clients to prudently discharge their fiduciary responsibilities:

- Thoughtful strategic asset allocation based on your enterprise objectives and risk tolerance, viewed through multi-faceted risk and scenario analytics.
- Effective and efficient implementation, combining best-in-class investment managers, low-cost passive exposures, and appropriate operations.
- Comprehensive asset class research coverage across traditional and alternative investments
- Ability to identify and capture attractive valuation-based market opportunities.
- Application of risk management best practices across the portfolio to maximize risk-adjusted return.
- Customized reporting that ties investment results to selected milestones in order to better represent true progress.
- Proactive communication and educating clients about the economy, markets, and portfolio construction are key components of our service.

Since our last reporting, we have added 14 new shareholders as part of our effort to broaden the breadth of ownership among our key employees. We will continue to focus on pursuing a client-centric approach to consulting and strengthening the depth and breadth of the research teams that will be made available to our clients.

Resources

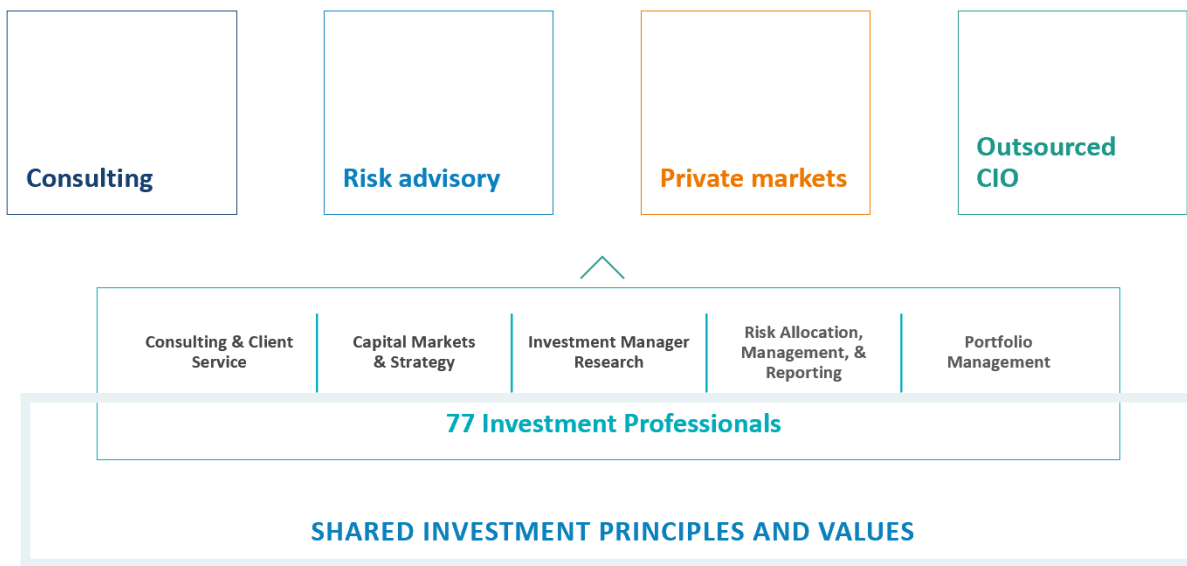
Functional Group	Number	● Avg. Industry Experience		● Avg. Firm Experience	
		< 2 Years	2-5 Years	5-10 Years	Over 10 Years
Consultants	32			●	●
Manager Research	15			●	●
Strategic Research	3			●	●
Risk Advisory & Portfolio Management	6		●		●
Performance Analytics	13		●	●	
Finance, operations and administration	15			●	●
Information technology	3				● ●
Total	87				● ●

We currently employ the following software and databases in aid of our consulting practice:

- eVestment Alliance Public markets database
- MPI Stylus Returns-based style analysis, regression analysis
- MSCI BarraOne Risk analysis
- Morningstar Direct Mutual fund information, analytics, index information
- Aksia Hedge fund research library and portal
- Burgiss Group “Private I” Private markets analytics and performance
- Preqin Private markets database
- Cambridge Associates Private markets database
- Thomson One VentureXpert Private equity database
- Private Informant Private equity database

Services

We have a centralized investment team that supports service delivery for varied client governance models.



Clients

Verus currently has 154 retainer clients with total of more than \$401 billion in assets under advisement. \$396 billion in traditional consulting services, and \$3.7 billion in discretionary services. Below is a representative client list.

NOT-FOR-PROFIT		CORPORATE	PUBLIC	MULTI-EMPLOYER		
501(c) Services	Miller Foundation	Allergan, Inc.	Fresno County Employees' Retirement Association	112/73 Retirement Trust Fund NECA-IBEW	Northern California Pipe Trades	Southern California Floor Covering
Allergan Foundation	Pacific Lutheran University	Apria Healthcare 401K Savings Plan	Imperial County Employees' Retirement System	Alaska Ironworkers	Northwest Ironworkers	Southern California Painting & Drywall Industries
American University of Cairo	Poudre Valley Health Systems	Avista Corporation	Indiana Public Retirement System	Alaska Plumbing & Pipefitting	Northwest Marine Retirement	Teamsters 206
Archdiocese of Seattle	Puget Sound Energy Foundation	Barrick Gold Corporation	Kern County Employees' Retirement Association	Alaska Teamsters	Oregon and Southwest Washington Painters	Teamsters Local 631
AVID Center	Riverside Community Foundation	Boise Cascade	Los Angeles Metropolitan Transportation Authority	Arizona Bricklayers' Employer-Industrial Sheet Metal Workers Local No. 16	Oregon Retail Employees	U.A. Local #290 (Portland Plumbers)
Barry Foundation	The Salvation Army – Western Division	Carollo Engineers	Montebello Teachers Association	Gunite Workers	Oregon Sheet Metal Workers	U.A. Local No 343
Bellarmino Preparatory School	The San Diego Foundation	Eastside Retirement Association	Missouri State Employees' Retirement System	IATSE Local 720	Painters & Allied Trades Paint Makers	U.A. Local #447
Blood Centers of the Pacific	Seattle Country Day School	Forever Living Products	Pasadena Fire and Police Retirement System	IBEW #76	Pension Plan for Employees of CA Labor Federation, AFL CIO	Washington State Plumbers
Carroll College	Sherwood Trust	Group Health Cooperative	Public School Retirement System of Missouri	IBEW #100	Pipe Trades District Council No. 36	Western Glaziers
College Spark	Sisters of St. Dominic	Hanford Site	Sacramento County Employees Retirement System	IBEW #684	Puget Sound Electrical Workers	Western States OPEIU
Community Foundation of N. Central WA	Sisters of the Holy Family	Harnish Group	San Jose Federated City Employees Retirement System	IBEW #1710	San Diego County Cement Masons	Western Washington Laborers
Community Foundation for Monterey County	Skagit Valley Regional Health	H.D. Fowler Company	San Jose Police & Fire Department Retirement	IBEW Pacific Coast	San Diego County Cement Masons	Western Washington U.A. Supplemental
Community Foundation of Southern Arizona	University Corporation at Monterey Bay	Independent Guard Association of Nevada	San Luis Obispo County Pension Trust	Idaho Operating Engineers	San Diego Theatrical Signatory Employers – Idaho Laborers	
Concordia College	University of Colorado Health	Jack in the Box, Inc.	San Mateo County Employees Retirement Association	Inlandboatmen's Union	Solano and Napa Counties Electrical Workers	
Confluence Health	University of Missouri	Karsten Manufacturing	Stanislaus County Employees' Retirement Association	Inland Empire Electrical Workers	Sound Retirement Trust	
Congregation of the Sisters of Mercy	University Physicians, Inc.	Moss-Adams LLP	Tennessee Consolidated Retirement System	Juan de la Cruz Farm Workers	Southern California Cement Masons	
Diocese of San Bernardino	UC San Diego Foundation	Mutual of Enumclaw Insurance Company	Tulare County Employees' Retirement Association	Laborers AGC Pension Trust of Montana		
Evergreen Healthcare	Virginia Mason Medical Center	NECA Puget Sound Chapter	West Virginia Investment Management Board	Marine Carpenters		
Gonzaga University	Whitworth University	The Seattle Times	Wisconsin State Investment Board	Northern California Pipe Trades		
Group Health Foundation		Westfield Corporation		Northwest Ironworkers		
Hamilton Family Trusts						
Hospice Foundation						
Huntington Hospital						
Idaho Community Foundation						
Leichtag Foundation						

This is excerpt of Verus clients as of April 1, 2020 who have provided permission to use their name. It is not known whether the listed clients approve of Verus or the advisory services provided.

Our Philosophy

Our consulting capabilities follow a consistent and research-driven approach that is governed by the following principles:

FUNDAMENTAL PRINCIPLES

Diversification

Valuation

Risk

Humility



FUNCTIONAL PRINCIPLES

Plan objectives should guide all decision making

Asset allocation & risk exposures drive portfolio results

Economic factors & valuation drive long-term asset class returns

Risk & diversification must be viewed through multiple lenses

Fees & costs should be minimized, and justified

Manager Search and Research

Our due diligence and manager search process follows a disciplined approach in assessing and selecting managers. In evaluating current investment managers, we employ quantitative and qualitative criteria to evaluate the following: (1) firm, process, people and product set; (2) asset class investment and competitive environment; (3) appropriate balance between fee structures and opportunity set over the long term and in current market conditions; (4) risk, style, size and other factor exposures, and the effect of different market environments on expected outcomes.

In selecting managers, we evaluate the role of the potential manager within the context of the total plan, specifically: (1) specific need in the client portfolio: the risk factor exposures and market beta exposures required, along with appropriate fee and cost levels, (2) manager's expected contributions to total and active risk; (3) assessment regime through which the manager will be viewed and ensuring time frame and approach are appropriate; (4) set clear expectations and expected outcomes on multiple dimensions for both client and manager.

Our manager research process goes beyond mere provision of data and focuses instead on finding investment solutions with a reliable, repeatable approach capable of producing return over the long term. Investment products we recommend have been through a multi-stage vetting process. At each stage, the universe becomes narrower and the investigation into the individual product is done in greater depth. A key feature of our manager research approach is the use of multiple lenses to evaluate and test investment managers and investment products. We recognize that skillful investment management relies on a combination of philosophies, attributes, ownership structures, incentive compensation schemes, professional capabilities, and organizational resource in addition to the standard metrics defined as process. We take a skeptical approach to evaluation of investment products, testing the thesis that an investment product can add value over multiple business cycles and also meet various client requirements.

Database

Verus tracks thousands of managers across the full range of asset classes at varying levels of depth, as follows:

- Client Managers – We closely monitor thousands of unique strategy exposures that are being employed by more than 154 clients.
- Approved List of Investment Products and Strategies – Verus maintains a list of 150 strategies in which we have the highest conviction, and which we believe to be most appropriate to addressing varying client performance objectives. These comprise the strategies that we recommend to our clients for new allocations and continue to proactively complete operational and investment due diligence on.
- In-house Database of Managers – Our proprietary database, which houses our history of meeting notes and analyses of investment managers and their products, contains data on

hundreds of managers across hundreds of strategies that our research and consulting staff have met with.

- External Databases – Through our external database we can track and screen managers across the full range of asset classes, both traditional and alternative:
 - eVestment Alliance – Quantitative and qualitative data on over 1600 managers, over 30,000 traditional long-only vehicles and over 23,000 alternative investment strategies
 - Morningstar Direct – 131,000 open-end funds, 31,000 stocks, 14,600 closed-end funds, 9,300 separate accounts composites and 8,200 hedge funds
 - Aksia – More than 2,000 hedge funds tracked
 - Burgiss Group Private I – More than 9,500 funds (private equity, VC funds, real assets, real estate, distressed debt, energy and fund-of-funds)

Neither Verus nor the third-party providers charge fees for inclusion in the databases. A manager simply has to submit and periodically update firm and performance data to be included.

Performance Measurement

Our performance measurement services cover the major public and private market asset classes. Our main tool for performance measurement is the InvestorForce Performance Reporting Network (iPRN), which allow us to drive greater operational efficiencies in several key areas including data aggregation, performance calculation and real-time analysis into client, manager and marketing movement as well as the timely, automated production of performance reports. Verus uses iPRN, Style Research, and our own proprietary systems to provide portfolio analytics.

Our standard performance measurement reporting package includes the following sections: Executive Summary, Capital Markets Review, Asset Allocation Review, Performance Detail and Total Fund, Asset Class and Manager Levels, and Performance Attribution and Analytics.

Private Markets Consulting

Many of our clients allocate 3%-30% of their assets to the private markets (buyouts, venture capital, debt-related and international investments). As in public markets investments, we apply the “three legs” of managing an investment program to the private markets arena: strategic planning, policy implementation, and monitoring. Specifically, we assist our clients in the following areas:

- Review of current alternative investments program
- Private markets education
- Restructuring of current program
- Private markets asset class allocation program
- Development of private markets investment policy and guidelines
- Partnership reviews and recommendations

- Due diligence reviews of current and prospective partnerships
- Ongoing oversight and performance measurement of private markets investments

We have a dedicated consulting team, who specialize in private markets consulting. We use a combination of in-house research, due diligence, and third-party databases to support our efforts, including Private i, a robust database and performance measurement application developed by The Burgiss Group, and VentureXpert, published by Thompson Financial. We believe that success in this asset class is not a random occurrence, but a discipline that can be monitored and replicated – both by the general partners and the plan sponsor – and we help provide that discipline through our services.

Trustee Education

Verus develops educational programs for our clients' trustees, typically as an integral part of the strategic planning/asset allocation process. We have conducted various types of on-site training and education workshops for institutional investors covering topics, such as:

- Fiduciary Responsibility
- Performance Measurement
- Securities Lending
- Mortgage-Backed Securities
- Asset Allocation
- Investment Industry Evolution
- New Trustee Education
- Option Strategies
- International Investing
- 401(k) Participation
- Capital Market Theory
- Venture Capital Investing
- Overlay Implementation
- Alternative Investments
- Manager Search
- Emerging Markets
- Hedge Funds

Biographies

Mr. Jeffrey MacLean

Chief Executive Officer

Mr. MacLean joined Verus in 1992 and is primarily responsible for managing the firm and providing investment advice to several clients. He has over 28 years of investment and consulting experience, working with all asset classes for a range of clients including corporate defined benefit plans, public institutions, multi-employer trusts, endowments, and foundations. He chairs the firm's management committee, as well as the investment committee, which provides strategic guidance on research initiatives and vets investment manager recommendations.

Mr. MacLean often speaks at investment forums regarding the macro-economic environment, asset allocation, risk management, alternative investments, and industry trends. Prior to joining Verus, Mr. MacLean was Vice President of Shurgard Realty Group, a real estate advisory firm, and a consultant for Arthur Andersen & Company.

Mr. MacLean currently volunteers for Children's Hospital of Los Angeles and he serves on the advisory board for the University of Washington Foster School of Business. He holds a master's degree in business administration (MBA) from the Darden School of Business and a bachelor's degree in business administration (BBA) from the University of Washington, where he served as student body president in his senior year.



Mr. Faraz Shooshani

Managing Director | Senior Private Markets Consultant

Mr. Shooshani has more than 20 years of investment and consulting experience, with over 10 years focused on private equity. He joined Verus in 2016 from Strategic Investment Solutions. Mr. Shooshani is a shareholder, sits on the management committee, and he oversees private markets research and consulting at Verus. Additionally, he is the lead consultant on a number client relationships, helping the firm's endowment & foundations, healthcare, and public clients build and manage their private markets and alternatives investments. Mr. Shooshani is a frequent speaker at investment industry conferences globally.

Prior to becoming an investment consultant, Mr. Shooshani was part of the investment management team at the California Institute of Technology (Caltech), where he helped restructure and diversify the university's endowment, charitable income trust, operating cash, and technology transfer stock portfolios. Previously he founded Catapult Ventures, a venture catalyst practice that launched seed- and early-stage startups as venture backed concerns in Silicon Valley.

Mr. Shooshani started his professional career with Booz Allen, a global management consulting firm focused on business strategy, operations efficiency, and information systems across sectors. Additionally, he held finance and sales and marketing roles at a number of operating companies in real estate, textiles, and semiconductor industries.

Mr. Shooshani is an active member and a volunteer at Congregation Emanu-El in San Francisco. He earned his master's in business administration (MBA) from the Yale School of Management, and a bachelor of arts (BA) degree in Economics from the University of California, Berkeley.



Paul Kreiselmaier, CFA

Senior Associate Director | Hedge Funds

Mr. Kreiselmaier has over 20 years of investment experience in various roles in both manager due diligence and quantitative research and portfolio management. At Verus, he is primarily responsible for investment strategy, due diligence, portfolio construction recommendations and relationship building across the hedge fund universe.

VERUS OVERVIEW

Prior to joining Verus, he was a senior research analyst at Russell Investments where he was responsible for evaluating, recommending and monitoring hedge fund managers for inclusion in client portfolios. He began his career at Russell evaluating US large cap equity and Global Tactical Asset Allocation (GTAA) managers. He also worked at Mellon Capital Management where he held both research and portfolio management related roles focused on both equity and GTAA mandates.

Mr. Kreiselmaier graduated from Trinity University with a bachelor of arts (BA) degree in economics. He also holds a master's degree in business administration (MBA) from the University of Texas at Austin. He is a CFA charterholder (Chartered Financial Analyst) and a member of both the CFA Institute and the CFA Society of Seattle. Mr. Kreiselmaier is also a member of the Chicago Quantitative Alliance (CQA).



Marcel Gesell, CFA
Consultant

Mr. Gesell originally joined Verus in 2016 with the merger of Strategic Investment Solutions, rejoining in 2019. Working out of the San Francisco office, he provides general consulting services to a select group of institutional clients. He was also previously responsible for risk-related client support, thought leadership, and contributions to the firm's risk consulting practice. He has more than fifteen years of experience helping large institutional investors design and maintain risk-efficient asset mixes appropriate to their liabilities and their particular level of risk tolerance.

Mr. Gesell joined Strategic Investment Solutions in 2000. Before that, he served as a portfolio manager at First Interstate Bank (now Wells Fargo), where he managed \$200 million in private client accounts. He was responsible for establishing his clients' strategic plans, investment objectives, asset allocation mixes, and portfolio structure.

Mr. Gesell is a CFA charterholder (Chartered Financial Analyst) and a member of the CFA Society of San Francisco. He has a bachelor of science degree (BS) in computational mathematics from Arizona State University and holds a master's degree in business administration (MBA) in finance from San Francisco State University. Prior to his investment management career, he served as a commissioned officer in the United States Army.

Past performance is no guarantee of future results. This document is provided for informational purposes only and is directed to institutional clients and eligible institutional counterparties only and is not intended for retail investors. Nothing herein constitutes investment, legal, accounting or tax advice, or a recommendation to buy, sell or hold a security or pursue a particular investment vehicle or any trading strategy. This document may include or imply estimates, outlooks, projections and other "forward-looking statements." No assurance can be given that future results described or implied by any forward looking information will be achieved. Investing entails risks, including possible loss of principal. Verus Advisory Inc. also known as Verus.

Amendments, Collected Rules and Regulations in Relation to New Title IX References

Executive Summary

As a result of revisions to the University of Missouri's anti-discrimination policies related to Title IX that became effective on August 14, 2020, the Collected Rules and Regulations are being revised to reflect the updated terminology for prohibited conduct, as well as updating references to the anti-discrimination policies by name or section number. A change is also being made to the definition of "student" in Section 200.020 to make it consistent with the definition of "student" in Sections 600.030 and 600.040. In addition, Section 310.060's definition of "Record of the Case" has been revised to reflect the updated definition found in Sections 600.030 and 600.040. Board materials include a redlined copy of the proposed language adjustments.

200.010 Standard of Conduct

200.020 Rules of Procedures in Student or Students Organization Conduct Matters

310.020 Regulations Governing Application of Tenure

310.060 Procedures in Case of Dismissal for Cause

330.110 Standards of Faculty Conduct

370.010 Academic Grievance Procedure

380.010 Grievance Procedure for Administrative, Service and Support Staff

600.070 Policy Related to Students with Disabilities

600.080 Policy Related to Employees with Disabilities

No. 6

Recommended Action - Amendments, Collected Rules and Regulations in Relation to New Title IX References

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

- 200.010 Standard of Conduct
- 200.020 Rules of Procedures in Student or Students Organization Conduct Matters
- 310.020 Regulations Governing Application of Tenure
- 310.060 Procedures in Case of Dismissal for Cause
- 330.110 Standards of Faculty Conduct
- 370.010 Academic Grievance Procedure
- 380.010 Grievance Procedure for Administrative, Service and Support Staff
- 600.070 Policy Related to Students with Disabilities
- 600.080 Policy Related to Employees with Disabilities

Roll call vote of the Committee: YES NO

- Curator Chatman
- Curator Layman
- Curator Snowden
- Curator Williams

The motion _____.

Roll call vote of the Board: YES NO

- Curator Brncic
- Curator Chatman
- Curator Graham
- Curator Hoberock
- Curator Layman
- Curator Snowden
- Curator Steelman
- 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.

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.

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 600.~~030-040~~ of the Collected Rules and Regulations against students and student organizations for conduct occurring in other settings, including off campus, in order to protect the physical safety of students, faculty, staff, and visitors or if there are effects of the conduct that interfere with or limit students' ability to participate in or benefit from the University's educational programs and activities.
- 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. To determine whether a student organization is responsible for conduct outlined in Section 200.010.C, all circumstances will be considered, including but not limited to whether:
 1. The student organization approved, condoned, allowed, encouraged, assisted or promoted such conduct;
 2. The prohibited behavior in question was committed by one or more student organization officers or a significant number of student organization members;
 3. Student organization resources, such as funds, listservs, message boards or organization locations, are used for the prohibited conduct; and/or
 4. A policy or official practice of the student organization resulted in the prohibited conduct.
- C. **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, 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. The instructor shall 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; (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.
 - b. The term **plagiarism** includes, but is not limited to: (i) use by paraphrase or direct quotation of 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 **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.**
 3. **Obstruction or disruption of teaching, research, administration, conduct proceedings, or other University activities, including its public service functions on or off campus.**
 4. **Physical abuse or other conduct which threatens or endangers the health or safety of any person.**
 5. **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. **Violation of the University's Equal Employment/Education Opportunity and Nondiscrimination Policy** located at Section 600.010 of the Collected Rules and Regulations.
 7. **Violation of the University's ~~Sex Discrimination, Sexual Harassment and Sexual Misconduct in Education/Employment~~ under Title IX Policy located at Section 600.020 of the Collected Rules and Regulations.**
 8. **Threatening 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. **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.**
 10. **Unauthorized possession, duplication or use of keys to any University facilities or unauthorized entry to or use of University facilities.**
 11. **Violation of University policies, rules or regulations, 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.

12. **Manufacture, use, possession, sale or distribution of alcoholic beverages or any controlled substance 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.
13. **Disruptive conduct.** Conduct that creates a substantial disruption of University operations including obstruction of teaching, research, administration, other University activities, and/or other authorized non-University activities that occur on campus.
14. **Failure to comply with directions of University officials acting in the performance of their duties.**
15. **The illegal or unauthorized possession or use of firearms, explosives, other weapons, or hazardous chemicals.**
16. **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 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. Failing to intervene to prevent, failing to discourage, and/or failing to report those acts may also violate this policy.
17. **Misuse of computing 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 facilities to interfere with the work of another student, faculty member, or University official;
 - f. Use of computing facilities to interfere with normal operation of the University computing system; and
 - g. Knowingly causing a computer virus to become installed in a computer system or file.

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.

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- 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. To determine whether a student organization is responsible for conduct outlined in Section 200.010.C, all circumstances will be considered, including but not limited to whether:
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 2. The prohibited behavior in question was committed by one or more student organization officers or a significant number of student organization members;
 3. Student organization resources, such as funds, listservs, message boards or organization locations, are used for the prohibited conduct; and/or
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 8. **Threatening 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. **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.**
 10. **Unauthorized possession, duplication or use of keys to any University facilities or unauthorized entry to or use of University facilities.**
 11. **Violation of University policies, rules or regulations, 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.
 12. **Manufacture, use, possession, sale or distribution of alcoholic beverages or any controlled substance 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.
13. **Disruptive conduct.** Conduct that creates a substantial disruption of University operations including obstruction of teaching, research, administration, other University activities, and/or other authorized non-University activities that occur on campus.
 14. **Failure to comply with directions of University officials acting in the performance of their duties.**
 15. **The illegal or unauthorized possession or use of firearms, explosives, other weapons, or hazardous chemicals.**
 16. **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 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. Failing to intervene to prevent, failing to discourage, and/or failing to report those acts may also violate this policy.
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 - 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 facilities to interfere with the work of another student, faculty member, or University official;
 - f. Use of computing facilities to interfere with normal operation of the University computing system; and
 - g. Knowingly causing a computer virus to become installed in a computer system or file.

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.

- 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 V 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, and including sexual ~~misconduct 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 and Sexual Misconduct against a *Faculty Member or Student or Student Organization*.*
- 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 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 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 ~~campuses~~ 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

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organization in all proceedings, and the registered faculty/staff advisor may be present, though not act on behalf of the student organization. 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.3(b) below.

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. 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 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 Housing Expulsion. Permanent separation of the student or student organization from University owned or operated housing.
 - h. University Dismissal. An involuntary separation of the student from the institution for misconduct. It is less than permanent in nature and does not imply or state a minimum separation time.
 - i. University Suspension. Separation of the student from the University for a definite period of time, after which the student is eligible to return. Conditions for readmission may be specified.
 - j. University Expulsion. Permanent separation of the student from the University.

- k. **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. **Temporary Suspension of a Student.** The Chancellor or Designee may at any time temporarily suspend or deny readmission to a student from the University pending formal procedures when the Chancellor or Designee finds and believes from available information that the presence of a student on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student will be initiated within seven business days.
 3. **Temporary Suspension of a Student Organization.** The Chancellor or Designee may at any time temporarily suspend 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, pending formal procedures when the Chancellor or Designee finds and believes from available information that the presence of the student organization on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student organization will be initiated within seven business days.
- D. **Records Retention.** Student conduct records shall be maintained for seven years after University action is completed.
- E. **Policy and Procedures.**
1. **Preliminary Procedures.** The Primary Administrative Officer or Designee (hereafter "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 by the Primary Administrative Officer. The Primary Administrative Officer, in making an investigation and disposition, may utilize student courts and boards and/or divisional deans to make recommendations.
 2. **Informal Dispositions.** The Primary Administrative Officer shall have the authority to make a determination and to impose appropriate sanctions and shall fix a reasonable time within which the student or student organization shall accept or reject a proposed informal disposition. A failure of the student or student organization either to accept or reject within the time fixed 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 disposition shall become final upon expiration of such time. 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. Formal Procedure and Disposition.

a. Student Conduct Committee:

(1) The Committee shall be appointed by the Vice Chancellor for Student Affairs 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 Vice Chancellor for Student Affairs 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.

b. General Statement of Procedures. A student or student organization accused of violating the Student Conduct Code is entitled to a written notice and a formal hearing unless the matter is disposed of under the rules for informal disposition. Student conduct proceedings are not to be construed as judicial trials and need not wait for legal action before proceeding; but care shall be taken to comply as fully as possible with the spirit and intent of the procedural safeguards set forth herein. 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.

c. Notice of Hearing.

At least fourteen (14) 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 with the following information:

- (1) A description of the alleged violation(s) and applicable policies
- (2) A description of the applicable procedures
- (3) A statement of the potential sanctions/remedial actions that could result; and
- (4) 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. For compelling reasons, the hearing may be rescheduled.

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This Notice of Charges 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 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' permanent address.

Notice is presumptively deemed delivered, when: 1) provided in person or 2) emailed to the individual (when prior consent - whether electronically or in writing - has been given to receipt of all notifications by email or 3) when mailed and emailed.

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. **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, 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 (5) 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 or reasons for review in detail, and the non-appealing party or parties may answer the petition within five (5) business days.
 - b. The Chancellor or Designee (hereafter "the Chancellor") may grant or refuse the right of review. In all cases where the Petition for Review is refused, the action of the Committee shall be final. If the Chancellor reviews the decision, the action of the Chancellor shall be final unless it is to remand the matter for further proceedings.
5. **Right of Appeal** (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, the Primary Administrative Officer, 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 party may file a written memorandum for consideration by the Chancellor with the Notice of Appeal, and the

Chancellor may request a reply to such memorandum by the appropriate party.

- b. The Chancellor shall review the record of the case and the appeal documents and may affirm, reverse, 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.

6. 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. 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 V of the Bylaws of the Board of Curators, 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 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 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.

F. Hearing Procedures.

1. **Pre-Hearing Witness List and Documentary Evidence.** At least seven (7) business days prior to the hearing, the student or representatives of the student organization will provide the Primary Administrative Officer a list of the names of the proposed witnesses and copies of all proposed documentary evidence. At least five (5) business days prior to the hearing, the Primary

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Administrative Officer will have the names of proposed witnesses, copies of all pertinent documentary evidence 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. **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 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 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 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) University witnesses are to be called and identified or written reports of evidence introduced as appropriate.
 - (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 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 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.
 - d. **Rebuttal Evidence.** The Committee may permit the University or the accused student or student organization 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;
 - (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;
 - (10) Suspend summarily students from the University who, during the hearing, obstruct or interfere with the course of the hearing or fail to abide by the ruling of the Chair of the Committee on any procedural question or request of the Chair for order.
3. **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;
 - b. Have an adviser or counselor and to consult with such adviser or counselor during the hearing;
 - c. Hear or examine evidence presented to the Committee;
 - d. Question witnesses present and testifying;
 - e. Present evidence by witnesses or affidavit;
 - f. Make any statement to the Committee in mitigation or explanation of the conduct in question;
 - g. Be informed in writing of the findings of the Committee and any sanctions it imposes; and
 - h. Request review or appeal to the Chancellor as herein provided.
4. **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.

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5. **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.
6. **Other Procedural Questions.** 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.
7. **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. Rules of common courtesy and decency shall be observed at all times.
 - d. An adviser 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.
8. **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.

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.

- 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 V 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*.
- 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 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 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 not act on behalf of the student organization. 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.3(b) below.

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. 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 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 Housing Expulsion.** Permanent separation of the student or student organization from University owned or operated housing.
 - h. **University Dismissal.** An involuntary separation of the student from the institution for misconduct. It is less than permanent in nature and does not imply or state a minimum separation time.
 - i. **University Suspension.** Separation of the student from the University for a definite period of time, after which the student is eligible to return. Conditions for readmission may be specified.
 - j. **University Expulsion.** Permanent separation of the student from the University.

- k. **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. **Temporary Suspension of a Student.** The Chancellor or Designee may at any time temporarily suspend or deny readmission to a student from the University pending formal procedures when the Chancellor or Designee finds and believes from available information that the presence of a student on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student will be initiated within seven business days.
 - 3. **Temporary Suspension of a Student Organization.** The Chancellor or Designee may at any time temporarily suspend 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, pending formal procedures when the Chancellor or Designee finds and believes from available information that the presence of the student organization on campus would seriously disrupt the University or constitute a danger to the health, safety, or welfare of members of the University community. The appropriate procedure to determine the future status of the student organization will be initiated within seven business days.
- D. **Records Retention.** Student conduct records shall be maintained for seven years after University action is completed.
- E. **Policy and Procedures.**
- 1. **Preliminary Procedures.** The Primary Administrative Officer or Designee (hereafter "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 by the Primary Administrative Officer. The Primary Administrative Officer, in making an investigation and disposition, may utilize student courts and boards and/or divisional deans to make recommendations.
 - 2. **Informal Dispositions.** The Primary Administrative Officer shall have the authority to make a determination and to impose appropriate sanctions and shall fix a reasonable time within which the student or student organization shall accept or reject a proposed informal disposition. A failure of the student or student organization either to accept or reject within the time fixed 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 disposition shall become final upon expiration of such time. 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. **Formal Procedure and Disposition.**

a. **Student Conduct Committee:**

(1) The Committee shall be appointed by the Vice Chancellor for Student Affairs 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 Vice Chancellor for Student Affairs 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.

b. **General Statement of Procedures.** A student or student organization accused of violating the Student Conduct Code is entitled to a written notice and a formal hearing unless the matter is disposed of under the rules for informal disposition. Student conduct proceedings are not to be construed as judicial trials and need not wait for legal action before proceeding; but care shall be taken to comply as fully as possible with the spirit and intent of the procedural safeguards set forth herein. 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.

c. **Notice of Hearing.**

At least fourteen (14) 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 with the following information:

- (1) A description of the alleged violation(s) and applicable policies
- (2) A description of the applicable procedures
- (3) A statement of the potential sanctions/remedial actions that could result; and

(4) 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. For compelling reasons, the hearing may be rescheduled.

This Notice of Charges 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 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 is presumptively deemed delivered, when: 1) provided in person or 2) emailed to the individual (when prior consent - whether electronically or in writing - has been given to receipt of all notifications by email or 3) when mailed and emailed.

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. **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, 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 (5) 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 or reasons for review in detail, and the non-appealing party or parties may answer the petition within five (5) business days.
 - b. The Chancellor or Designee (hereafter "the Chancellor") may grant or refuse the right of review. In all cases where the Petition for Review is refused, the action of the Committee shall be final. If the Chancellor reviews the decision, the action of the Chancellor shall be final unless it is to remand the matter for further proceedings.
5. **Right of Appeal** (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, the Primary Administrative Officer, 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 party may file a written memorandum for consideration by the Chancellor with the Notice of Appeal, and the

Chancellor may request a reply to such memorandum by the appropriate party.

- b. The Chancellor shall review the record of the case and the appeal documents and may affirm, reverse, 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.

6. 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. 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 V of the Bylaws of the Board of Curators, 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 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 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.

F. Hearing Procedures.

1. **Pre-Hearing Witness List and Documentary Evidence.** At least seven (7) business days prior to the hearing, the student or representatives of the student organization will provide the Primary Administrative Officer a list of the names of the proposed witnesses and copies of all proposed documentary evidence. At least five (5) business days prior to the hearing, the Primary

Administrative Officer will have the names of proposed witnesses, copies of all pertinent documentary evidence 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. **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 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 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 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) University witnesses are to be called and identified or written reports of evidence introduced as appropriate.
 - (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 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 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.
 - d. **Rebuttal Evidence.** The Committee may permit the University or the accused student or student organization 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;
- (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;
- (10) Suspend summarily students from the University who, during the hearing, obstruct or interfere with the course of the hearing or fail to abide by the ruling of the Chair of the Committee on any procedural question or request of the Chair for order.

3. **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;
- b. Have an adviser or counselor and to consult with such adviser or counselor during the hearing;
- c. Hear or examine evidence presented to the Committee;
- d. Question witnesses present and testifying;
- e. Present evidence by witnesses or affidavit;
- f. Make any statement to the Committee in mitigation or explanation of the conduct in question;
- g. Be informed in writing of the findings of the Committee and any sanctions it imposes; and
- h. Request review or appeal to the Chancellor as herein provided.

4. **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.

5. **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.
6. **Other Procedural Questions.** 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.
7. **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. Rules of common courtesy and decency shall be observed at all times.
 - d. An adviser 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.
8. **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.

310.020 Regulations Governing Application of Tenure

Bd. Min. 3-17-72, p. 36,281; Revised Bd. Min. 6-27-80, p. 38,132; Amended Bd. Min. 9-12-80; Amended Bd. Min. 10-30-87, 6-19-92, 3-18-93, 9-28-01, 2-5-15.

The following regulations, under which the Board intends to exercise the powers vested in it, govern the application of the principle of tenure at the University of Missouri, but these regulations shall not impair, or be taken to waive, any powers now or hereafter vested in the Board under the Constitution and laws of the State of Missouri. At the same time, the Board recognizes that matters relating to faculty status are primarily a faculty responsibility. Recommendations in matters of appointment, reappointment, nonreappointment, promotion, tenure, and dismissal shall be by the appropriate faculty through established procedures, followed by action by administrative officers, with final determination by the appointing authority. For allegations of harassment or discrimination, including sexual harassment, against a faculty member, the procedures are found in 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, Sexual Misconduct and other Forms of Discrimination~~ against a Faculty Member or Student or Student Organization, and when applicable, Section 310.060: Procedures in Case of Dismissal for Cause.

- A. **Classes of Academic Staff Appointments** -- Academic staff appointments are those in which the principal responsibilities are teaching, research, extension, academic service, or any combination thereof. There shall be only two classes of academic staff appointments, designated as such: regular and nonregular.
1. **Regular** -- A regular appointment requires full-time service by the holder thereof and must carry full-time pay from the University, except as provided in Section B.2.a. Special exception may be made for licensed physicians on the staff of the Harry S. Truman Veterans Administration Hospital who can be recommended for regular academic appointment in the University of Missouri-Columbia School of Medicine by the Dean of said School if endorsed by the Chancellor of the Columbia campus. In so doing the School of Medicine assumes full responsibility for the tenure status of the individual physician. There shall be only three titles of rank for regular appointments, designated as such: Professor, Associate Professor, and Assistant Professor. The holder of a regular appointment either is tenured or, unless notified of nonreappointment or terminal appointment, is considered to be working toward tenure.
 2. **Nonregular** -- All other academic staff appointments are nonregular. Nonregular appointments are either temporary (not to exceed seven years), part-time, or involve duties substantially different from those of faculty members holding regular appointments. The following sections illustrate the class of nonregular appointments.
 - a. Temporary appointments involving duties similar to those of regular appointees, such as Visiting Professor. The maximum number of consecutive annual appointments in this category shall be seven (7), unless funds for the position come from a project grant or contract.

- b. Unless explicitly exempted under the above paragraph, all part-time or summer appointments. This category includes appointments such as Adjunct Professor or Clinical Professor and others of like nature, where the holder does not have full-time responsibilities or pay associated with that title. This category also includes certain academic appointments for persons having primary appointments of an administrative nature.
- c. Appointments to positions involving duties substantially different from those of regular appointees, such as academic field staff appointments in Extension; Lecturer, Assistant Instructor, Instructor, Research Assistant, Research Associate, Graduate Research Assistant, Graduate Teaching Assistant, Extension Assistant, Extension Associate, Student Assistant, and others of like nature; coaches of intercollegiate athletics. Titles in this category shall not include Professor, Associate Professor, and Assistant Professor, but may be modifications thereof.

B. Types of Appointments

1. Within the class of regular appointments, there shall be two types: regular term appointments and continuous appointments. Within the class of nonregular appointments, there shall be one type: nonregular term appointments.
 - a. **Regular Term Appointments** -- Regular term appointments begin at a specified date and terminate at a specified date. Such appointments are usually for a period of one academic year, but may be for a longer or shorter period, except that no single term appointment shall be for a period longer than three years. Regular term appointments are subject to the maximum probationary period described in Section 310.020 C and D. Faculty members on regular term appointments are to be considered as reappointed for the succeeding year unless appropriately notified under Section 310.020 F.
 - b. **Continuous Appointments** -- Continuous appointments are regular appointments that begin at a specified date but have no specified date of termination. Such appointments shall be deemed to exist in a given department or school on a specific campus. Unless a continuous appointment is subsequently acquired in another unit, no faculty member shall lose, by an approved change in duties or administrative unit, a continuous appointment already acquired. No faculty member shall lose a continuous appointment already acquired if granted a leave of absence with subsequent resumption of duties. In circumstances in which the interest of the University may be better served thereby, a continuous appointment already acquired may be changed, upon request of the faculty member, from full-time to part-time status.
 - c. **Nonregular Term Appointments** -- Nonregular term appointments begin at a specified date and terminate at a specified date. Such appointments are usually for a period of one academic year but may be for a longer or shorter period, except that no single term appointment shall be for a period longer than three years. No number of nonregular term appointments shall create any presumption of a right to reappointment on term or continuous basis, subject to the limitations described in Section 310.020 A.2.
2. **Administrative Functions** -- The administrative functions and titles of administrators shall be distinct and severable from their functions, titles, and status, if any, as appointees to the academic staff. The academic appointments

of persons whose primary responsibilities are administrative may be regular or nonregular depending upon the particular circumstances, but the academic appointment must be made through established procedures for such appointments and its terms made explicit prior to the start of the appointment. An initial appointment may be made for both administrative functions and academic staff duties.

C. Tenure

1. Faculty members on continuous appointments shall have tenure, subject to dismissal only for cause, retirement for age in accordance with Board retirement regulations, or termination because of formal discontinuance of a program or department of instruction. Adequate cause for dismissal shall be related, directly and substantially, to the faculty member's fitness or performance in the professional capacity of teacher or researcher. Cause for dismissal may include but is not limited to the following:
 - Conviction of a felony or other crime involving moral turpitude during the period of employment by the University of Missouri which is related, directly and substantially, to the faculty member's academic fitness or performance in the professional capacity of teacher or researcher.
 - Professional incompetence in the performance of academic responsibilities.
 - Intentional and habitual neglect of duty in the performance of academic responsibilities, provided that a written warning and a reasonable opportunity to correct the behavior have been given.
 - Severe research misconduct, academic irresponsibility, or other default of academic integrity in the performance of academic responsibilities.
 - Willful misrepresentation of material matters in applying to the University of Missouri for employment which are related, directly and substantially, to the faculty member's fitness or performance in the professional capacity of teacher or researcher.
 - Harassment or discrimination, including sexual harassment, in violation of the University's Anti-Discrimination Policies, as determined through the procedures in Sections 600.030, 600.040 and 310.060 of the Collected Rules and Regulations.
 - Due consideration shall be given to seniority in terms of academic rank and length of service in the event that certain continuous appointments must be terminated because of financial exigencies. Where termination of an appointment with tenure, or of a nontenured appointment before the end of the specified term, is based upon bona fide financial exigency or discontinuance of a program or department of instruction, faculty members shall be able to have the issues reviewed by the faculty, or by an appropriate faculty committee, with ultimate review of all controverted issues by the Board.
 - Before terminating an appointment for either of these reasons, the University will make every effort to place affected faculty members in other suitable positions. The faculty member whose appointment is terminated under the conditions of financial exigency or discontinuance of a program or department of instruction will be given notice not less than that prescribed in Section 310.020 F.2; and no position within the same administrative unit for which the released faculty member is qualified will be filled by a replacement within a period of three years, unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

2. Appointees to the academic staff under term appointments, either regular or nonregular, are subject to termination prior to expiration of the stated term only for cause or under extraordinary circumstances because of financial exigencies or discontinuance of a program or department of instruction. Term appointments for Non-Regular and Regular, Untenured faculty may be terminated prior to expiration of the stated term pursuant to [Sections 600.030: Resolution Process for Resolving Complaints of Sexual Harassment under Title IX or Section 600.040: Equity Resolution Process for Resolving Complaints of Discrimination and Harassment, ~~Sexual Misconduct and other Forms of Discrimination~~ against a Faculty Member or Student or Student Organization](#). An appointment with tenure may be terminated pursuant to [Section 600.030 or Section 600.040](#) and Section 310.060: Procedures in Case of Dismissal for Cause.
 3. Termination of an appointment with tenure, or of a probationary or special appointment before the end of the period of appointment, for medical reasons, will be based upon clear and convincing medical evidence that the faculty member cannot continue to fulfill the terms and conditions of the appointment. The decision to terminate will be reached only after there has been appropriate consultation and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member's position and to respond to the evidence. If the faculty member so requests, the evidence will be reviewed by the Faculty Committee on Tenure before a final decision is made. (See also University benefit programs--optional long-term disability income protection.)
 4. The relieving of any person of administrative functions shall not impair any existing tenure status as an appointee to the academic staff.
- D. **The Probationary Period** -- The purpose of a probationary period is to allow reasonable time for faculty members to establish their academic performance and for their departments to evaluate performance and potential performance in the long-range future in order to validate recommendations for continuous or terminal appointments. The following rules and guidelines are applicable to determination of the probationary period and creditable previous service of persons with experience prior to the start of a regular appointment at this University.
1. Beginning with appointment to the rank of full-time Assistant Professor or higher rank, the total probationary period of term appointments will not exceed six years (including within this six-year period full-time creditable service in all institutions of higher education), except that if after a term of probationary service of more than three years in one or more institutions, a faculty member is appointed at a campus of the University of Missouri, it may be agreed in writing that there shall be a probationary period at that campus not to exceed three years. In no case will the conditions established in this section cause the probationary period at a campus of this University to be longer than prescribed in Section 310.020 E. In all cases the probationary period will be indicated on the appointment form. The probationary period will be followed either by continuous appointment or a one-year terminal appointment.
 2. In general, credit will be allowed for previous experience on a full-time academic staff appointment at the rank of Assistant Professor or higher at this University or any other institution of higher education. Because some academic appointments at this and other institutions of higher education carry

responsibilities substantially different from the prospective appointment at this University, there may be circumstances in which previous service should not be credited as a part of the maximum probationary period. If this is determined to be the case, it must be agreed to prior to this appointment and reflected in the probationary period indicated on the appointment form.

3. If the appointee has had a substantial period of previous service, the decision whether or not to recommend continuous appointment should be made as soon as reasonably feasible. The initial appointment may be a continuous appointment. A regular term appointment of a person who currently holds such an appointment in the same field at this University, or has held one during the preceding year, shall be deemed to be a reappointment, a change in appointment, or a connected appointment, and not a new or initial appointment.
 4. In computing service to be credited within the probationary period, the following rules shall apply:
 - a. Years of service shall be computed in terms of academic years. Not more than one academic year of credit shall be allowed for services during any consecutive twelve-month period. Service for less than one academic year shall be excluded unless the faculty member and the appointing authority agree in writing to the inclusion at the time of the initial appointment.
 - b. Service on any nonregular appointment involving duties substantially different from duties on a regular appointment shall be excluded.
 - c. Service while on leave of absence without pay shall be excluded unless the faculty member and the appointing authority agree in writing to the inclusion at the time the leave is granted. Leaves of absence for scholarly purposes of one year or less generally should be included.
 - d. In allowing credit for service at this University or at another institution, fractions of an academic year shall be excluded where crediting such fraction would require decisions at times other than the normal period during the academic year when decisions are made as to recommendations or notices, even if such exclusion will have the effect of extending the probationary period beyond the normal maximum.
- E. **Regular Term Appointments and Reappointments** -- The following provisions apply to initial regular term appointments and reappointments. The provisions apply to persons without previous service and are modified by Section 310.020 D for persons with creditable previous service.
1. **Assistant Professor** -- Initial regular appointment at the rank of Assistant Professor shall be a term appointment. The maximum period on term appointment shall not exceed seven years. During the appointee's initial term, and during each succeeding term through the sixth year of service, the appropriate Dean or other administrative officer shall, after receiving recommendations from the appropriate faculty bodies, make one of the following recommendations, except that the recommendations 1.a and 1.b shall not be made during the appointee's sixth year of service.
 - a. To reappoint as Assistant Professor on a regular term appointment.
 - b. In exceptional cases, to promote to Associate Professor on term appointment. If such recommendation is effected, by proper appointment, Section 310.020 E.2 controls thereafter, except that the maximum period on term appointments shall not exceed seven years,

and all of the service as an Assistant Professor shall be credited toward the seven-year maximum period.

- c. To promote to Associate Professor on continuous appointment.
 - d. To reappoint as Assistant Professor on continuous appointment.
 - e. To reappoint as Assistant Professor on a terminal one-year term appointment, expressly stated to be such.
 - f. Not to reappoint, provided there has been due notice as stipulated in Section 310.020 F.2.
2. **Associate Professor** -- Initial regular appointment at the rank of Associate Professor normally shall be a term appointment but in exceptional cases may be a continuous appointment. The maximum period on term appointment shall not exceed five years. During the appointee's initial term, and during each succeeding term through the fourth year of service, the appropriate Dean or other administrative officer shall, after receiving recommendations from the appropriate faculty bodies, make one of the following recommendations, except that recommendation Section 310.020 E.2.a shall not be made during the appointee's fourth year of service:
- a. To reappoint as Associate Professor on continuous appointment.
 - b. To promote to Professor on continuous appointment.
 - c. To reappoint as Associate Professor on a terminal one-year appointment, expressly stated to be such.
 - d. Not to reappoint, provided there has been due notice as stipulated in Section 310.020 F.
3. **Professor** -- Initial regular appointment at the rank of Professor normally shall be a term appointment but may be a continuous appointment. The maximum period on term appointment shall not exceed four years. During the appointee's initial term and during each succeeding term through the third year of service, the appropriate Dean or other administrative officer shall, after receiving recommendations from the appropriate faculty bodies, make one of the following recommendations, except that recommendation Section 310.020 E.3.a shall not be made during the appointee's third year of service.
- a. To reappoint as Professor on a regular term appointment.
 - b. To reappoint as Professor on continuous appointment.
 - c. To reappoint as Professor on a terminal one-year term appointment, expressly stated to be such.
 - d. Not to reappoint, provided there has been due notice as stipulated in Section 310.020 F.
4. **Erroneous Term Appointments** -- Since the granting of tenure should be a deliberate act after considered evaluation of the appointee's past performance and potential performance in the long-range future, a good faith term appointment beyond the maximum permissible period on term appointments prescribed by Sections 310.020 D.1, 310.020 E.1,2, or 3 shall not confer tenure by default nor be considered a terminal appointment. Immediately upon the discovery of such an error the appointee or administrative officer shall notify the appointing authority and request that a determination be made as to the proper appointment.

F. **Nonrenewal of a Regular Term Appointment**

1. When an appointee on regular term appointment is not recommended for reappointment, notice to that effect shall be given in writing to such appointee by an appropriate administrative officer in accordance with Section 310.070 by

the deadline dates specified in Section 310.020 F.2. A timely terminal appointment expressly stated to be such shall be sufficient notice that the appointee will not be recommended for reappointment at the end of the terminal period.

2. Notice shall be given as follows in the case of fiscal or academic year appointments. For appointments having other starting dates, comparable notice shall be given.
 - a. Not later than March 1 of the first year of service at this University, if the appointment expires at the end of the first year. Not later than December 20 of the second year of service at this University, if the appointment expires at the end of second year.
 - b. Thirty days prior to the first day of the terminal year of appointment where the terminal year is the third, or subsequent, year of service at this University.
3. At the time of initial appointment, a faculty member should be informed of expectations about performance and of procedures generally involved in decisions affecting renewal and tenure. There should be provision for annual review of the faculty member's performance to be made by the immediate supervisor and communicated in writing, during the probationary period, to the faculty member according to generally accepted criteria with reference to the expectations discussed in the initial conference. During the probationary period, information should be given as to the time when decisions affecting renewal and tenure are ordinarily made, and there should be an opportunity to submit material which will be helpful to an adequate consideration of the faculty member's circumstances. In the event of a recommendation at any level for nonrenewal of a regular appointment or for a terminal appointment, the faculty member shall be informed and, upon request, shall be furnished with an explanation of that decision. The faculty member shall have an opportunity to request a reconsideration of the decision and to appeal the decision to the Chancellor. If the result of that appeal is not satisfactory to the faculty member, the faculty member may file a grievance under the Faculty Grievance Procedures (Section 370.010) in the event it is alleged:
 - a. That the decision resulted from inadequate consideration; or,
 - b. That the decision was based significantly on consideration violative of academic freedom; or,
 - c. That the decision was based significantly on considerations violative of governing policies on equal employment opportunity. Notwithstanding any explanation given, the burden shall rest upon the faculty member to prove the allegations contained in the grievance. In the event that the grievance panel finds probable cause of a violation of academic freedom, the matter shall proceed under the provisions of Section 310.060 except that the burden of proof remains with the appellant.
- G. An appointee to the academic staff on regular term appointment shall not subsequently be given a full-time nonregular term appointment to perform substantially the same type of duties in excess of a total period of service of seven years.

310.020 Regulations Governing Application of Tenure

Bd. Min. 3-17-72, p. 36,281; Revised Bd. Min. 6-27-80, p. 38,132; Amended Bd. Min. 9-12-80; Amended Bd. Min. 10-30-87, 6-19-92, 3-18-93, 9-28-01, 2-5-15.

The following regulations, under which the Board intends to exercise the powers vested in it, govern the application of the principle of tenure at the University of Missouri, but these regulations shall not impair, or be taken to waive, any powers now or hereafter vested in the Board under the Constitution and laws of the State of Missouri. At the same time, the Board recognizes that matters relating to faculty status are primarily a faculty responsibility. Recommendations in matters of appointment, reappointment, nonreappointment, promotion, tenure, and dismissal shall be by the appropriate faculty through established procedures, followed by action by administrative officers, with final determination by the appointing authority. For allegations of harassment or discrimination, including sexual harassment, against a faculty member, the procedures are found in 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, and when applicable, Section 310.060: Procedures in Case of Dismissal for Cause.

- A. **Classes of Academic Staff Appointments** -- Academic staff appointments are those in which the principal responsibilities are teaching, research, extension, academic service, or any combination thereof. There shall be only two classes of academic staff appointments, designated as such: regular and nonregular.
1. **Regular** -- A regular appointment requires full-time service by the holder thereof and must carry full-time pay from the University, except as provided in Section B.2.a. Special exception may be made for licensed physicians on the staff of the Harry S. Truman Veterans Administration Hospital who can be recommended for regular academic appointment in the University of Missouri-Columbia School of Medicine by the Dean of said School if endorsed by the Chancellor of the Columbia campus. In so doing the School of Medicine assumes full responsibility for the tenure status of the individual physician. There shall be only three titles of rank for regular appointments, designated as such: Professor, Associate Professor, and Assistant Professor. The holder of a regular appointment either is tenured or, unless notified of nonreappointment or terminal appointment, is considered to be working toward tenure.
 2. **Nonregular** -- All other academic staff appointments are nonregular. Nonregular appointments are either temporary (not to exceed seven years), part-time, or involve duties substantially different from those of faculty members holding regular appointments. The following sections illustrate the class of nonregular appointments.
 - a. Temporary appointments involving duties similar to those of regular appointees, such as Visiting Professor. The maximum number of consecutive annual appointments in this category shall be seven (7), unless funds for the position come from a project grant or contract.
 - b. Unless explicitly exempted under the above paragraph, all part-time or summer appointments. This category includes appointments such as

Adjunct Professor or Clinical Professor and others of like nature, where the holder does not have full-time responsibilities or pay associated with that title. This category also includes certain academic appointments for persons having primary appointments of an administrative nature.

- c. Appointments to positions involving duties substantially different from those of regular appointees, such as academic field staff appointments in Extension; Lecturer, Assistant Instructor, Instructor, Research Assistant, Research Associate, Graduate Research Assistant, Graduate Teaching Assistant, Extension Assistant, Extension Associate, Student Assistant, and others of like nature; coaches of intercollegiate athletics. Titles in this category shall not include Professor, Associate Professor, and Assistant Professor, but may be modifications thereof.

B. Types of Appointments

1. Within the class of regular appointments, there shall be two types: regular term appointments and continuous appointments. Within the class of nonregular appointments, there shall be one type: nonregular term appointments.
 - a. **Regular Term Appointments** -- Regular term appointments begin at a specified date and terminate at a specified date. Such appointments are usually for a period of one academic year, but may be for a longer or shorter period, except that no single term appointment shall be for a period longer than three years. Regular term appointments are subject to the maximum probationary period described in Section 310.020 C and D. Faculty members on regular term appointments are to be considered as reappointed for the succeeding year unless appropriately notified under Section 310.020 F.
 - b. **Continuous Appointments** -- Continuous appointments are regular appointments that begin at a specified date but have no specified date of termination. Such appointments shall be deemed to exist in a given department or school on a specific campus. Unless a continuous appointment is subsequently acquired in another unit, no faculty member shall lose, by an approved change in duties or administrative unit, a continuous appointment already acquired. No faculty member shall lose a continuous appointment already acquired if granted a leave of absence with subsequent resumption of duties. In circumstances in which the interest of the University may be better served thereby, a continuous appointment already acquired may be changed, upon request of the faculty member, from full-time to part-time status.
 - c. **Nonregular Term Appointments** -- Nonregular term appointments begin at a specified date and terminate at a specified date. Such appointments are usually for a period of one academic year but may be for a longer or shorter period, except that no single term appointment shall be for a period longer than three years. No number of nonregular term appointments shall create any presumption of a right to reappointment on term or continuous basis, subject to the limitations described in Section 310.020 A.2.
2. **Administrative Functions** -- The administrative functions and titles of administrators shall be distinct and severable from their functions, titles, and status, if any, as appointees to the academic staff. The academic appointments of persons whose primary responsibilities are administrative may be regular or nonregular depending upon the particular circumstances, but the academic

appointment must be made through established procedures for such appointments and its terms made explicit prior to the start of the appointment. An initial appointment may be made for both administrative functions and academic staff duties.

C. Tenure

1. Faculty members on continuous appointments shall have tenure, subject to dismissal only for cause, retirement for age in accordance with Board retirement regulations, or termination because of formal discontinuance of a program or department of instruction. Adequate cause for dismissal shall be related, directly and substantially, to the faculty member's fitness or performance in the professional capacity of teacher or researcher. Cause for dismissal may include but is not limited to the following:
 - Conviction of a felony or other crime involving moral turpitude during the period of employment by the University of Missouri which is related, directly and substantially, to the faculty member's academic fitness or performance in the professional capacity of teacher or researcher.
 - Professional incompetence in the performance of academic responsibilities.
 - Intentional and habitual neglect of duty in the performance of academic responsibilities, provided that a written warning and a reasonable opportunity to correct the behavior have been given.
 - Severe research misconduct, academic irresponsibility, or other default of academic integrity in the performance of academic responsibilities.
 - Willful misrepresentation of material matters in applying to the University of Missouri for employment which are related, directly and substantially, to the faculty member's fitness or performance in the professional capacity of teacher or researcher.
 - Harassment or discrimination, including sexual harassment, in violation of the University's Anti-Discrimination Policies, as determined through the procedures in Sections 600.030, 600.040 and 310.060 of the Collected Rules and Regulations.
 - Due consideration shall be given to seniority in terms of academic rank and length of service in the event that certain continuous appointments must be terminated because of financial exigencies. Where termination of an appointment with tenure, or of a nontenured appointment before the end of the specified term, is based upon bona fide financial exigency or discontinuance of a program or department of instruction, faculty members shall be able to have the issues reviewed by the faculty, or by an appropriate faculty committee, with ultimate review of all controverted issues by the Board.
 - Before terminating an appointment for either of these reasons, the University will make every effort to place affected faculty members in other suitable positions. The faculty member whose appointment is terminated under the conditions of financial exigency or discontinuance of a program or department of instruction will be given notice not less than that prescribed in Section 310.020 F.2; and no position within the same administrative unit for which the released faculty member is qualified will be filled by a replacement within a period of three years, unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.
2. Appointees to the academic staff under term appointments, either regular or nonregular, are subject to termination prior to expiration of the stated term

only for cause or under extraordinary circumstances because of financial exigencies or discontinuance of a program or department of instruction. Term appointments for Non-Regular and Regular, Untenured faculty may be terminated prior to expiration of the stated term pursuant to Sections 600.030: Resolution Process for Resolving Complaints of Sexual Harassment under Title IX or Section 600.040: Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization. An appointment with tenure may be terminated pursuant to Section 600.030 or Section 600.040 and Section 310.060: Procedures in Case of Dismissal for Cause.

3. Termination of an appointment with tenure, or of a probationary or special appointment before the end of the period of appointment, for medical reasons, will be based upon clear and convincing medical evidence that the faculty member cannot continue to fulfill the terms and conditions of the appointment. The decision to terminate will be reached only after there has been appropriate consultation and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member's position and to respond to the evidence. If the faculty member so requests, the evidence will be reviewed by the Faculty Committee on Tenure before a final decision is made. (See also University benefit programs--optional long-term disability income protection.)
4. The relieving of any person of administrative functions shall not impair any existing tenure status as an appointee to the academic staff.

D. **The Probationary Period** -- The purpose of a probationary period is to allow reasonable time for faculty members to establish their academic performance and for their departments to evaluate performance and potential performance in the long-range future in order to validate recommendations for continuous or terminal appointments. The following rules and guidelines are applicable to determination of the probationary period and creditable previous service of persons with experience prior to the start of a regular appointment at this University.

1. Beginning with appointment to the rank of full-time Assistant Professor or higher rank, the total probationary period of term appointments will not exceed six years (including within this six-year period full-time creditable service in all institutions of higher education), except that if after a term of probationary service of more than three years in one or more institutions, a faculty member is appointed at a campus of the University of Missouri, it may be agreed in writing that there shall be a probationary period at that campus not to exceed three years. In no case will the conditions established in this section cause the probationary period at a campus of this University to be longer than prescribed in Section 310.020 E. In all cases the probationary period will be indicated on the appointment form. The probationary period will be followed either by continuous appointment or a one-year terminal appointment.
2. In general, credit will be allowed for previous experience on a full-time academic staff appointment at the rank of Assistant Professor or higher at this University or any other institution of higher education. Because some academic appointments at this and other institutions of higher education carry responsibilities substantially different from the prospective appointment at this University, there may be circumstances in which previous service should not be credited as a part of the maximum probationary period. If this is

determined to be the case, it must be agreed to prior to this appointment and reflected in the probationary period indicated on the appointment form.

3. If the appointee has had a substantial period of previous service, the decision whether or not to recommend continuous appointment should be made as soon as reasonably feasible. The initial appointment may be a continuous appointment. A regular term appointment of a person who currently holds such an appointment in the same field at this University, or has held one during the preceding year, shall be deemed to be a reappointment, a change in appointment, or a connected appointment, and not a new or initial appointment.
4. In computing service to be credited within the probationary period, the following rules shall apply:

- a. Years of service shall be computed in terms of academic years. Not more than one academic year of credit shall be allowed for services during any consecutive twelve-month period. Service for less than one academic year shall be excluded unless the faculty member and the appointing authority agree in writing to the inclusion at the time of the initial appointment.
- b. Service on any nonregular appointment involving duties substantially different from duties on a regular appointment shall be excluded.
- c. Service while on leave of absence without pay shall be excluded unless the faculty member and the appointing authority agree in writing to the inclusion at the time the leave is granted. Leaves of absence for scholarly purposes of one year or less generally should be included.
- d. In allowing credit for service at this University or at another institution, fractions of an academic year shall be excluded where crediting such fraction would require decisions at times other than the normal period during the academic year when decisions are made as to recommendations or notices, even if such exclusion will have the effect of extending the probationary period beyond the normal maximum.

E. **Regular Term Appointments and Reappointments** -- The following provisions apply to initial regular term appointments and reappointments. The provisions apply to persons without previous service and are modified by Section 310.020 D for persons with creditable previous service.

1. **Assistant Professor** -- Initial regular appointment at the rank of Assistant Professor shall be a term appointment. The maximum period on term appointment shall not exceed seven years. During the appointee's initial term, and during each succeeding term through the sixth year of service, the appropriate Dean or other administrative officer shall, after receiving recommendations from the appropriate faculty bodies, make one of the following recommendations, except that the recommendations 1.a and 1.b shall not be made during the appointee's sixth year of service.

- a. To reappoint as Assistant Professor on a regular term appointment.
- b. In exceptional cases, to promote to Associate Professor on term appointment. If such recommendation is effected, by proper appointment, Section 310.020 E.2 controls thereafter, except that the maximum period on term appointments shall not exceed seven years, and all of the service as an Assistant Professor shall be credited toward the seven-year maximum period.
- c. To promote to Associate Professor on continuous appointment.

- d. To reappoint as Assistant Professor on continuous appointment.
 - e. To reappoint as Assistant Professor on a terminal one-year term appointment, expressly stated to be such.
 - f. Not to reappoint, provided there has been due notice as stipulated in Section 310.020 F.2.
2. **Associate Professor** -- Initial regular appointment at the rank of Associate Professor normally shall be a term appointment but in exceptional cases may be a continuous appointment. The maximum period on term appointment shall not exceed five years. During the appointee's initial term, and during each succeeding term through the fourth year of service, the appropriate Dean or other administrative officer shall, after receiving recommendations from the appropriate faculty bodies, make one of the following recommendations, except that recommendation Section 310.020 E.2.a shall not be made during the appointee's fourth year of service:
- a. To reappoint as Associate Professor on continuous appointment.
 - b. To promote to Professor on continuous appointment.
 - c. To reappoint as Associate Professor on a terminal one-year appointment, expressly stated to be such.
 - d. Not to reappoint, provided there has been due notice as stipulated in Section 310.020 F.
3. **Professor** -- Initial regular appointment at the rank of Professor normally shall be a term appointment but may be a continuous appointment. The maximum period on term appointment shall not exceed four years. During the appointee's initial term and during each succeeding term through the third year of service, the appropriate Dean or other administrative officer shall, after receiving recommendations from the appropriate faculty bodies, make one of the following recommendations, except that recommendation Section 310.020 E.3.a shall not be made during the appointee's third year of service.
- a. To reappoint as Professor on a regular term appointment.
 - b. To reappoint as Professor on continuous appointment.
 - c. To reappoint as Professor on a terminal one-year term appointment, expressly stated to be such.
 - d. Not to reappoint, provided there has been due notice as stipulated in Section 310.020 F.
4. **Erroneous Term Appointments** -- Since the granting of tenure should be a deliberate act after considered evaluation of the appointee's past performance and potential performance in the long-range future, a good faith term appointment beyond the maximum permissible period on term appointments prescribed by Sections 310.020 D.1, 310.020 E.1,2, or 3 shall not confer tenure by default nor be considered a terminal appointment. Immediately upon the discovery of such an error the appointee or administrative officer shall notify the appointing authority and request that a determination be made as to the proper appointment.

F. Nonrenewal of a Regular Term Appointment

- 1. When an appointee on regular term appointment is not recommended for reappointment, notice to that effect shall be given in writing to such appointee by an appropriate administrative officer in accordance with Section 310.070 by the deadline dates specified in Section 310.020 F.2. A timely terminal appointment expressly stated to be such shall be sufficient notice that the

appointee will not be recommended for reappointment at the end of the terminal period.

2. Notice shall be given as follows in the case of fiscal or academic year appointments. For appointments having other starting dates, comparable notice shall be given.
 - a. Not later than March 1 of the first year of service at this University, if the appointment expires at the end of the first year. Not later than December 20 of the second year of service at this University, if the appointment expires at the end of second year.
 - b. Thirty days prior to the first day of the terminal year of appointment where the terminal year is the third, or subsequent, year of service at this University.
 3. At the time of initial appointment, a faculty member should be informed of expectations about performance and of procedures generally involved in decisions affecting renewal and tenure. There should be provision for annual review of the faculty member's performance to be made by the immediate supervisor and communicated in writing, during the probationary period, to the faculty member according to generally accepted criteria with reference to the expectations discussed in the initial conference. During the probationary period, information should be given as to the time when decisions affecting renewal and tenure are ordinarily made, and there should be an opportunity to submit material which will be helpful to an adequate consideration of the faculty member's circumstances. In the event of a recommendation at any level for nonrenewal of a regular appointment or for a terminal appointment, the faculty member shall be informed and, upon request, shall be furnished with an explanation of that decision. The faculty member shall have an opportunity to request a reconsideration of the decision and to appeal the decision to the Chancellor. If the result of that appeal is not satisfactory to the faculty member, the faculty member may file a grievance under the Faculty Grievance Procedures (Section 370.010) in the event it is alleged:
 - a. That the decision resulted from inadequate consideration; or,
 - b. That the decision was based significantly on consideration violative of academic freedom; or,
 - c. That the decision was based significantly on considerations violative of governing policies on equal employment opportunity.
Notwithstanding any explanation given, the burden shall rest upon the faculty member to prove the allegations contained in the grievance. In the event that the grievance panel finds probable cause of a violation of academic freedom, the matter shall proceed under the provisions of Section 310.060 except that the burden of proof remains with the appellant.
- G. An appointee to the academic staff on regular term appointment shall not subsequently be given a full-time nonregular term appointment to perform substantially the same type of duties in excess of a total period of service of seven years.

310.060 Procedures in Case of Dismissal for Cause

Bd. Min. 3-17-72, p. 36,281; Revised Bd. Min. 6-27-80, p. 38,132; Amended Bd. Min. 9-12-80, 12-12-86, 10-30-87, 2-5-15.

In cases of dismissal of faculty for cause, the burden of demonstrating the existence of an adequate case for dismissal shall rest with the University. A faculty member who has been notified in writing of a proposed action for dismissal may request a preliminary informal conference before an appropriate faculty committee as specified in the Bylaws of the campus faculty. If so requested, the Committee or other body shall promptly inquire into the matter and shall schedule a conference, which the parties shall be entitled to attend, the purpose of which shall be to determine whether an amicable adjustment of the matter can be effected. If no such adjustment can be made, and the notice of proposed action is not withdrawn, the matter shall proceed in accordance with Section 310.060 B.

A. Faculty Committees on Tenure

1. Each Campus Faculty Committee on Tenure shall hold hearings within the jurisdiction of this regulation involving personnel in the several academic divisions of the campus it represents.
2. In any case where the Campus Committee determines prior to a hearing that the best interests of all concerned would be served better by a hearing by the University Faculty Committee on Tenure, the Campus Committee may transfer the case to the University Committee, in which case the University Committee shall serve in the place and stead of the Campus Committee.
3. In addition to serving in the place and stead of the Campus Committee where a case is transferred, the University Committee shall have original jurisdiction to hold hearings involving personnel holding systemwide, rather than campus, academic staff appointments.

B. Formal Proceedings

1. **Definitions** -- In the procedures established under Section 310.060 the following definitions shall apply:
 - a. Respondent shall refer to the faculty member against whom charges are filed.
 - b. Relator shall refer either to the Chancellor or to such person or persons as may be designated from time to time by the Chancellor, to represent the Chancellor in the formal proceedings against a Respondent. This may be the Dean or other appropriate administrative officer recommending action against a Respondent, or other person specifically designated.
 - c. The "Record of the Case in ~~the a~~ Section 600.030 or 600.040 Process" includes, when applicable: all Notices to the Parties; letter(s) of notice; investigative report; recordings of Party and witness interviews; exhibits used at a hearing; -exhibits, the hearing record (an audio or- audiovisual deo, digital or stenographic record of the hearing); any determination of dismissal of all or part of a Complaint or Formal Complaint; the finding-determination on each of the alleged policy

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violations and sanctions by either the Hearing Panel or decision-maker; ~~the Provost or the Provost's Designee; the recommendation of sanctions by the Hearing Panel or Provost's Designee; the finding of sanctions by the Provost;~~ and the decision on the appeal, if applicable any, including the request for appeal, any additional evidence submitted for the appeal, and written arguments of the Parties pursuant to Section 600.030: Resolution Process for Resolving Complaints of Sexual Harassment under Title IX, and 600.040: *Equity Resolution Process for Resolving Complaints of Discrimination and Harassment- Sexual Misconduct and other Forms of Discrimination against a Faculty Member or Student or Student Organization.*

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- d. Complainant is defined in Sections 600.030.C.6 and 600.040.C.32 of the Collected Rules and Regulations.

2. Statement of Charges - Request for a Committee Hearing

- a. When dismissal for cause is considered by or recommended to the Chancellor, the Respondent shall be notified in writing by the Relator of the proposed action for dismissal and the reasons therefor, stated with reasonable particularity and called the Charge, and of the right to a hearing by the appropriate Faculty Committee on Tenure together with a membership roster of the Committee. If the Respondent desires a hearing, the Respondent shall give written notice of this request to the Chancellor within thirty consecutive calendar days from the receipt of the formal notice. The Respondent shall also send copies of this request for hearing to the Relator and to the Chairman of the Committee. The Relator shall thereupon file a copy of the Charge with the Chairman of the Committee. Failure by the Respondent to make a timely written request for a hearing shall constitute a waiver of the Respondent's right to a hearing before the Committee.
- b. The Respondent shall file a written Answer to the Charge with the Chairman of the Committee at least three calendar days prior to the date set for hearing before the Committee. Such Answer shall specifically admit or deny the allegations of the reasons contained in the Charge. A failure to answer or to deny an allegation of fact in the Charge may be considered by the Committee as an admission of such fact.
- c. The Relator shall notify the Complainant of the filing of the Charge and the request for hearing.
3. **Suspension from Duties** -- Pending a final decision by the Committee, the Respondent will be suspended (or assigned to other duties in lieu of suspension) if immediate harm to someone is threatened by continuance or if the Charge was initiated according to a finding and referral under Section 600.040. For allegations contained in the Charge not previously decided pursuant to the process in Sections 600.030 or 600.040, the Chancellor shall consult with an appropriate standing committee of the faculty before suspending the respondent or as soon as possible thereafter and salary will continue during any period of suspension, and an assignment to other duties shall not diminish salary. If the Charge was initiated according to a finding and referral under Section 600.030 or 600.040, Respondent shall be suspended without pay and removed from campus until the Chancellor makes a determination and all appeals have been exhausted under Section 310.060.
4. **Hearing by Committee**

- a. If the Respondent makes a timely written request for a hearing by the Committee, the Chairman shall notify in writing the Respondent, the Complainant (when applicable) and the Relator of the date, time, and place of hearing before the Committee, which shall be within a reasonable time but not less than ten, or more than thirty, consecutive calendar days after the date of the receipt of the request for hearing. Not less than twenty days shall be allowed between the delivery of the Charge to the Respondent and the beginning of the hearing.
 - b. Any request for continuance shall be made by the Respondent, Complainant or Relator in writing to the Chairman, who shall have discretionary authority to continue the hearing within the time limits fixed under Section 310.060 B.4.a upon determining that the request is timely and made for good cause. Any continuance beyond the time limit fixed must be by action of the Committee and approved by the Chancellor.
 - c. In accordance with standing University policy in personnel matters, such hearings shall not be open to the public.
 - d. Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by the Relator, the Complainant, the Respondent, the Committee, or administrative officers will be avoided until the proceedings have been completed, including final appeal.
5. **Conduct of Hearing** -- The Chairman 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 Respondent, the Complainant (when applicable) and the Relator, read the notice of hearing, read the Charge and Answer, verify the notice of the Charge to the Respondent, report any continuances requested or granted, establish the presence of any advisor or counselor of either party, call to the attention of the Respondent and Respondent's advisor any special or extraordinary procedures to be employed during the hearing, and permit the Respondent to suggest or object to procedures. Formal rules of evidence shall not be required.
- a. **Opening Statements**
 - (1) The Relator shall make opening remarks outlining the general nature of the case. Such remarks shall not be considered as evidence. The Relator may give evidence, but only if called to testify as a witness.
 - (2) The Respondent may also make an opening statement to the Committee about the charge, either at this time or at the conclusion of the Relator's presentation, at the Respondent's election. Such remarks shall not be considered as evidence. The Respondent may give evidence, but only if called to testify as a witness.
 - (3) The Complainant may make an opening statement to the committee about the allegation(s) in the Charge which were previously decided pursuant to the process in Section 600.030 or 600.040. Such remarks shall not be considered as evidence.
 - b. **Evidence for Matters Previously Decided in the Section 600.030 or 600.040 Process**
 - (1) The Record of the Case in the Section 600.030 or 600.040 Process will be the evidence before the Committee and the findings will be adopted by the Committee. There will not be a rehearing of those issues previously decided in the Section 600.030 or 600.040 process and the Relator, the Complainant and the Respondent will not be allowed to

present additional evidence or rebuttal evidence regarding those matters.

(2) Any additional allegation(s) in the Charge which were not within the jurisdiction of and not previously decided in the Section [600.030 or 600.040](#) Process will follow the process in Section 310.060.

(3) If the Committee determines that there is good cause to believe that there is new evidence, unavailable during Section [600.030 or 600.040](#) Process and that could substantially impact the original finding, the Committee may refer the matter back to the applicable process in Section [600.030 or 600.040](#) for further proceedings. If the original decision maker is available, the matter will be heard by the original decision maker.

c. **Relator's Evidence**

(1) Relator's witnesses are to be called and identified and evidence or written statements or reports introduced as appropriate.

(2) The Committee may question witnesses or examine evidence at the conclusion of the Relator's presentation. Respondent may question the Relator or witnesses.

d. **Respondent's Evidence**

(1) Respondent's witnesses are to be called and identified and evidence or written statements or reports introduced as appropriate.

(2) The Committee may question witnesses or examine evidence at the conclusion of Respondent's presentation. Relator may question the Respondent or witnesses.

e. **Rebuttal Evidence** -- The Committee shall permit the Relator or the Respondent to offer any matter in rebuttal of the other's presentation.

6. **Rights of Committee** -- The Faculty Committee on Tenure shall have the right:

- a. To determine the relevancy and admissibility of any evidence offered at the hearing, except that when the allegation(s) in the Charge was previously decided pursuant to the process in Section [600.030 or 600.040](#), the Record of the Case in the Section [600.030 or 600.040](#) Process will be the evidence before the Committee and the findings will be adopted by the Committee.
- b. To permit a stipulation of agreed facts by the Relator and the Respondent.
- c. To permit the incorporation in the record by a reference of any document, affidavit or other exhibit produced and desired to be incorporated in the record by the Relator or the Respondent.
- d. To question witnesses or evidence introduced by either the Relator or the Respondent at any time.
- e. To call additional witnesses for allegations contained in the Charge which were not within the jurisdiction of and not previously decided pursuant to the process in Section [600.030 or 600.040](#).
- f. To have access to the Record of the Case in the Section [600.030 or 600.040](#) Process.
- g. For allegations in the Charge previously decided pursuant to the process in Section [600.030 or 600.040](#), if the Committee determines that there is good cause to believe that there is new evidence, unavailable during the Section [600.030 or 600.040](#) Process and that could substantially impact the original finding, the Committee may refer the allegation(s) back to the applicable process in Section [600.030 or 600.040](#) for further

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- proceedings. If the original decision maker is available, the matter will be heard by the original decision maker.
- h. To dismiss any action or permit informal disposition at any stage of the proceeding if agreed to by Relator, Respondent, and appointing authority.
 - i. To permit at any time amendment of the Charge or Answer so as to include 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 Respondent or the Relator such time as the Committee may determine reasonable under the circumstances to answer or explain such additional matters.
 - j. To dismiss any person from the hearing who interferes with or obstructs the hearing or fails to abide by the rulings of the Chairman of the Committee.
 - k. To have present a legal advisor to the Committee, who shall be designated by the General Counsel of the Board of Curators.
- 7. Parties' Rights Upon Hearing**
- a. A Relator appearing before a Faculty Committee on Tenure for a hearing pursuant to formal notice of a Charge shall have the right:
 - (1) To be present at the hearing, which right may be waived by failure to appear.
 - (2) To have present any legal or other advisor or counselor and to consult with such advisor or counselor during the hearing.
 - (3) To present evidence by witnesses and by properly identified written statements or reports in support of the Charge for allegations contained in the Charge which were not within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.
 - (4) To hear or examine evidence presented by the Respondent for allegations contained in the Charge which were not within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.
 - (5) To question witnesses present and testifying for Respondent for allegations contained in the Charge which were not within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.
 - (6) To make any statement to the Committee in support of the Charge.
 - (7) To be informed in writing of the findings of the Committee and its recommendation on the Charge.
 - b. A Respondent appearing before a Faculty Committee on Tenure for a hearing pursuant to formal notice of a Charge shall have the right:
 - (1) To be present at the hearing, which right may be waived by failure to appear.
 - (2) To have present any legal or other advisor or counselor and to consult with such advisor or counselor during the hearing.
 - (3) To present evidence by witnesses and by properly identified written statements or reports for any defense the Respondent desires for allegations contained in the Charge which were not previously within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.
 - (4) To hear or examine evidence presented to the Committee for allegations contained in the Charge which were not previously within the

jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.

(5) To question witnesses present and testifying at the hearing for allegations contained in the Charge which were not previously within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.

(6) To make any statement to the Committee in mitigation or explanation of the conduct in question.

(7) To be informed in writing of the findings of the Committee and its recommendation on the Charge.

- c. Complainant may elect to participate in the Section 310.060 process but there is no negative inference if Complainant elects not to participate. If Complainant elects not to participate in the Section 310.060 process, Complainant still has the right to be informed in writing of the findings of the Committee and its recommendation on the Charge, as it relates to the allegation(s) in the Charge previously decided pursuant to the process in Section 600.030 or 600.040. If Complainant elects to participate in the Section 310.060 process, Complainant shall have the right:

(1) To be present, which may be waived by failure to appear, at the portions of the hearing related to the allegation(s) in the Charge previously decided pursuant to the process in Section 600.030 or 600.040.

(2) To have present any legal or other advisor or counselor and to consult with such advisor or counselor during the hearing.

(3) To make an impact statement, either verbally or in writing, to the Committee.

(4) To be informed in writing of the findings of the Committee and its recommendation on the Charge, as it relates to the allegation(s) in the Charge previously decided pursuant to the process in Section 600.030 or 600.040.

8. Other Procedural Questions

- a. Procedural questions which arise during the hearing and which are not covered by these general rules shall be determined by the Chairman, whose ruling shall be final unless the Chairman 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. **General Rules of Decorum** -- The following general rules of decorum shall be adhered to:
- (1) All requests to address the Committee shall be made to the Chairman.
- (2) The Chairman shall rule on all requests and points of order and may consult with the Committee's legal advisor prior to any ruling. The Chairman's ruling shall be final and all participants shall abide thereby unless the Chairman 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.
- (3) An advisor or counselor shall be permitted to address the Committee and to question witnesses. An advisor or counselor may request clarification of a procedural matter or may object on the basis of procedure at any time by addressing the Chairman after recognition.

9. **Determination by Committee** -- The Committee shall then make its findings and determination by majority vote in executive session out of the presence of the Relator and Respondent. Separate findings of fact are to be made as to each count of the Charge, and a recommendation made based upon the findings on all charges. Before recommending dismissal of the Respondent, the Committee shall be convinced by the evidence in the record considered as a whole that one or more counts have been sustained and that such count or counts warrant dismissal.
- a. Official Report of Findings and Determination -- Promptly after the hearing and, in any event, within ten consecutive days after receipt of the record, the Committee shall make its findings of fact and recommendations in writing and transmit them to the Chancellor, to the Relator, to the Complainant (when applicable and as it relates to the allegation(s) in the Charge previously decided pursuant to the process in Section [600.030 or 600.040](#)) and to the Respondent forthwith. If the Committee concludes that adequate cause for dismissal has not been established, and therefore tenure is not involved, but that some discipline or penalty less than dismissal may be appropriate, it may recommend that the Record of the Case be referred to the appropriate campus-level Committee for its recommendation to the Chancellor.
- C. **Record of Case** -- A taped or stenographic record of the hearing shall be taken and shall be maintained for five (5) years. The notice, exhibits, hearing record, a copy of the Record of the Case in [a Section 600.030 or 600.040 Process](#), when applicable, and the findings and determination of the Committee shall become the "Record of the Case," shall be filed in the Office of the President of the University, and shall be available only for official purposes, and for the purpose of appeal be accessible at reasonable times and places both to the Relator and the Respondent. In the event of an appeal, no new evidence shall be taken in the case, but the appellate authority may remand the matter for further evidence to the Committee. Either party may have any such record of the hearing reduced to writing for the purposes of appeal.
- D. **Determination by Chancellor and Right of Appeal**
1. The Chancellor shall make a determination in the matter after giving due consideration to the findings and recommendations of the Committee and may remand the matter to the Committee or to the decision maker in the [Section 600.030 or 600.040 Process](#), when applicable, for further proceedings. Upon reaching this determination, the Chancellor shall notify the Respondent, the Complainant (when applicable and as it relates to the allegation(s) in the Charge previously decided pursuant to the process in [Section 600.030 or 600.040](#)) and Relator in writing of the determination and disposition. The Respondent, Complainant or Relator shall be entitled to appeal to the President of the University as provided in Section 310.060 D.3. The Complainant's right to appeal and have access to records related to the appeal in Section 310.060.D are limited to the allegation(s) in the Charge which were previously decided pursuant to the process in [Section 600.030 or 600.040](#). When the allegation(s) in the Charge was previously decided pursuant to [Section 600.030 or 600.040](#) and if the Chancellor determines that adequate cause for termination has not been established, the Chancellor, in consultation with the Provost, shall determine sanctions less than termination for cause. The determination of sanctions less than termination for cause is stayed pending the appeals related to the Chancellor's decision as to termination and are not part of those appeals.

2. When permitted by these Regulations, the Respondent, Complainant or Relator may appeal a decision of the Chancellor by filing written notice of appeal within seven (7) consecutive calendar days after notice of the decision of the Chancellor with the President. A copy of the Notice of Appeal will simultaneously be given by the appealing party to all other parties. The appealing party may file a written argument confined to the issues and evidence previously submitted and contained in the Record of the Case for consideration by the President. Such memorandum must be filed with the Notice of Appeal, and the President may request a reply to such memorandum by the Respondent, Complainant or Relator. The President shall have the discretionary right to grant extensions of time.
3. The President shall review the full Record of the Case and the appeal documents and may affirm, reverse, remand the case for further proceedings or, upon concluding that adequate cause for termination has not been established, and therefore tenure is not involved, but that some discipline or penalty less than dismissal may be appropriate, may refer the Record of the Case to the appropriate campus final Committee on Faculty Responsibility for its recommendation to the Chancellor and the President shall notify the Respondent, Complainant (when applicable) and the Relator in writing of this decision on the appeal.
 - a. The Relator, Complainant or the Respondent may thereafter appeal to The Board of Curators of the University of Missouri by filing a written Notice of Appeal with the President of the University and the Secretary of the Board of Curators and giving notice either to the Respondent or the Relator, as appropriate. Such Notice of Appeal must be filed within seven (7) consecutive calendar days of the notification of action by the President. Upon the filing of a Notice of Appeal to the Board, the President shall cause the record of the case, including any written memoranda received during its consideration, to be filed promptly with the Secretary of the Board of Curators.
 - b. The appealing party shall have the privilege of filing written argument confined to the issues and evidence previously submitted and considered in the Record of the Case for consideration by the Board of Curators with the Notice of Appeal, and the other parties may file a written reply within seven consecutive calendar days. The President of the University may grant extensions of time for filing written argument. The parties have the right of appearance before a committee of the Board.
4. The Board of Curators shall either sustain the decision of the Hearing Committee or return the proceedings to the Committee with specific objections. The Committee shall then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Curators shall take such final action on the appeal as it deems appropriate after study of the Committee's reconsideration. The Secretary of the Board shall notify the Respondent and the Relator in writing of the decision of the Board.

Notice -- If the appointment is terminated, a tenured faculty member shall normally receive salary to the end of the contract year in which final determination was made by the Chancellor under these procedures, as set forth in Section 310.060 D.1, except that no salary shall be paid beyond the date of termination if the cause of termination was conviction of a felony or if the cause of termination resulted from a Charge that was initiated pursuant to

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a finding and referral pursuant to Section 600.030 or 600.040. The Faculty Committee on Tenure may make recommendations if a shorter or longer period is deemed appropriate because of such considerations as the nature and gravity of the conduct which justified dismissal and the length and quality of service of the faculty member. Notice may also be extended by the President if, through no fault of the faculty member, inordinate delays occur in the appeal process.

310.060 Procedures in Case of Dismissal for Cause

Bd. Min. 3-17-72, p. 36,281; Revised Bd. Min. 6-27-80, p. 38,132; Amended Bd. Min. 9-12-80, 12-12-86, 10-30-87, 2-5-15.

In cases of dismissal of faculty for cause, the burden of demonstrating the existence of an adequate case for dismissal shall rest with the University. A faculty member who has been notified in writing of a proposed action for dismissal may request a preliminary informal conference before an appropriate faculty committee as specified in the Bylaws of the campus faculty. If so requested, the Committee or other body shall promptly inquire into the matter and shall schedule a conference, which the parties shall be entitled to attend, the purpose of which shall be to determine whether an amicable adjustment of the matter can be effected. If no such adjustment can be made, and the notice of proposed action is not withdrawn, the matter shall proceed in accordance with Section 310.060 B.

A. Faculty Committees on Tenure

1. Each Campus Faculty Committee on Tenure shall hold hearings within the jurisdiction of this regulation involving personnel in the several academic divisions of the campus it represents.
2. In any case where the Campus Committee determines prior to a hearing that the best interests of all concerned would be served better by a hearing by the University Faculty Committee on Tenure, the Campus Committee may transfer the case to the University Committee, in which case the University Committee shall serve in the place and stead of the Campus Committee.
3. In addition to serving in the place and stead of the Campus Committee where a case is transferred, the University Committee shall have original jurisdiction to hold hearings involving personnel holding systemwide, rather than campus, academic staff appointments.

B. Formal Proceedings

1. **Definitions** -- In the procedures established under Section 310.060 the following definitions shall apply:
 - a. Respondent shall refer to the faculty member against whom charges are filed.
 - b. Relator shall refer either to the Chancellor or to such person or persons as may be designated from time to time by the Chancellor, to represent the Chancellor in the formal proceedings against a Respondent. This may be the Dean or other appropriate administrative officer recommending action against a Respondent, or other person specifically designated.
 - c. The "Record of the Case in a Section 600.030 or 600.040 Process" includes, when applicable: all Notices to the Parties; investigative report; recordings of Party and witness interviews; exhibits used at a hearing; the hearing record (an audio or audiovisual record of the hearing); any determination of dismissal of all or part of a Complaint or Formal Complaint; the determination on each of the alleged policy violations and sanctions by either the Hearing Panel or decision-maker;

and the decision on the appeal, if any, including the request for appeal, any additional evidence submitted for the appeal, and written arguments of the Parties pursuant to Section 600.030: *Resolution Process for Resolving Complaints of Sexual Harassment under Title IX*, and 600.040: *Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization*.

- d. Complainant is defined in Sections 600.030.C.6 and 600.040.C.3 of the Collected Rules and Regulations.

2. Statement of Charges - Request for a Committee Hearing

- a. When dismissal for cause is considered by or recommended to the Chancellor, the Respondent shall be notified in writing by the Relator of the proposed action for dismissal and the reasons therefor, stated with reasonable particularity and called the Charge, and of the right to a hearing by the appropriate Faculty Committee on Tenure together with a membership roster of the Committee. If the Respondent desires a hearing, the Respondent shall give written notice of this request to the Chancellor within thirty consecutive calendar days from the receipt of the formal notice. The Respondent shall also send copies of this request for hearing to the Relator and to the Chairman of the Committee. The Relator shall thereupon file a copy of the Charge with the Chairman of the Committee. Failure by the Respondent to make a timely written request for a hearing shall constitute a waiver of the Respondent's right to a hearing before the Committee.
- b. The Respondent shall file a written Answer to the Charge with the Chairman of the Committee at least three calendar days prior to the date set for hearing before the Committee. Such Answer shall specifically admit or deny the allegations of the reasons contained in the Charge. A failure to answer or to deny an allegation of fact in the Charge may be considered by the Committee as an admission of such fact.
- c. The Relator shall notify the Complainant of the filing of the Charge and the request for hearing.

- 3. Suspension from Duties** -- Pending a final decision by the Committee, the Respondent will be suspended (or assigned to other duties in lieu of suspension) if immediate harm to someone is threatened by continuance or if the Charge was initiated according to a finding and referral under Section 600.040. For allegations contained in the Charge not previously decided pursuant to the process in Sections 600.030 or 600.040, the Chancellor shall consult with an appropriate standing committee of the faculty before suspending the respondent or as soon as possible thereafter and salary will continue during any period of suspension, and an assignment to other duties shall not diminish salary. If the Charge was initiated according to a finding and referral under Section 600.030 or 600.040, Respondent shall be suspended without pay and removed from campus until the Chancellor makes a determination and all appeals have been exhausted under Section 310.060.

4. Hearing by Committee

- a. If the Respondent makes a timely written request for a hearing by the Committee, the Chairman shall notify in writing the Respondent, the Complainant (when applicable) and the Relator of the date, time, and place of hearing before the Committee, which shall be within a

reasonable time but not less than ten, or more than thirty, consecutive calendar days after the date of the receipt of the request for hearing. Not less than twenty days shall be allowed between the delivery of the Charge to the Respondent and the beginning of the hearing.

- b. Any request for continuance shall be made by the Respondent, Complainant or Relator in writing to the Chairman, who shall have discretionary authority to continue the hearing within the time limits fixed under Section 310.060 B.4.a upon determining that the request is timely and made for good cause. Any continuance beyond the time limit fixed must be by action of the Committee and approved by the Chancellor.
 - c. In accordance with standing University policy in personnel matters, such hearings shall not be open to the public.
 - d. Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by the Relator, the Complainant, the Respondent, the Committee, or administrative officers will be avoided until the proceedings have been completed, including final appeal.
5. **Conduct of Hearing** -- The Chairman 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 Respondent, the Complainant (when applicable) and the Relator, read the notice of hearing, read the Charge and Answer, verify the notice of the Charge to the Respondent, report any continuances requested or granted, establish the presence of any advisor or counselor of either party, call to the attention of the Respondent and Respondent's advisor any special or extraordinary procedures to be employed during the hearing, and permit the Respondent to suggest or object to procedures. Formal rules of evidence shall not be required.

a. **Opening Statements**

- (1) The Relator shall make opening remarks outlining the general nature of the case. Such remarks shall not be considered as evidence. The Relator may give evidence, but only if called to testify as a witness.
- (2) The Respondent may also make an opening statement to the Committee about the charge, either at this time or at the conclusion of the Relator's presentation, at the Respondent's election. Such remarks shall not be considered as evidence. The Respondent may give evidence, but only if called to testify as a witness.
- (3) The Complainant may make an opening statement to the committee about the allegation(s) in the Charge which were previously decided pursuant to the process in Section 600.030 or 600.040. Such remarks shall not be considered as evidence.

b. **Evidence for Matters Previously Decided in the Section 600.030 or 600.040 Process**

- (1) The Record of the Case in the Section 600.030 or 600.040 Process will be the evidence before the Committee and the findings will be adopted by the Committee. There will not be a rehearing of those issues previously decided in the Section 600.030 or 600.040 process and the Relator, the Complainant and the Respondent will not be allowed to present additional evidence or rebuttal evidence regarding those matters.
- (2) Any additional allegation(s) in the Charge which were not within the jurisdiction of and not previously decided in the Section 600.030 or

600.040 Process will follow the process in Section 310.060.

(3) If the Committee determines that there is good cause to believe that there is new evidence, unavailable during Section 600.030 or 600.040 Process and that could substantially impact the original finding, the Committee may refer the matter back to the applicable process in Section 600.030 or 600.040 for further proceedings. If the original decision maker is available, the matter will be heard by the original decision maker.

c. **Relator's Evidence**

(1) Relator's witnesses are to be called and identified and evidence or written statements or reports introduced as appropriate.

(2) The Committee may question witnesses or examine evidence at the conclusion of the Relator's presentation. Respondent may question the Relator or witnesses.

d. **Respondent's Evidence**

(1) Respondent's witnesses are to be called and identified and evidence or written statements or reports introduced as appropriate.

(2) The Committee may question witnesses or examine evidence at the conclusion of Respondent's presentation. Relator may question the Respondent or witnesses.

e. **Rebuttal Evidence** -- The Committee shall permit the Relator or the Respondent to offer any matter in rebuttal of the other's presentation.

6. **Rights of Committee** -- The Faculty Committee on Tenure shall have the right:

- a. To determine the relevancy and admissibility of any evidence offered at the hearing, except that when the allegation(s) in the Charge was previously decided pursuant to the process in Section 600.030 or 600.040, the Record of the Case in the Section 600.030 or 600.040 Process will be the evidence before the Committee and the findings will be adopted by the Committee.
- b. To permit a stipulation of agreed facts by the Relator and the Respondent.
- c. To permit the incorporation in the record by a reference of any document, affidavit or other exhibit produced and desired to be incorporated in the record by the Relator or the Respondent.
- d. To question witnesses or evidence introduced by either the Relator or the Respondent at any time.
- e. To call additional witnesses for allegations contained in the Charge which were not within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.
- f. To have access to the Record of the Case in the Section 600.030 or 600.040 Process.
- g. For allegations in the Charge previously decided pursuant to the process in Section 600.030 or 600.040, if the Committee determines that there is good cause to believe that there is new evidence, unavailable during the Section 600.030 or 600.040 Process and that could substantially impact the original finding, the Committee may refer the allegation(s) back to the applicable process in Section 600.030 or 600.040 for further proceedings. If the original decision maker is available, the matter will be heard by the original decision maker.

- h. To dismiss any action or permit informal disposition at any stage of the proceeding if agreed to by Relator, Respondent, and appointing authority.
- i. To permit at any time amendment of the Charge or Answer so as to include 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 Respondent or the Relator such time as the Committee may determine reasonable under the circumstances to answer or explain such additional matters.
- j. To dismiss any person from the hearing who interferes with or obstructs the hearing or fails to abide by the rulings of the Chairman of the Committee.
- k. To have present a legal advisor to the Committee, who shall be designated by the General Counsel of the Board of Curators.

7. Parties' Rights Upon Hearing

- a. A Relator appearing before a Faculty Committee on Tenure for a hearing pursuant to formal notice of a Charge shall have the right:
 - (1) To be present at the hearing, which right may be waived by failure to appear.
 - (2) To have present any legal or other advisor or counselor and to consult with such advisor or counselor during the hearing.
 - (3) To present evidence by witnesses and by properly identified written statements or reports in support of the Charge for allegations contained in the Charge which were not within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.
 - (4) To hear or examine evidence presented by the Respondent for allegations contained in the Charge which were not within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.
 - (5) To question witnesses present and testifying for Respondent for allegations contained in the Charge which were not within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.
 - (6) To make any statement to the Committee in support of the Charge.
 - (7) To be informed in writing of the findings of the Committee and its recommendation on the Charge.
- b. A Respondent appearing before a Faculty Committee on Tenure for a hearing pursuant to formal notice of a Charge shall have the right:
 - (1) To be present at the hearing, which right may be waived by failure to appear.
 - (2) To have present any legal or other advisor or counselor and to consult with such advisor or counselor during the hearing.
 - (3) To present evidence by witnesses and by properly identified written statements or reports for any defense the Respondent desires for allegations contained in the Charge which were not previously within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.
 - (4) To hear or examine evidence presented to the Committee for allegations contained in the Charge which were not previously within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.

(5) To question witnesses present and testifying at the hearing for allegations contained in the Charge which were not previously within the jurisdiction of and not previously decided pursuant to the process in Section 600.030 or 600.040.

(6) To make any statement to the Committee in mitigation or explanation of the conduct in question.

(7) To be informed in writing of the findings of the Committee and its recommendation on the Charge.

- c. Complainant may elect to participate in the Section 310.060 process but there is no negative inference if Complainant elects not to participate. If Complainant elects not to participate in the Section 310.060 process, Complainant still has the right to be informed in writing of the findings of the Committee and its recommendation on the Charge, as it relates to the allegation(s) in the Charge previously decided pursuant to the process in Section 600.030 or 600.040. If Complainant elects to participate in the Section 310.060 process, Complainant shall have the right:

(1) To be present, which may be waived by failure to appear, at the portions of the hearing related to the allegation(s) in the Charge previously decided pursuant to the process in Section 600.030 or 600.040.

(2) To have present any legal or other advisor or counselor and to consult with such advisor or counselor during the hearing.

(3) To make an impact statement, either verbally or in writing, to the Committee.

(4) To be informed in writing of the findings of the Committee and its recommendation on the Charge, as it relates to the allegation(s) in the Charge previously decided pursuant to the process in Section 600.030 or 600.040.

8. **Other Procedural Questions**

- a. Procedural questions which arise during the hearing and which are not covered by these general rules shall be determined by the Chairman, whose ruling shall be final unless the Chairman 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. **General Rules of Decorum** -- The following general rules of decorum shall be adhered to:

(1) All requests to address the Committee shall be made to the Chairman.

(2) The Chairman shall rule on all requests and points of order and may consult with the Committee's legal advisor prior to any ruling. The Chairman's ruling shall be final and all participants shall abide thereby unless the Chairman 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.

(3) An advisor or counselor shall be permitted to address the Committee and to question witnesses. An advisor or counselor may request clarification of a procedural matter or may object on the basis of procedure at any time by addressing the Chairman after recognition.

9. **Determination by Committee** -- The Committee shall then make its findings and determination by majority vote in executive session out of the presence of

the Relator and Respondent. Separate findings of fact are to be made as to each count of the Charge, and a recommendation made based upon the findings on all charges. Before recommending dismissal of the Respondent, the Committee shall be convinced by the evidence in the record considered as a whole that one or more counts have been sustained and that such count or counts warrant dismissal.

- a. Official Report of Findings and Determination -- Promptly after the hearing and, in any event, within ten consecutive days after receipt of the record, the Committee shall make its findings of fact and recommendations in writing and transmit them to the Chancellor, to the Relator, to the Complainant (when applicable and as it relates to the allegation(s) in the Charge previously decided pursuant to the process in Section 600.030 or 600.040) and to the Respondent forthwith. If the Committee concludes that adequate cause for dismissal has not been established, and therefore tenure is not involved, but that some discipline or penalty less than dismissal may be appropriate, it may recommend that the Record of the Case be referred to the appropriate campus-level Committee for its recommendation to the Chancellor.
- C. **Record of Case** -- A taped or stenographic record of the hearing shall be taken and shall be maintained for five (5) years. The notice, exhibits, hearing record, a copy of the Record of the Case in a Section 600.030 or 600.040 Process, when applicable, and the findings and determination of the Committee shall become the "Record of the Case," shall be filed in the Office of the President of the University, and shall be available only for official purposes, and for the purpose of appeal be accessible at reasonable times and places both to the Relator and the Respondent. In the event of an appeal, no new evidence shall be taken in the case, but the appellate authority may remand the matter for further evidence to the Committee. Either party may have any such record of the hearing reduced to writing for the purposes of appeal.
- D. **Determination by Chancellor and Right of Appeal**
1. The Chancellor shall make a determination in the matter after giving due consideration to the findings and recommendations of the Committee and may remand the matter to the Committee or to the decision maker in the Section 600.030 or 600.040 Process, when applicable, for further proceedings. Upon reaching this determination, the Chancellor shall notify the Respondent, the Complainant (when applicable and as it relates to the allegation(s) in the Charge previously decided pursuant to the process in Section 600.030 or 600.040) and Relator in writing of the determination and disposition. The Respondent, Complainant or Relator shall be entitled to appeal to the President of the University as provided in Section 310.060 D.3. The Complainant's right to appeal and have access to records related to the appeal in Section 310.060.D are limited to the allegation(s) in the Charge which were previously decided pursuant to the process in Section 600.030 or 600.040. When the allegation(s) in the Charge was previously decided pursuant to Section 600.030 or 600.040 and if the Chancellor determines that adequate cause for termination has not been established, the Chancellor, in consultation with the Provost, shall determine sanctions less than termination for cause. The determination of sanctions less than termination for cause is stayed pending the appeals related to the Chancellor's decision as to termination and are not part of those appeals.
 2. When permitted by these Regulations, the Respondent, Complainant or Relator may appeal a decision of the Chancellor by filing written notice of appeal

within seven (7) consecutive calendar days after notice of the decision of the Chancellor with the President. A copy of the Notice of Appeal will simultaneously be given by the appealing party to all other parties. The appealing party may file a written argument confined to the issues and evidence previously submitted and contained in the Record of the Case for consideration by the President. Such memorandum must be filed with the Notice of Appeal, and the President may request a reply to such memorandum by the Respondent, Complainant or Relator. The President shall have the discretionary right to grant extensions of time.

3. The President shall review the full Record of the Case and the appeal documents and may affirm, reverse, remand the case for further proceedings or, upon concluding that adequate cause for termination has not been established, and therefore tenure is not involved, but that some discipline or penalty less than dismissal may be appropriate, may refer the Record of the Case to the appropriate campus final Committee on Faculty Responsibility for its recommendation to the Chancellor and the President shall notify the Respondent, Complainant (when applicable) and the Relator in writing of this decision on the appeal.
 - a. The Relator, Complainant or the Respondent may thereafter appeal to The Board of Curators of the University of Missouri by filing a written Notice of Appeal with the President of the University and the Secretary of the Board of Curators and giving notice either to the Respondent or the Relator, as appropriate. Such Notice of Appeal must be filed within seven (7) consecutive calendar days of the notification of action by the President. Upon the filing of a Notice of Appeal to the Board, the President shall cause the record of the case, including any written memoranda received during its consideration, to be filed promptly with the Secretary of the Board of Curators.
 - b. The appealing party shall have the privilege of filing written argument confined to the issues and evidence previously submitted and considered in the Record of the Case for consideration by the Board of Curators with the Notice of Appeal, and the other parties may file a written reply within seven consecutive calendar days. The President of the University may grant extensions of time for filing written argument. The parties have the right of appearance before a committee of the Board.
4. The Board of Curators shall either sustain the decision of the Hearing Committee or return the proceedings to the Committee with specific objections. The Committee shall then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Curators shall take such final action on the appeal as it deems appropriate after study of the Committee's reconsideration. The Secretary of the Board shall notify the Respondent and the Relator in writing of the decision of the Board.

Notice -- If the appointment is terminated, a tenured faculty member shall normally receive salary to the end of the contract year in which final determination was made by the Chancellor under these procedures, as set forth in Section 310.060 D.1, except that no salary shall be paid beyond the date of termination if the cause of termination was conviction of a felony or if the cause of termination resulted from a Charge that was initiated pursuant to a finding and referral pursuant to Section 600.030 or 600.040. The Faculty Committee on Tenure may make recommendations if a shorter or longer

period is deemed appropriate because of such considerations as the nature and gravity of the conduct which justified dismissal and the length and quality of service of the faculty member. Notice may also be extended by the President if, through no fault of the faculty member, inordinate delays occur in the appeal process.

330.110 Standards of Faculty Conduct

Bd. Min. 4-27-17.

A. General

A Faculty Member at the University of Missouri assumes an obligation to behave in a manner compatible with the University's function as an educational institution. These expectations are established in order to protect an environment conducive to research, teaching, learning and service that fosters integrity, personal and professional growth, a community of scholarship, academic success and responsible citizenship. Faculty Members are expected to adhere to community standards in accordance with the University's mission and expectations.

B. Jurisdiction

1. 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 the Standards of Faculty Conduct against Faculty Members for conduct occurring in other settings, including off-campus, (1) in order to protect the physical safety of students, employees, visitors, patients or other members of the University community, (2) if there are effects of the conduct that interfere with or limit any person's ability to participate in or benefit from the University's educational programs, activities or employment, (3) if the conduct is related to the Faculty Member's fitness or performance in the professional capacity of teacher or researcher or (4) if the conduct occurs when the Faculty member is serving in the role of a University employee.
2. The Standards of Faculty Conduct applies to all Faculty Members, as defined in Section 330.110.D.1. below, at the University of Missouri. This process does not apply to conduct by academic administrators when they are acting in their administrative, at-will role. Except as noted in Section 330.110.C. below, the Standards of Faculty Conduct is in addition to and does not limit other processes and procedures for addressing conduct and employment issues, including but not limited to Research Misconduct (Section 420.010), Procedures in Case of Dismissal for Cause (Section 310.060), [Resolution Process for Resolving Complaints of Sexual Harassment under Title IX \(Section 600.030\)](#), -and Equity Resolution Process for Resolving Complaints of Discrimination,~~and~~ Harassment,~~and Sexual Misconduct~~ against a Faculty Member [or Student or Student Organization](#) (Section 600.040). A final decision on the merits in another disciplinary process precludes subsequent initiation of the Standards of Faculty Conduct process for the same allegations of inappropriate conduct.

C. Statement of Nondiscrimination and Process for Alleged Violation of the University's Anti-Discrimination Policies

The University of Missouri prohibits discrimination on the basis of race, color, national origin, ancestry, religion, sex, pregnancy, sexual orientation, gender identity, gender expression, age, disability, protected veteran status, and any other status protected

by applicable state or federal law. The University's Anti-Discrimination Policies include the Equal Employment/Educational Opportunity Policy located at Section 600.010 of the Collected Rules and Regulations and the ~~Sex Discrimination~~, Sexual Harassment and ~~Sexual Misconduct in Employment/Education under Title IX~~ Policy located at Section 600.020 of the Collected Rules and Regulations. Alleged violations of the University's Anti-Discrimination Policies are within the jurisdiction of the applicable Title IX and Equity Resolution Processes, including Sections 600.030 and 600.040 of the Collected Rules and Regulations, and not subject to enforcement through the Standards of Faculty Conduct.

D. Statement of Professional Ethics

(Excerpted with modification from the University of Missouri-Columbia Bylaws and the AAUP Redbook Statement of Professional Ethics)

1. Faculty Members recognize the special responsibilities placed upon them. Their primary responsibility as scholars is to state the truth as they see it. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although Faculty Members may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, Faculty Members encourage the free pursuit of learning in their students. They uphold the best scholarly and ethical standards of their disciplines. Faculty Members demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Faculty Members make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students accurately reflect the merit of each student's work. They avoid exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect academic freedom.
3. Faculty Members neither invidiously discriminate against nor harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Faculty Members acknowledge intellectual pluralism and strive to be objective in their professional judgment of colleagues. Faculty Members accept their share of responsibilities for the governance of their institutions.
4. As members of an academic institution, Faculty Members seek to be effective teachers and scholars. Faculty Members observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, and maintain their right to criticize and seek revision. Faculty Members give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering taking leaves of absence, permanently departing the university to pursue other opportunities, or other actions that could interrupt or end their service, Faculty Members recognize the effect of their decision upon the program of the institutions and give all due notice possible of their intentions out of respect for their colleagues.
5. As members of their community, Faculty Members have the rights and obligations of other citizens. Faculty Members measure the urgency of these obligations in light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their university. As citizens engaged in a profession that depends upon freedom for its health and integrity, Faculty members have a particular obligation to

promote conditions of free inquiry and to further public understanding of academic freedom.

E. Definitions

1. Faculty Member. For purposes of Section 330.110, Faculty Member includes all regular and non-regular academic staff appointments as defined in Sections 310.020 and 310.035 of the Collected Rules and Regulations.
2. Respondent. Respondent is the Faculty Member alleged to have committed Inappropriate Conduct.
3. Complainant. The Complainant is the University student, staff, administrator or faculty member who files a Complaint. Within five (5) business days from the final decision, Complainant will receive notice that the process has concluded and at what stage (Informal Resolution, Dean Decision, Provost Review and Decision or Appeal to the Chancellor).
4. Complaint. Complaints must be in writing and identify the alleged Inappropriate Conduct by the Respondent.
5. Informal Resolution. Informal Resolution is the preliminary efforts made to resolve the Complaint through discussions or facilitated dialogue in the unit where the Respondent has a primary academic appointment.
6. Investigator. The Provost selects the Investigator who will be the campus ombudsperson or other appropriate individual as determined by the Provost.
7. Dean. Dean as listed throughout the policy is the Dean where the Respondent has a primary academic appointment.
8. Faculty Panel. The Faculty Panel consists of three tenured professors appointed by the Faculty Council/Senate Chair from outside of the academic unit in which the Respondent has a primary academic appointment. The Faculty Panel members may be chosen from the standing Grievance Resolution Panel.

F. Inappropriate Conduct

Inappropriate Conduct for which Faculty Members could be subject to sanctions includes but is not limited to the actions below:

1. Violating University rules, regulations, policies or procedures, including but not limited to those related to conduct of academic duties and those governing the use of University funds and University facilities.
2. Violation of Professional Ethics, as set forth in Section 330.110.D above, and professional guidelines that apply to the field of the Faculty member. Faculty Members have a special obligation to adhere to such professional ethics and responsibilities as these form the basis for the academic reputation of the University.
3. Threats, intimidation, harassment, physical abuse, or any other conduct that endangers the health or safety of any person, or unreasonably interferes with a person's ability to perform University duties including teaching, research, administration, or other University activities, including public service functions on or off campus.
4. Neglecting or refusing to perform reasonable assigned teaching duties, or quitting duties without due notice in accordance with the Collected Rules and Regulations.
5. Intentional and habitual neglect of duty in the performance of academic responsibilities.
6. Willfully damaging or destroying, improperly taking, or misappropriating property owned by the University, a member of the University community, or a campus visitor, or any property used in connection with a University function

or approved activity, or unauthorized use of University facilities, or the attempt to commit any such conduct.

7. Forgery, alteration, misuse of University documents, records, or identification, or knowingly furnishing false information to the University.
8. The illegal or unauthorized possession or use of firearms, explosives, other weapons or hazardous chemicals.
9. Conviction of a felony that is clearly related to performance of University duties or academic activities.

G. Filing a Complaint

1. The Complaint must be in writing and identify the alleged Inappropriate Conduct by the Respondent.
2. The Provost of each campus will maintain an easily accessible form for the submission of a Complaint of Inappropriate Conduct.
3. The Complaint is delivered to the Dean.
4. If a Dean is the Respondent because of conduct relating to the Faculty appointment, the Complaint is delivered to the Provost. The Provost shall then serve the role described for the Dean for all further actions described below, and the Provost's recommendations will be delivered to the Chancellor.

H. Informal Resolution

1. Informal Resolution is the preliminary efforts made to resolve the Complaint through discussions or facilitated dialogue in the unit where the Respondent has a primary academic appointment.
2. The Dean coordinates Informal Resolution.
3. Informal Resolution should typically be concluded within ten (10) business days of the Dean's receipt of the Complaint.
4. Any Informal Resolution should be documented in writing and filed with the Dean.

I. Investigation

1. If an Informal Resolution is not reached, the Dean will provide to the Respondent a copy of the Complaint and a written notice that an investigation will be conducted ("Notice of Investigation"). The Notice of Investigation shall contain sufficient information to inform the Respondent of the alleged inappropriate conduct being investigated.
2. Within five (5) business days from receipt of the Notice of Investigation, the Respondent may provide a response to the Complaint ("Response") to the Dean.
3. The Dean will forward the Complaint, the Response if provided and any notes from the Informal Resolution Process to the Investigator.
4. The Provost selects the Investigator, who will be ~~be~~ the campus ombudsperson or other appropriate individual as determined by the Provost.
5. The Investigator may interview the Complainant, the Respondent and witnesses and gather written documents or other relevant information.
6. The investigation shall typically be complete within ten (10) business days.
7. The Investigator prepares a written investigation report, which will provide a summary of the information gathered and attaches a copy of the Complaint and the Response. The investigation report and attachments are sent to the Dean and the Respondent.

J. Dean Decision

1. The Dean shall review the Complaint, any Response and the investigation report.
2. The Dean will meet with the Respondent typically within five (5) business days of receiving the investigation report unless the Respondent refuses to meet.
3. The Dean may but is not required to meet with Complainant.
4. The Dean will make a decision as to whether or not the Respondent is responsible for Inappropriate Conduct.
5. If the Dean finds that the Respondent is responsible for Inappropriate Conduct, the Dean will decide the appropriate sanctions.
6. The Dean will notify Respondent of the decision of responsibility and if applicable, sanctions, typically within ten (10) business days of receipt of the investigation report.
7. If the sanction is suspension, the Dean will forward a copy of the decision to the Faculty Panel and Provost.

K. Faculty Panel Review

1. The Faculty Panel consists of three tenured professors appointed by the Faculty Council/Senate Chair from outside of the academic unit in which the Respondent has a primary academic appointment. The Faculty Panel members may be chosen from the standing Grievance Resolution Panel.
2. Any sanction for suspension, paid or unpaid, will be reviewed by a Faculty Panel.
3. The Faculty Panel sends a recommendation to the Provost stating either the Panel's agreement or disagreement with the suspension and the grounds for the Panel's recommendation within twenty (20) business days of receiving the Dean's decision.

L. Provost Review and Decision

1. All decisions by the Dean for suspension, paid or unpaid, will be automatically sent to the Provost for review and decision.
2. For all decisions for sanctions other than suspension, Respondent may request review and decision by the Provost by sending the request for reconsideration to the Provost within five (5) business days of receipt of the decision letter.
3. The Provost shall review the Complaint, the Response if any, the investigation report, the decision by the Dean and Faculty Panel recommendation, if applicable.
4. The Provost may but is not required to meet with the Respondent, the Complainant and the Dean.
5. The Provost may affirm, modify or reverse the Dean's decision of Inappropriate Conduct and/or Sanctions.
6. The decision by the Provost will be sent to the Respondent and the Dean typically within five (5) business days of receiving all applicable information.

M. Sanctions

The following sanctions may be imposed upon Respondent found to have committed Inappropriate Conduct. Multiple sanctions may be imposed for any single violation. Sanctions include but are not limited to:

1. Warning. A notice in writing to the Respondent and included in the Respondent's personnel file indicating that there is a finding of Inappropriate Conduct.

2. Loss of Privileges. Denial of specified privileges of Respondent for a designated period of time. This may include but is not limited to suspending travel privileges and/or payment of travel or conference expenses, restricting use of laboratories or offices, limiting contact with students, or suspending access to teaching or research assistance or grant accounts, service on University committees or representation of the University on official business. The loss of privileges sanction may not be applied in manner to create a constructive suspension.
3. Education or Training. Respondent may be required to complete education or training.
4. Restitution. Compensation by Respondent 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.
5. Suspension. Separation of the Respondent from the University for a definite period of time, after which the Respondent is eligible to return. Conditions for return should be specified. Suspension may be with or without salary (full or partial) for a period not to exceed one-half of the individual's normal appointment period. During the suspension period, health and retirement benefits shall be maintained.
6. Referral to the Chancellor to consider/initiate dismissal for cause as detailed in Section 310.060 of the Collected Rules and Regulations.

N. Appeal to the Chancellor

1. Respondent may appeal the decision by the Provost to the Chancellor, by filing an appeal stating the grounds or reasons for appeal in detail within five (5) business days after receipt of notification of the decision. The appeal shall be limited to the following grounds:
 - a. A procedural error occurred that significantly impacted the outcome of the finding or sanctions, e.g., substantiated bias or material deviation from established procedures.
 - b. To consider new evidence, unavailable during the original resolution process or investigation that could substantially impact the original findings or sanction.
 - c. The sanction falls outside the range typically imposed for this offense, or for the cumulative disciplinary record of Respondent.
2. Within five (5) business days of receipt of the appeal from Respondent, the Chancellor shall provide a copy of the appeal to the Provost.
3. Within five (5) business days of receiving a copy of the appeal, the Provost may file a response to the appeal.
4. Within ten (10) business days of receiving the Provost's response to the appeal, the Chancellor shall provide a determination in writing to Provost and Respondent. The Chancellor can affirm, modify or reverse the decision of the Provost.
5. The determination of the Chancellor is final and not subject to further review under the Academic Grievance Procedure in Section 370.010 of the Collected Rules and Regulations.
6. Status during appeal – The Respondent may petition the Chancellor in writing for permission to stay the imposed sanction pending final determination of the appeal. The Chancellor may permit the stay of sanctions under such conditions as may be designated pending completion of the appeal, 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. If a stay is granted, any final sanctions imposed shall be effective from the date of the final decision.

O. Complainant

Within five (5) business days from the final decision, Complainant will receive notice that the process has concluded and at what stage (Information Resolution, Dean Decision, Provost Decision or Appeal).

P. Notice

Except for the decisions by the Dean and Provost and the determination by the Chancellor, all communication including notices, request for reconsideration and appeal may be sent via University e-mail only. The Dean's decision and when applicable the Provost's Decision and the Chancellor's determination shall be sent to the Respondent via both e-mail and registered mail.

Q. Extensions of Time

For good cause, the Chancellor or Provost may grant reasonable extensions of time for any of the proposed time deadlines in the Standard Faculty of Conduct.

R. Behavior during Process

1. All individuals involved in the Standards of Faculty Conduct process should keep the matters confidential and only share the information with those who have legitimate educational or business need to know. This rule shall not preclude the placement of notes in the record of a Respondent that may be used for subsequent action in determining ongoing professional misconduct, grievances, or other University proceedings.
2. Nothing in this rule shall be construed as interfering with the ability of any University member to contact law enforcement when necessary.
3. All University employees must be truthful in providing testimony during this process, and all non-testimonial evidence must be genuine and accurate.
4. All participants, including the Complainant and Respondent, are expected to conduct themselves in a professional manner.
5. False reporting is making an intentional false Complaint as opposed to a report or accusation, which, even if erroneous, is made in good faith. False reporting is a serious offense that would be a breach of professional ethics and subject to appropriate disciplinary action.

S. Reporting Data

Campus level statistical data, including the types and numbers of complaints and findings of Inappropriate Conduct, as well as sanctions imposed, shall be reported annually to the Intercampus Faculty Council for transmission to each campus Faculty Senate/Council.

T. Records

Records of complaints and decision will be kept by the Unit in which the Respondent has a primary academic appointment. The "Record of the Case in the Section 330.110 Process" will include, if applicable, the Complaint, the Response, the investigation report, the decision by the Dean, the recommendation by the Faculty Panel, the decision by the Provost and the determination by the Chancellor. The Record of the Case in the Section 330.110 Process will be kept for a minimum of seven (7) years following final solution.

330.110 Standards of Faculty Conduct

Bd. Min. 4-27-17.

A. **General**

A Faculty Member at the University of Missouri assumes an obligation to behave in a manner compatible with the University's function as an educational institution. These expectations are established in order to protect an environment conducive to research, teaching, learning and service that fosters integrity, personal and professional growth, a community of scholarship, academic success and responsible citizenship. Faculty Members are expected to adhere to community standards in accordance with the University's mission and expectations.

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2. The Standards of Faculty Conduct applies to all Faculty Members, as defined in Section 330.110.D.1. below, at the University of Missouri. This process does not apply to conduct by academic administrators when they are acting in their administrative, at-will role. Except as noted in Section 330.110.C. below, the Standards of Faculty Conduct is in addition to and does not limit other processes and procedures for addressing conduct and employment issues, including but not limited to Research Misconduct (Section 420.010), Procedures in Case of Dismissal for Cause (Section 310.060), Resolution Process for Resolving Complaints of Sexual Harassment under Title IX (Section 600.030), and Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization (Section 600.040). A final decision on the merits in another disciplinary process precludes subsequent initiation of the Standards of Faculty Conduct process for the same allegations of inappropriate conduct.

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the Collected Rules and Regulations and the Sexual Harassment under Title IX Policy located at Section 600.020 of the Collected Rules and Regulations. Alleged violations of the University's Anti- Discrimination Policies are within the jurisdiction of the applicable Title IX and Equity Resolution Processes, including Sections 600.030 and 600.040 of the Collected Rules and Regulations, and not subject to enforcement through the Standards of Faculty Conduct.

D. Statement of Professional Ethics

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E. Definitions

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2. Respondent. Respondent is the Faculty Member alleged to have committed Inappropriate Conduct.
3. Complainant. The Complainant is the University student, staff, administrator or faculty member who files a Complaint. Within five (5) business days from the final decision, Complainant will receive notice that the process has concluded and at what stage (Informal Resolution, Dean Decision, Provost Review and Decision or Appeal to the Chancellor).
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6. Investigator. The Provost selects the Investigator who will be the campus ombudsperson or other appropriate individual as determined by the Provost.
7. Dean. Dean as listed throughout the policy is the Dean where the Respondent has a primary academic appointment.
8. Faculty Panel. The Faculty Panel consists of three tenured professors appointed by the Faculty Council/Senate Chair from outside of the academic unit in which the Respondent has a primary academic appointment. The Faculty Panel members may be chosen from the standing Grievance Resolution Panel.

F. Inappropriate Conduct

Inappropriate Conduct for which Faculty Members could be subject to sanctions includes but is not limited to the actions below:

1. Violating University rules, regulations, policies or procedures, including but not limited to those related to conduct of academic duties and those governing the use of University funds and University facilities.
2. Violation of Professional Ethics, as set forth in Section 330.110.D above, and professional guidelines that apply to the field of the Faculty member. Faculty Members have a special obligation to adhere to such professional ethics and responsibilities as these form the basis for the academic reputation of the University.
3. Threats, intimidation, harassment, physical abuse, or any other conduct that endangers the health or safety of any person, or unreasonably interferes with a person's ability to perform University duties including teaching, research, administration, or other University activities, including public service functions on or off campus.
4. Neglecting or refusing to perform reasonable assigned teaching duties, or quitting duties without due notice in accordance with the Collected Rules and Regulations.
5. Intentional and habitual neglect of duty in the performance of academic responsibilities.
6. Willfully damaging or destroying, improperly taking, or misappropriating property owned by the University, a member of the University community, or a campus visitor, or any property used in connection with a University function or approved activity, or unauthorized use of University facilities, or the attempt to commit any such conduct.
7. Forgery, alteration, misuse of University documents, records, or identification, or knowingly furnishing false information to the University.

8. The illegal or unauthorized possession or use of firearms, explosives, other weapons or hazardous chemicals.
9. Conviction of a felony that is clearly related to performance of University duties or academic activities.

G. Filing a Complaint

1. The Complaint must be in writing and identify the alleged Inappropriate Conduct by the Respondent.
2. The Provost of each campus will maintain an easily accessible form for the submission of a Complaint of Inappropriate Conduct.
3. The Complaint is delivered to the Dean.
4. If a Dean is the Respondent because of conduct relating to the Faculty appointment, the Complaint is delivered to the Provost. The Provost shall then serve the role described for the Dean for all further actions described below, and the Provost's recommendations will be delivered to the Chancellor.

H. Informal Resolution

1. Informal Resolution is the preliminary efforts made to resolve the Complaint through discussions or facilitated dialogue in the unit where the Respondent has a primary academic appointment.
2. The Dean coordinates Informal Resolution.
3. Informal Resolution should typically be concluded within ten (10) business days of the Dean's receipt of the Complaint.
4. Any Informal Resolution should be documented in writing and filed with the Dean.

I. Investigation

1. If an Informal Resolution is not reached, the Dean will provide to the Respondent a copy of the Complaint and a written notice that an investigation will be conducted ("Notice of Investigation"). The Notice of Investigation shall contain sufficient information to inform the Respondent of the alleged inappropriate conduct being investigated.
2. Within five (5) business days from receipt of the Notice of Investigation, the Respondent may provide a response to the Complaint ("Response") to the Dean.
3. The Dean will forward the Complaint, the Response if provided and any notes from the Informal Resolution Process to the Investigator.
4. The Provost selects the Investigator, who will be the campus ombudsperson or other appropriate individual as determined by the Provost.
5. The Investigator may interview the Complainant, the Respondent and witnesses and gather written documents or other relevant information.
6. The investigation shall typically be complete within ten (10) business days.
7. The Investigator prepares a written investigation report, which will provide a summary of the information gathered and attaches a copy of the Complaint and the Response. The investigation report and attachments are sent to the Dean and the Respondent.

J. Dean Decision

1. The Dean shall review the Complaint, any Response and the investigation report.
2. The Dean will meet with the Respondent typically within five (5) business days of receiving the investigation report unless the Respondent refuses to meet.

3. The Dean may but is not required to meet with Complainant.
4. The Dean will make a decision as to whether or not the Respondent is responsible for Inappropriate Conduct.
5. If the Dean finds that the Respondent is responsible for Inappropriate Conduct, the Dean will decide the appropriate sanctions.
6. The Dean will notify Respondent of the decision of responsibility and if applicable, sanctions, typically within ten (10) business days of receipt of the investigation report.
7. If the sanction is suspension, the Dean will forward a copy of the decision to the Faculty Panel and Provost.

K. Faculty Panel Review

1. The Faculty Panel consists of three tenured professors appointed by the Faculty Council/Senate Chair from outside of the academic unit in which the Respondent has a primary academic appointment. The Faculty Panel members may be chosen from the standing Grievance Resolution Panel.
2. Any sanction for suspension, paid or unpaid, will be reviewed by a Faculty Panel.
3. The Faculty Panel sends a recommendation to the Provost stating either the Panel's agreement or disagreement with the suspension and the grounds for the Panel's recommendation within twenty (20) business days of receiving the Dean's decision.

L. Provost Review and Decision

1. All decisions by the Dean for suspension, paid or unpaid, will be automatically sent to the Provost for review and decision.
2. For all decisions for sanctions other than suspension, Respondent may request review and decision by the Provost by sending the request for reconsideration to the Provost within five (5) business days of receipt of the decision letter.
3. The Provost shall review the Complaint, the Response if any, the investigation report, the decision by the Dean and Faculty Panel recommendation, if applicable.
4. The Provost may but is not required to meet with the Respondent, the Complainant and the Dean.
5. The Provost may affirm, modify or reverse the Dean's decision of Inappropriate Conduct and/or Sanctions.
6. The decision by the Provost will be sent to the Respondent and the Dean typically within five (5) business days of receiving all applicable information.

M. Sanctions

The following sanctions may be imposed upon Respondent found to have committed Inappropriate Conduct. Multiple sanctions maybe imposed for any single violation. Sanctions include but are not limited to:

1. Warning. A notice in writing to the Respondent and included in the Respondent's personnel file indicating that there is a finding of Inappropriate Conduct.
2. Loss of Privileges. Denial of specified privileges of Respondent for a designated period of time. This may include but is not limited to suspending travel privileges and/or payment of travel or conference expenses, restricting use of laboratories or offices, limiting contact with students, or suspending access to teaching or research assistance or grant accounts, service on University committees or representation of the University on official business. The loss of

privileges sanction may not be applied in manner to create a constructive suspension.

3. Education or Training. Respondent may be required to complete education or training.
4. Restitution. Compensation by Respondent 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.
5. Suspension. Separation of the Respondent from the University for a definite period of time, after which the Respondent is eligible to return. Conditions for return should be specified. Suspension may be with or without salary (full or partial) for a period not to exceed one-half of the individual's normal appointment period. During the suspension period, health and retirement benefits shall be maintained.
6. Referral to the Chancellor to consider/initiate dismissal for cause as detailed in Section 310.060 of the Collected Rules and Regulations.

N. Appeal to the Chancellor

1. Respondent may appeal the decision by the Provost to the Chancellor, by filing an appeal stating the grounds or reasons for appeal in detail within five (5) business days after receipt of notification of the decision. The appeal shall be limited to the following grounds:
 - a. A procedural error occurred that significantly impacted the outcome of the finding or sanctions, e.g., substantiated bias or material deviation from established procedures.
 - b. To consider new evidence, unavailable during the original resolution process or investigation that could substantially impact the original findings or sanction.
 - c. The sanction falls outside the range typically imposed for this offense, or for the cumulative disciplinary record of Respondent.
2. Within five (5) business days of receipt of the appeal from Respondent, the Chancellor shall provide a copy of the appeal to the Provost.
3. Within five (5) business days of receiving a copy of the appeal, the Provost may file a response to the appeal.
4. Within ten (10) business days of receiving the Provost's response to the appeal, the Chancellor shall provide a determination in writing to Provost and Respondent. The Chancellor can affirm, modify or reverse the decision of the Provost.
5. The determination of the Chancellor is final and not subject to further review under the Academic Grievance Procedure in Section 370.010 of the Collected Rules and Regulations.
6. Status during appeal – The Respondent may petition the Chancellor in writing for permission to stay the imposed sanction pending final determination of the appeal. The Chancellor may permit the stay of sanctions under such conditions as may be designated pending completion of the appeal, 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. If a stay is granted, any final sanctions imposed shall be effective from the date of the final decision.

O. Complainant

Within five (5) business days from the final decision, Complainant will receive notice

that the process has concluded and at what stage (Information Resolution, Dean Decision, Provost Decision or Appeal).

P. Notice

Except for the decisions by the Dean and Provost and the determination by the Chancellor, all communication including notices, request for reconsideration and appeal may be sent via University e-mail only. The Dean's decision and when applicable the Provost's Decision and the Chancellor's determination shall be sent to the Respondent via both e-mail and registered mail.

Q. Extensions of Time

For good cause, the Chancellor or Provost may grant reasonable extensions of time for any of the proposed time deadlines in the Standard Faculty of Conduct.

R. Behavior during Process

1. All individuals involved in the Standards of Faculty Conduct process should keep the matters confidential and only share the information with those who have legitimate educational or business need to know. This rule shall not preclude the placement of notes in the record of a Respondent that may be used for subsequent action in determining ongoing professional misconduct, grievances, or other University proceedings.
2. Nothing in this rule shall be construed as interfering with the ability of any University member to contact law enforcement when necessary.
3. All University employees must be truthful in providing testimony during this process, and all non-testimonial evidence must be genuine and accurate.
4. All participants, including the Complainant and Respondent, are expected to conduct themselves in a professional manner.
5. False reporting is making an intentional false Complaint as opposed to a report or accusation, which, even if erroneous, is made in good faith. False reporting is a serious offense that would be a breach of professional ethics and subject to appropriate disciplinary action.

S. Reporting Data

Campus level statistical data, including the types and numbers of complaints and findings of Inappropriate Conduct, as well as sanctions imposed, shall be reported annually to the Intercampus Faculty Council for transmission to each campus Faculty Senate/Council.

T. Records

Records of complaints and decision will be kept by the Unit in which the Respondent has a primary academic appointment. The "Record of the Case in the Section 330.110 Process" will include, if applicable, the Complaint, the Response, the investigation report, the decision by the Dean, the recommendation by the Faculty Panel, the decision by the Provost and the determination by the Chancellor. The Record of the Case in the Section 330.110 Process will be kept for a minimum of seven (7) years following final solution.

370.010 Academic Grievance Procedure

Bd. Min. 4-8-05; Extended Bd. Min. 4-4-08; Amended 12-12-08; 04-03-09; Bd. Min. 6-17-11. [The 6-17-11 version replaces 370.015 (Pilot Academic Grievance Procedure), and the prior version of 370.010.] Amended 6-19-14; Revised 2-5-15; Amended 2-9-17.

The Board of Curators, the faculty, and the administration of the University of Missouri recognize the importance of providing a prompt and efficient procedure for fair and equitable resolutions of grievances with the University without fear of prejudice or reprisal for initiating a grievance or participating in its settlement. To the extent possible, all grievances should be settled through informal discussions at the lowest administrative level, and disputed matters should be processed as formal grievances only when either party feels that a fair and equitable solution has not been reached in the informal discussions. Accordingly, the members of the faculty as defined in the rules and regulations, Section 310.020.A, including faculty who hold an administrative title or function, are encouraged to use this procedure for grievances relating to their status or activities as faculty members. Former faculty members may only use this process to grieve the non-renewal of their employment. This grievance procedure should not be used in connection with a matter relating to any administrative title or function which the faculty member currently holds or may also have had. The grievance procedure should not be used in connection with a matter relating to a complaint of discrimination, or harassment, ~~or including~~ sexual misconduct ~~harassment~~. Such complaints should be addressed in accordance with the applicable Title IX or Equity Resolution Process:

Section 600.030 ~~Equity Resolution Process for Resolving Complaints of Discrimination, Sexual Harassment, and Sexual Misconduct against a Student or Student Organization under Title IX~~

Section 600.040 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment, ~~and Sexual Misconduct~~ against a Faculty Member or Student or Student Organization

Section 600.050 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment, ~~and Sexual Misconduct~~ against a Staff Member or the University of Missouri

~~Section 600.060 Equity Resolution Process for Resolving Complaints of Discrimination, Harassment, and Sexual Misconduct against the University~~

The success of this procedure is contingent upon the good faith effort of all participants. It is the responsibility of the Faculty Council, Senate and Campus Administration, and the University President to encourage and sustain such efforts, and to ensure that the procedure is followed in its entirety in its spirit as well as letter. The Chancellors will be responsible for ensuring that the determination reached in a grievance is implemented. The Faculty Council/Senate Oversight Committee will monitor this process, as per Section 370.010.C.11.c.

A. Definition:

1. A grievance is defined as an allegation that one or more of the following has occurred:
 - a. There has been a violation, misinterpretation, or arbitrary application of written University rule, policy, regulation, or procedure which applies personally to the faculty member, notwithstanding that it may apply to others within or without the grievant's unit, relating to the privileges, responsibilities, or terms and conditions of employment as a member of the faculty.
 - b. There has been an infringement on the academic freedom of the faculty member.
2. This policy shall not be interpreted in such a manner as to violate the legal rights of religious organizations or the recruiting rights of military organizations associated with the Armed Forces or the Department of Homeland Security of the United States of America.

B. Termination and Non-Renewal of Regular Faculty

1. The termination of regular faculty on continuous appointments, on whatever grounds, is governed by the Academic Tenure Regulations (Section 310.020) and the Procedures in Cases of Dismissal for Cause (Section 310.060) rather than this Grievance Procedure. Any matter related to the termination of regular faculty on continuous appointment cannot be grieved under Section 370.010.
2. The non-renewal of regular faculty on regular term appointments, on whatever grounds, is governed by the Academic Tenure Regulations (Section 310.020) rather than this Grievance Procedure. As laid out in Section 310.020.F.3., if a tenure-track faculty member's non-renewal has been unsuccessfully appealed to the Chancellor, the faculty member may use this grievance process only to allege that the decision resulted from inadequate consideration or that the decision was based significantly on consideration violative of academic freedom.

C. Grievance Process:

1. Grievance Resolution Panel (GRP):
 - a. Grievances shall be addressed by a standing GRP consisting of a senior administrator and two or four tenured faculty members:
 - (1) Two models for the GRP are possible and the model employed by each campus, as well as the number of GRP members, will be determined by the Chancellor in consultation with Faculty Council/Senate.
 - (a) Model A: Two or four GRP faculty members (plus 2 alternate faculty members) will be chosen by the Faculty Council (FC) or Faculty Senate (FS) after consultation with the Chancellor or Chancellor's designee (hereafter "Chancellor"), via an application process designed by the FC or FS.
 - (b) Model B: The GRP will consist of two panels, each with two or four tenured faculty members and two alternate faculty members. Faculty will be chosen by FC/FS as described in Model A above.
 - (2) Faculty members may be granted release time to compensate for the effort devoted to the GRP. The amount of release time will be

negotiated between the Chancellor and the faculty member's dean/department chair.

(3) The senior administrator member of the GRP under either Model A or B will be appointed by the Chancellor after consultation with the FC or FS.

- b. GRP members will serve up to three-year renewable terms pending FC or FS and Chancellor approval. In the interest of continuity and consistency, faculty terms on the GRP will be staggered.
- c. A conflict of interest is a situation in which financial or other personal considerations have the potential to compromise or bias professional judgment and objectivity.

(1) In the case of a conflict of interest of the senior administrative member of the GRP, the Chancellor will appoint an alternate senior administrator after consultation with the FC/FS.

(2) In case of a conflict of interest of a faculty member of the GRP, the FC/FS will appoint alternate faculty members of the GRP. Release time, if any, for faculty alternates will be negotiated between the Chancellor and the alternate's dean/department chair, as needed.

2. Faculty Council/Senate Oversight Committee (OC) :

- a. The OC will monitor the grievance process. (Additional details on OC committee are provided below in Section 370.010 C.11.)

3. Filing a grievance:

- a. A faculty member files a grievance by the completion of the Grievance Filing Form (GFF) (see attached form in Appendix A) and submission of the form to the GRP.

(1) The grievant may submit any relevant evidence/attachments that the grievant would like to be considered by the GRP as well as a list of additional sources of information, including persons with knowledge, subject to the limitations as to length specified in the GFF.

(2) The grievant may also request that the GRP gather any additional relevant evidence that the grievant believes exists and that is not in the grievant's possession or to which the grievant does not have access. Taking into account considerations of FERPA, HIPAA, attorney/client privilege and impact on any party or university unit, the GRP will make reasonable attempts to obtain information that it deems relevant and central to the grieved matter(s).

- b. There are three requirements the grievant must meet when filing:

(1) The grieved act listed on the GFF must meet the definitional criteria in Section 370.010.A.

(2) The grievant must demonstrate that s/he attempted to informally resolve the complaint before filing the grievance.

(3) The grievant must file the grievance within one hundred and eighty (180) calendar days after the grievant knew, or reasonably should have known, of the occurrence of the event or omission out of which the

grievance has arisen. In situations where the grievance arises out of a series of events or omissions, the filing period shall be measured from the last event or omission in the series.

(a) A faculty member who does not initiate a grievance in accordance with the 180-day calendar limit specified herein shall be deemed for purposes of these procedures to have accepted the last decision rendered by an appropriate administrative officer.

c. If the GRP determines that neither of these requirements (Section 370.010.C.3.) are met, they may reject the grievance. Rejections of grievances cannot be appealed.

4. Processing a grievance:

- a. The GRP will meet with the grievant to discuss the complaint and gain a greater understanding of the issues.
- b. The GRP will also name a university respondent, in consultation with both the Chancellor and the Chair/President of Faculty Council/Senate or their designee.
- c. Early in the process, the GRP may hold one face-to-face meeting simultaneously with both the grievant and the person against whom the grievance is directed.
- d. Both the grievant and the respondent have the right to consult with an attorney of their choice, but that attorney may not be present at any meetings with the GRP. Both the grievant and the respondent may have an advisor present at meetings with the GRP but the advisor must be a current university employee and cannot act in the capacity of an attorney. The advisor may not make presentations or statements to the GRP, or any other parties present.
- e. The university respondent will be provided with the original grievance filing form and any other information gathered that the GRP deems relevant, and will be required to write a rebuttal statement.

(1) The respondent may include any relevant evidence/attachments that the respondent would like to be considered by the GRP, as well as a list of additional sources of information, including persons with knowledge.

(2) The respondent may request that the GRP gather any additional relevant evidence that the respondent believes exists and that is not in the respondent's possession or to which the respondent does not have access. Taking into account considerations of FERPA, HIPAA, attorney/client privilege and impact on any party or university entity, the GRP will make reasonable attempts to obtain information that it deems relevant and central to the grieved matter(s).

(3) The respondent has 15 calendar days from the date that s/he is provided with the original grievance filing form to write this rebuttal statement. The respondent may submit a written request to the GRP for a time extension to prepare the rebuttal. Such extensions will be granted at the sole discretion of the GRP.

- f. The GRP will investigate, gather evidence, meet individually or jointly with either or both parties, as well as other relevant individuals. There shall be no formal hearing in this process.

- g. Based on its own investigation, the GRP may collect evidence that it deems as having relevance and centrality to the grieved matters.
 - h. The GRP shall receive the cooperation of campus administrators, the collegiate dean, the department chair, the grieving faculty member, other faculty members, other University employees, and students enrolled at the University. It will be the duty of all such individuals to provide, in a timely fashion, all requested non-testimonial evidence relevant to the case.
 - i. The GRP will consult with University Legal Counsel concerning legal issues of evidence, including but not limited to FERPA regulations, attorney/client privilege, and HIPAA-protected materials.
 - j. All University employees must be truthful in providing testimony to the GRP and all non-testimonial evidence must be genuine and accurate. False testimony, fraudulent evidence, refusal to cooperate with the GRP and breaches of confidentiality (see Section 370.010. C.12) may be the basis for disciplinary action against the uncooperative individual.
 - k. The grievant(s) and respondent(s) shall be promptly provided with a copy of all evidence collected by the GRP, or in the case of materials deemed confidential by the GRP, a summary of this evidence.
 - l. The GRP will have three months from the date of a correctly filed grievance (see Section 370.010.C.3.a) to conduct an investigation and render findings and recommendations, if any.
 - m. Prior to rendering its findings, the GRP will inform the parties in writing of their tentative findings and the basis for these findings, including documents collected and information received orally. The parties shall meet jointly with the GRP and each will have the opportunity to provide a 30 minute oral presentation to the GRP regarding their perspective on these tentative findings. Each party will be provided with the opportunity to make one ten minute rebuttal to the other party's presentation.
5. Potential GRP Actions
- a. The GRP has broad administrative latitude to address grievances.
 - b. At any point in the process, the GRP may:
 - (1) Facilitate a settlement agreement between the grievant and the University of Missouri.
 - (2) Make a determination that the grievance has no merit. This determination is not appealable.
 - (3) Terminate a grievance if a lawsuit related to the substantive content of the grievance, as determined by the GRP, is initiated at any time. The grievant and the respondent are immediately released from requirements imposed by Section 370.010.C.12. This action is not appealable.
 - c. At the conclusion of their investigation, the GRP shall make findings and recommendations that may include, but are not limited to, the following, which will be provided to the Chancellor, Provost, the parties, and the Oversight Committee Representative:
 - (1) A finding in favor of the grievant and the recommendation of remedies, if any, to resolve the grievance.
 - (2) A finding that both the grievant and the respondent have legitimate

complaints and the recommendation of remedies, if any, to resolve both sets of complaints.

(3) A finding against the grievant with no recommendations for remedies to address the grievant's complaint.

(4) A finding that the respondent was subject to some adversity in connection with the aggrieved act and the recommendation of remedies, if any, to alleviate this adversity.

- d. In the interest of solving problems, the GRP, which is in a unique position to view university functions from multiple viewpoints, may occasionally identify areas of functioning of the University of Missouri that could be improved or changed to prevent future problems. These findings and recommendations shall be provided periodically to the Provost, the Chancellor, and the Chair of Faculty Council/Senate.

6. Appeal of the GRP findings:

- a. Within 15 calendar days, either the grievant or the respondent may appeal the GRP findings and recommendations, if any, to the Chancellor using the Grievance Appeal Form (a copy of which is attached in Appendix B).
- b. The Chancellor will have 30 calendar days from the time it is received to act on the appeal. If the Chancellor needs more time, then the Chancellor shall provide reasons and a new estimated time via a letter to all parties (grievant, respondent, GRP, Oversight Committee representative). If the Chancellor does not act within 30 calendar days and does not provide such a letter, the decision of the GRP becomes final.
- c. If neither party appeals the GRP decision within 15 days, then the Chancellor will have an additional 30 days to accept or reject the findings of the GRP in whole or in part, and accept, reject or modify the recommendations of the GRP. If the Chancellor needs more time, then the Chancellor shall provide reasons and a new estimated time via a letter to all parties (grievant, respondent, GRP, Oversight Committee representative). If the Chancellor does not act within such additional 30 calendar days and does not provide such a letter, the decision of the GRP becomes final.

7. Chancellor's review of the GRP Decision:

- a. In reviewing the GRP decision:

(1) The Chancellor may speak to the grievant and the respondent. If the Chancellor meets with one party, however, then the Chancellor must also meet with the other party as well, although not necessarily at the same time.

(2) The Chancellor will have access to all relevant documents.

(3) The Chancellor may seek additional information or input as needed. If the Chancellor seeks additional information, however, then the Chancellor shall inform the GRP and the OC representative to the grievance under consideration what additional information or input the Chancellor has sought.

- b. The Chancellor may accept or reject the findings of the GRP in whole or in part, and accept, reject or modify the recommendations of the GRP.

If the Chancellor rejects or modifies, the Chancellor shall meet with the GRP and the OC representative prior to rendering the final decision.

- c. The Chancellor's decision is final.
 - d. Upon rendering of the final decision, the Chancellor will notify the grievant, respondent, GRP and Oversight Committee representative regarding the final outcome and remedies, if any.
8. Grievant's acceptance of the final decision:
- a. Once a decision is final, the grievant has 15 calendar days to provide written acceptance or non-acceptance of the decision and any recommended remedies.
 - b. The grievant uses the Grievance Acceptance Form (a copy of which is attached in Appendix C) to file a response to the final decision.
9. If the grievant fails to provide a written acceptance of the final decision or submits a Grievance Acceptance Form that rejects the final decision, the grievant suffers the loss of all remedies favorable to the grievant.
10. Grievant's legal rights:
- a. Upon acceptance of the final decision, the grievant waives the right to bring a lawsuit concerning all waivable matters that were a subject of the grievance.
 - b. If a lawsuit related to the substantive content of the grievance is initiated at any time, then this grievance process will immediately end and the grievant and the respondent are immediately released from requirements imposed by Section 370.010 C.12.
 - c. Upon rejection of the final decision, the grievant and the respondent are released from the confidentiality requirements imposed by Section 370.010 C.12.
11. Oversight:
- a. There will be a Faculty Council/Senate Oversight Committee (OC), whose purpose will be to monitor the Grievance process as neutral observers and provide feedback on the process to the Faculty Council or Faculty Senate, the faculty and the Provost's and Chancellor's Office.
 - (1) The OC will consist of 3-5 tenured faculty appointed by Faculty Council or Faculty Senate for up to three year staggered terms.
 - (2) Chair of the OC will be a member of the Faculty Council or Faculty Senate.
 - b. OC monitoring of individual grievances:
 - (1) A member of the OC will be appointed to each grievance case following receipt of the Grievance Filing Form by the GRP. OC members will rotate grievance case membership unless a conflict of interest is identified.
 - (2) The OC representative will sit in on all GRP deliberations and will be copied on all correspondence. If during deliberations, the OC member has process or procedural concerns, the member may raise the concerns with the GRP, without the grievant or respondent or any other parties present.
 - (3) The OC representative is an observer: The OC representative may not participate in the deliberations or rendering of findings and

recommendations by the GRP.

(4) GRP requests for extensions of up to two weeks may be approved by the OC representative on that case. Any additional requests for extensions must be approved by the OC. The OC shall rule on such requests within five calendar days from the receipt of the request.

(5) The OC representative shall not discuss the ongoing grievance with anyone, including other OC members, except any information necessary to the OC committee decision regarding time extension requests from the GRP.

(6) At the close of each grievance case, the OC representative shall present to the other OC members, and the GRP, a summative and evaluative report of the process as it relates to that particular case. These reports will not reveal any substantive information concerning grievances including but not limited to supporting materials, specific findings, and identifying information about any participant.

c. OC monitoring of the grievance process:

(1) The OC will continually monitor the overall grievance process.

(2) On a yearly basis the OC shall present a summative and evaluative report to Faculty Council or Faculty Senate Executive Committee, the Provost and the Chancellor.

(3) The OC will monitor the implementation of remedies resulting from the final grievance decision by communication with relevant parties, and in cases in which remedies are not being implemented the Faculty Council/ Faculty Senate will be notified.

12. Confidentiality:

- a. All parties involved (grievant, respondent, GRP and OC) must agree to maintain strict confidentiality regarding any substantive information concerning grievances including but not limited to supporting materials, specific findings, and identifying information about any participant. The substance of the cases shall not be discussed at any time, before or after a final decision is made, except as provided in Section 370.010.C.5.b.(3), and 370.010.C.10.c. Additionally, information related to claims of discrimination shall be reported to the Equity Officer or Title IX Coordinator.

- [Appendix A](#) (MS Word)
- [Appendix B](#) (MS Word)
- [Appendix C](#) (MS Word)

370.010 Academic Grievance Procedure

Bd. Min. 4-8-05; Extended Bd. Min. 4-4-08; Amended 12-12-08; 04-03-09; Bd. Min. 6-17-11. [The 6-17-11 version replaces 370.015 (Pilot Academic Grievance Procedure), and the prior version of 370.010.] Amended 6-19-14; Revised 2-5-15; Amended 2-9-17.

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

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

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

The success of this procedure is contingent upon the good faith effort of all participants. It is the responsibility of the Faculty Council, Senate and Campus Administration, and the University President to encourage and sustain such efforts, and to ensure that the procedure is followed in its entirety in its spirit as well as letter. The Chancellors will be responsible for ensuring that the determination reached in a grievance is implemented. The Faculty Council/Senate Oversight Committee will monitor this process, as per Section 370.010.C.11.c.

A. Definition:

1. A grievance is defined as an allegation that one or more of the following has occurred:
 - a. There has been a violation, misinterpretation, or arbitrary application of written University rule, policy, regulation, or procedure which applies personally to the faculty member, notwithstanding that it may apply to

others within or without the grievant's unit, relating to the privileges, responsibilities, or terms and conditions of employment as a member of the faculty.

- b. There has been an infringement on the academic freedom of the faculty member.
2. This policy shall not be interpreted in such a manner as to violate the legal rights of religious organizations or the recruiting rights of military organizations associated with the Armed Forces or the Department of Homeland Security of the United States of America.

B. Termination and Non-Renewal of Regular Faculty

1. The termination of regular faculty on continuous appointments, on whatever grounds, is governed by the Academic Tenure Regulations (Section 310.020) and the Procedures in Cases of Dismissal for Cause (Section 310.060) rather than this Grievance Procedure. Any matter related to the termination of regular faculty on continuous appointment cannot be grieved under Section 370.010.
2. The non-renewal of regular faculty on regular term appointments, on whatever grounds, is governed by the Academic Tenure Regulations (Section 310.020) rather than this Grievance Procedure. As laid out in Section 310.020.F.3., if a tenure-track faculty member's non-renewal has been unsuccessfully appealed to the Chancellor, the faculty member may use this grievance process only to allege that the decision resulted from inadequate consideration or that the decision was based significantly on consideration violative of academic freedom.

C. Grievance Process:

1. Grievance Resolution Panel (GRP):
 - a. Grievances shall be addressed by a standing GRP consisting of a senior administrator and two or four tenured faculty members:
 - (1) Two models for the GRP are possible and the model employed by each campus, as well as the number of GRP members, will be determined by the Chancellor in consultation with Faculty Council/Senate.
 - (a) Model A: Two or four GRP faculty members (plus 2 alternate faculty members) will be chosen by the Faculty Council (FC) or Faculty Senate (FS) after consultation with the Chancellor or Chancellor's designee (hereafter "Chancellor"), via an application process designed by the FC or FS.
 - (b) Model B: The GRP will consist of two panels, each with two or four tenured faculty members and two alternate faculty members. Faculty will be chosen by FC/FS as described in Model A above.
 - (2) Faculty members may be granted release time to compensate for the effort devoted to the GRP. The amount of release time will be negotiated between the Chancellor and the faculty member's dean/department chair.
 - (3) The senior administrator member of the GRP under either Model A or B will be appointed by the Chancellor after consultation with the FC or FS.

- b. GRP members will serve up to three-year renewable terms pending FC or FS and Chancellor approval. In the interest of continuity and consistency, faculty terms on the GRP will be staggered.
- c. A conflict of interest is a situation in which financial or other personal considerations have the potential to compromise or bias professional judgment and objectivity.

(1) In the case of a conflict of interest of the senior administrative member of the GRP, the Chancellor will appoint an alternate senior administrator after consultation with the FC/FS.

(2) In case of a conflict of interest of a faculty member of the GRP, the FC/FS will appoint alternate faculty members of the GRP. Release time, if any, for faculty alternates will be negotiated between the Chancellor and the alternate's dean/department chair, as needed.

2. Faculty Council/Senate Oversight Committee (OC) :

- a. The OC will monitor the grievance process. (Additional details on OC committee are provided below in Section 370.010 C.11.)

3. Filing a grievance:

- a. A faculty member files a grievance by the completion of the Grievance Filing Form (GFF) (see attached form in Appendix A) and submission of the form to the GRP.

(1) The grievant may submit any relevant evidence/attachments that the grievant would like to be considered by the GRP as well as a list of additional sources of information, including persons with knowledge, subject to the limitations as to length specified in the GFF.

(2) The grievant may also request that the GRP gather any additional relevant evidence that the grievant believes exists and that is not in the grievant's possession or to which the grievant does not have access. Taking into account considerations of FERPA, HIPAA, attorney/client privilege and impact on any party or university unit, the GRP will make reasonable attempts to obtain information that it deems relevant and central to the grieved matter(s).

- b. There are three requirements the grievant must meet when filing:

(1) The grieved act listed on the GFF must meet the definitional criteria in Section 370.010.A.

(2) The grievant must demonstrate that s/he attempted to informally resolve the complaint before filing the grievance.

(3) The grievant must file the grievance within one hundred and eighty (180) calendar days after the grievant knew, or reasonably should have known, of the occurrence of the event or omission out of which the grievance has arisen. In situations where the grievance arises out of a series of events or omissions, the filing period shall be measured from the last event or omission in the series.

(a) A faculty member who does not initiate a grievance in accordance with the 180-day calendar limit specified herein

shall be deemed for purposes of these procedures to have accepted the last decision rendered by an appropriate administrative officer.

- c. If the GRP determines that neither of these requirements (Section 370.010.C.3.) are met, they may reject the grievance. Rejections of grievances cannot be appealed.

4. Processing a grievance:

- a. The GRP will meet with the grievant to discuss the complaint and gain a greater understanding of the issues.
- b. The GRP will also name a university respondent, in consultation with both the Chancellor and the Chair/President of Faculty Council/Senate or their designee.
- c. Early in the process, the GRP may hold one face-to-face meeting simultaneously with both the grievant and the person against whom the grievance is directed.
- d. Both the grievant and the respondent have the right to consult with an attorney of their choice, but that attorney may not be present at any meetings with the GRP. Both the grievant and the respondent may have an advisor present at meetings with the GRP but the advisor must be a current university employee and cannot act in the capacity of an attorney. The advisor may not make presentations or statements to the GRP, or any other parties present.
- e. The university respondent will be provided with the original grievance filing form and any other information gathered that the GRP deems relevant, and will be required to write a rebuttal statement.

(1) The respondent may include any relevant evidence/attachments that the respondent would like to be considered by the GRP, as well as a list of additional sources of information, including persons with knowledge.

(2) The respondent may request that the GRP gather any additional relevant evidence that the respondent believes exists and that is not in the respondent's possession or to which the respondent does not have access. Taking into account considerations of FERPA, HIPAA, attorney/client privilege and impact on any party or university entity, the GRP will make reasonable attempts to obtain information that it deems relevant and central to the grieved matter(s).

(3) The respondent has 15 calendar days from the date that s/he is provided with the original grievance filing form to write this rebuttal statement. The respondent may submit a written request to the GRP for a time extension to prepare the rebuttal. Such extensions will be granted at the sole discretion of the GRP.

- f. The GRP will investigate, gather evidence, meet individually or jointly with either or both parties, as well as other relevant individuals. There shall be no formal hearing in this process.
- g. Based on its own investigation, the GRP may collect evidence that it deems as having relevance and centrality to the grieved matters.
- h. The GRP shall receive the cooperation of campus administrators, the collegiate dean, the department chair, the grieving faculty member, other faculty members, other University employees, and students enrolled at the University. It will be the duty of all such individuals to

provide, in a timely fashion, all requested non-testimonial evidence relevant to the case.

- i. The GRP will consult with University Legal Counsel concerning legal issues of evidence, including but not limited to FERPA regulations, attorney/client privilege, and HIPAA-protected materials.
- j. All University employees must be truthful in providing testimony to the GRP and all non-testimonial evidence must be genuine and accurate. False testimony, fraudulent evidence, refusal to cooperate with the GRP and breaches of confidentiality (see Section 370.010. C.12) may be the basis for disciplinary action against the uncooperative individual.
- k. The grievant(s) and respondent(s) shall be promptly provided with a copy of all evidence collected by the GRP, or in the case of materials deemed confidential by the GRP, a summary of this evidence.
- l. The GRP will have three months from the date of a correctly filed grievance (see Section 370.010.C.3.a) to conduct an investigation and render findings and recommendations, if any.
- m. Prior to rendering its findings, the GRP will inform the parties in writing of their tentative findings and the basis for these findings, including documents collected and information received orally. The parties shall meet jointly with the GRP and each will have the opportunity to provide a 30 minute oral presentation to the GRP regarding their perspective on these tentative findings. Each party will be provided with the opportunity to make one ten minute rebuttal to the other party's presentation.

5. Potential GRP Actions

- a. The GRP has broad administrative latitude to address grievances.
- b. At any point in the process, the GRP may:
 - (1) Facilitate a settlement agreement between the grievant and the University of Missouri.
 - (2) Make a determination that the grievance has no merit. This determination is not appealable.
 - (3) Terminate a grievance if a lawsuit related to the substantive content of the grievance, as determined by the GRP, is initiated at any time. The grievant and the respondent are immediately released from requirements imposed by Section 370.010.C.12. This action is not appealable.
- c. At the conclusion of their investigation, the GRP shall make findings and recommendations that may include, but are not limited to, the following, which will be provided to the Chancellor, Provost, the parties, and the Oversight Committee Representative:
 - (1) A finding in favor of the grievant and the recommendation of remedies, if any, to resolve the grievance.
 - (2) A finding that both the grievant and the respondent have legitimate complaints and the recommendation of remedies, if any, to resolve both sets of complaints.
 - (3) A finding against the grievant with no recommendations for remedies to address the grievant's complaint.
 - (4) A finding that the respondent was subject to some adversity in

connection with the aggrieved act and the recommendation of remedies, if any, to alleviate this adversity.

- d. In the interest of solving problems, the GRP, which is in a unique position to view university functions from multiple viewpoints, may occasionally identify areas of functioning of the University of Missouri that could be improved or changed to prevent future problems. These findings and recommendations shall be provided periodically to the Provost, the Chancellor, and the Chair of Faculty Council/Senate.
6. Appeal of the GRP findings:
- a. Within 15 calendar days, either the grievant or the respondent may appeal the GRP findings and recommendations, if any, to the Chancellor using the Grievance Appeal Form (a copy of which is attached in Appendix B).
 - b. The Chancellor will have 30 calendar days from the time it is received to act on the appeal. If the Chancellor needs more time, then the Chancellor shall provide reasons and a new estimated time via a letter to all parties (grievant, respondent, GRP, Oversight Committee representative). If the Chancellor does not act within 30 calendar days and does not provide such a letter, the decision of the GRP becomes final.
 - c. If neither party appeals the GRP decision within 15 days, then the Chancellor will have an additional 30 days to accept or reject the findings of the GRP in whole or in part, and accept, reject or modify the recommendations of the GRP. If the Chancellor needs more time, then the Chancellor shall provide reasons and a new estimated time via a letter to all parties (grievant, respondent, GRP, Oversight Committee representative). If the Chancellor does not act within such additional 30 calendar days and does not provide such a letter, the decision of the GRP becomes final.
7. Chancellor's review of the GRP Decision:
- a. In reviewing the GRP decision:
 - (1) The Chancellor may speak to the grievant and the respondent. If the Chancellor meets with one party, however, then the Chancellor must also meet with the other party as well, although not necessarily at the same time.
 - (2) The Chancellor will have access to all relevant documents.
 - (3) The Chancellor may seek additional information or input as needed. If the Chancellor seeks additional information, however, then the Chancellor shall inform the GRP and the OC representative to the grievance under consideration what additional information or input the Chancellor has sought.
 - b. The Chancellor may accept or reject the findings of the GRP in whole or in part, and accept, reject or modify the recommendations of the GRP. If the Chancellor rejects or modifies, the Chancellor shall meet with the GRP and the OC representative prior to rendering the final decision.
 - c. The Chancellor's decision is final.

- d. Upon rendering of the final decision, the Chancellor will notify the grievant, respondent, GRP and Oversight Committee representative regarding the final outcome and remedies, if any.
8. Grievant's acceptance of the final decision:
- a. Once a decision is final, the grievant has 15 calendar days to provide written acceptance or non-acceptance of the decision and any recommended remedies.
 - b. The grievant uses the Grievance Acceptance Form (a copy of which is attached in Appendix C) to file a response to the final decision.
9. If the grievant fails to provide a written acceptance of the final decision or submits a Grievance Acceptance Form that rejects the final decision, the grievant suffers the loss of all remedies favorable to the grievant.
10. Grievant's legal rights:
- a. Upon acceptance of the final decision, the grievant waives the right to bring a lawsuit concerning all waivable matters that were a subject of the grievance.
 - b. If a lawsuit related to the substantive content of the grievance is initiated at any time, then this grievance process will immediately end and the grievant and the respondent are immediately released from requirements imposed by Section 370.010 C.12.
 - c. Upon rejection of the final decision, the grievant and the respondent are released from the confidentiality requirements imposed by Section 370.010 C.12.
11. Oversight:
- a. There will be a Faculty Council/Senate Oversight Committee (OC), whose purpose will be to monitor the Grievance process as neutral observers and provide feedback on the process to the Faculty Council or Faculty Senate, the faculty and the Provost's and Chancellor's Office.
 - (1) The OC will consist of 3-5 tenured faculty appointed by Faculty Council or Faculty Senate for up to three year staggered terms.
 - (2) Chair of the OC will be a member of the Faculty Council or Faculty Senate.
 - b. OC monitoring of individual grievances:
 - (1) A member of the OC will be appointed to each grievance case following receipt of the Grievance Filing Form by the GRP. OC members will rotate grievance case membership unless a conflict of interest is identified.
 - (2) The OC representative will sit in on all GRP deliberations and will be copied on all correspondence. If during deliberations, the OC member has process or procedural concerns, the member may raise the concerns with the GRP, without the grievant or respondent or any other parties present.
 - (3) The OC representative is an observer: The OC representative may not participate in the deliberations or rendering of findings and recommendations by the GRP.
 - (4) GRP requests for extensions of up to two weeks may be approved by the OC representative on that case. Any additional requests for

extensions must be approved by the OC. The OC shall rule on such requests within five calendar days from the receipt of the request.

(5) The OC representative shall not discuss the ongoing grievance with anyone, including other OC members, except any information necessary to the OC committee decision regarding time extension requests from the GRP.

(6) At the close of each grievance case, the OC representative shall present to the other OC members, and the GRP, a summative and evaluative report of the process as it relates to that particular case. These reports will not reveal any substantive information concerning grievances including but not limited to supporting materials, specific findings, and identifying information about any participant.

c. OC monitoring of the grievance process:

(1) The OC will continually monitor the overall grievance process.

(2) On a yearly basis the OC shall present a summative and evaluative report to Faculty Council or Faculty Senate Executive Committee, the Provost and the Chancellor.

(3) The OC will monitor the implementation of remedies resulting from the final grievance decision by communication with relevant parties, and in cases in which remedies are not being implemented the Faculty Council/ Faculty Senate will be notified.

12. Confidentiality:

- a. All parties involved (grievant, respondent, GRP and OC) must agree to maintain strict confidentiality regarding any substantive information concerning grievances including but not limited to supporting materials, specific findings, and identifying information about any participant. The substance of the cases shall not be discussed at any time, before or after a final decision is made, except as provided in Section 370.010.C.5.b.(3), and 370.010.C.10.c. Additionally, information related to claims of discrimination shall be reported to the Equity Officer or Title IX Coordinator.

- [Appendix A](#) (MS Word)
- [Appendix B](#) (MS Word)
- [Appendix C](#) (MS Word)

380.010 Grievance Procedure for Administrative, Service and Support Staff

Bd. Min. 2-19-67, p. 32,163; Revised Bd. Min. 9-7-79; Revised Bd. Min 9-12-80; Revised Bd. Min. 2-2-94; Amended 9-26-97; Revised 10-1-98; Revised 2-5-15; Amended 2-9-17.

The Board of Curators has adopted the following resolution relating to grievance procedures for the administrative, service and support staff of the University of Missouri.

- A. The University recognizes the right of employees to express their grievances and to seek a solution concerning disagreements arising from working relationships, working conditions, employment practices or differences of interpretation of policy which might arise between the University and its employees. A regular employee may process a grievance regarding any of these matters upon completion of their probationary period. In addition, a probationary or non-regular employee may process a grievance concerning application or interpretation of University policies and procedures. The grievance procedure should not be used in connection with a matter relating to a complaint of discrimination ~~or~~, harassment, ~~or including sexual misconduct~~ harassment. Such complaints should be addressed in accordance with the applicable Title IX or Equity Resolution Process:

1. Section 600.030 ~~Equity~~ Resolution Process for Resolving Complaints of ~~Discrimination, Sexual~~ Harassment ~~, and Sexual Misconduct against a Student or Student Organization under Title IX;~~
2. Section 600.040 Equity Resolution Process for Resolving Complaints of Discrimination ~~and~~, Harassment ~~, and Sexual Misconduct~~ against a Faculty Member ~~or Student or Student Organization;~~
3. Section 600.050 Equity Resolution Process for Resolving Complaints of Discrimination ~~and~~, Harassment ~~, and Sexual Misconduct~~ against a Staff Member ~~or the University of Missouri;~~
4. ~~Section 600.060 Equity Resolution Process for Resolving Complaints of Discrimination, Harassment, and Sexual Misconduct against the University.~~

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B. Procedures for Processing Grievances

1. Should an employee or the employee's representative feel after oral discussion with the immediate supervisor that employee's rights under University policy have been violated, the employee may originate a grievance within ten (10) days of the date the alleged grievable act occurred, by presenting the facts in writing to the proper supervisor, department head, or designated representative of the University, with a copy to the Campus Grievance Representative. The decision of such official shall be made in writing to the employee within ten (10) days after receipt of response.
2. Should the employee decide the decision is unsatisfactory, the employee or the employee's representative shall within five (5) days submit an appeal to the Campus Grievance Representative. The Campus Grievance Representative or designee shall respond in writing to the grievant within five (5) days from

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the date of the review. If the grievance is resolved, no further action will be necessary.

If the grievance is not satisfactorily resolved, the employee or the employee's representative, may appeal within five (5) days after receipt of response to the University Grievance Representative (Vice President, Human Resource Services or a designated representative) for the purpose of reviewing the grievance.

The decision of the University Grievance Representative or designee shall be made in writing to the employee and/or to employee's representative within five (5) days after the date of the review.

3. Should the employee decide that the reply of the University Grievance Representative or designee is unsatisfactory, the matter may be appealed within five (5) days of receipt of the response through the University Grievance Representative to a grievance committee which shall be established as follows:
 - a. The employee or employee's representative may designate one member.
 - b. The University through its Grievance Representative, with the approval of the chancellor of the campus, shall appoint one member.
 - c. The selection of the third member shall be made by these two (2) members. If mutually agreeable, the two (2) designated members may select the third member from a list recommended by either and approved by both. Otherwise selection will be made from a list of committee members supplied by the federal Mediation and Conciliation Service. The selection will be made by reducing the list in alternate turns. The toss of a coin shall determine the elimination sequence.
 - d. A decision of the grievance committee may be reached upon the concurrence of any two of the three members.
 - e. A hearing will be scheduled as soon as feasible after selection of the third committee member.
 - f. The grievance committee shall keep a complete record of the hearing before it, including any exhibits or papers submitted to it in connection with the hearing and a complete record of any testimony taken. Upon the rendering of its decision, the complete record shall be filed in the Office of the President of the University and shall be available to the employee, employee's representative and the University Grievance Representative.
 - g. Any cost of the third party on the committee and cost of transcript (if requested) shall be paid equally by the employee and the University.
4. In the event the decision of the grievance committee is unsatisfactory to either the employee or the University Grievance Representative, either may within five (5) days after receipt of the decision appeal to the Board of Curators by delivering such notice of appeal to the President of the University.
5. Upon the receipt of the notice of appeal, the President of the University shall cause the record of the hearing before the grievance committee to be filed with the Board of Curators of the University, who shall review such record. The decision of the Board of Curators, upon such review, will be final.
6. The prescribed time limits may be extended by mutual agreement whenever necessary in order for these provisions to be implemented.
7. The interpretation of "days" within this section is to be normal workdays (Monday through Friday) exclusive of official University holidays.

380.010 Grievance Procedure for Administrative, Service and Support Staff

Bd. Min. 2-19-67, p. 32,163; Revised Bd. Min. 9-7-79; Revised Bd. Min 9-12-80; Revised Bd. Min. 2-2-94; Amended 9-26-97; Revised 10-1-98; Revised 2-5-15; Amended 2-9-17.

The Board of Curators has adopted the following resolution relating to grievance procedures for the administrative, service and support staff of the University of Missouri.

- A. The University recognizes the right of employees to express their grievances and to seek a solution concerning disagreements arising from working relationships, working conditions, employment practices or differences of interpretation of policy which might arise between the University and its employees. A regular employee may process a grievance regarding any of these matters upon completion of their probationary period. In addition, a probationary or non-regular employee may process a grievance concerning application or interpretation of University policies and procedures. The grievance procedure should not be used in connection with a matter relating to a complaint of discrimination or harassment, including sexual harassment. Such complaints should be addressed in accordance with the applicable Title IX or Equity Resolution Process:

1. Section 600.030 Resolution Process for Resolving Complaints of Sexual Harassment under Title IX;
2. Section 600.040 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Faculty Member or Student or Student Organization;
3. Section 600.050 Equity Resolution Process for Resolving Complaints of Discrimination and Harassment against a Staff Member or the University of Missouri.

B. Procedures for Processing Grievances

1. Should an employee or the employee's representative feel after oral discussion with the immediate supervisor that employee's rights under University policy have been violated, the employee may originate a grievance within ten (10) days of the date the alleged grievable act occurred, by presenting the facts in writing to the proper supervisor, department head, or designated representative of the University, with a copy to the Campus Grievance Representative. The decision of such official shall be made in writing to the employee within ten (10) days after receipt of response.
2. Should the employee decide the decision is unsatisfactory, the employee or the employee's representative shall within five (5) days submit an appeal to the Campus Grievance Representative. The Campus Grievance Representative or designee shall respond in writing to the grievant within five (5) days from the date of the review. If the grievance is resolved, no further action will be necessary.

If the grievance is not satisfactorily resolved, the employee or the employee's representative, may appeal within five (5) days after receipt of response to the University Grievance Representative (Vice President, Human Resource Services or a designated representative) for the purpose of reviewing the grievance. The decision of the University Grievance Representative or designee shall be made in writing to the employee and/or to employee's representative within five (5) days after the date of the review.

3. Should the employee decide that the reply of the University Grievance Representative or designee is unsatisfactory, the matter may be appealed within five (5) days of receipt of the response through the University Grievance Representative to a grievance committee which shall be established as follows:
 - a. The employee or employee's representative may designate one member.
 - b. The University through its Grievance Representative, with the approval of the chancellor of the campus, shall appoint one member.
 - c. The selection of the third member shall be made by these two (2) members. If mutually agreeable, the two (2) designated members may select the third member from a list recommended by either and approved by both. Otherwise selection will be made from a list of committee members supplied by the federal Mediation and Conciliation Service. The selection will be made by reducing the list in alternate turns. The toss of a coin shall determine the elimination sequence.
 - d. A decision of the grievance committee may be reached upon the concurrence of any two of the three members.
 - e. A hearing will be scheduled as soon as feasible after selection of the third committee member.
 - f. The grievance committee shall keep a complete record of the hearing before it, including any exhibits or papers submitted to it in connection with the hearing and a complete record of any testimony taken. Upon the rendering of its decision, the complete record shall be filed in the Office of the President of the University and shall be available to the employee, employee's representative and the University Grievance Representative.
 - g. Any cost of the third party on the committee and cost of transcript (if requested) shall be paid equally by the employee and the University.
4. In the event the decision of the grievance committee is unsatisfactory to either the employee or the University Grievance Representative, either may within five (5) days after receipt of the decision appeal to the Board of Curators by delivering such notice of appeal to the President of the University.
5. Upon the receipt of the notice of appeal, the President of the University shall cause the record of the hearing before the grievance committee to be filed with the Board of Curators of the University, who shall review such record. The decision of the Board of Curators, upon such review, will be final.
6. The prescribed time limits may be extended by mutual agreement whenever necessary in order for these provisions to be implemented.
7. The interpretation of "days" within this section is to be normal workdays (Monday through Friday) exclusive of official University holidays.

600.070 Policy Related to Students with Disabilities

Executive Order No. 21, 11-1-84; Amended 2-25-97; Amended 2-9-17 with an effective date of 3-1-17; Amended 2-10-20.

- A. **Equality of Access** – The University of Missouri strives to assure that no qualified person with a disability shall, solely by reason of the disability, be denied access to, participation in, or the benefits of any program or activity operated by the University. Each such qualified person shall receive reasonable accommodations to provide equally effective access to educational opportunities, programs, and activities in the most integrated setting appropriate unless provision of such reasonable accommodation would constitute an undue hardship on the University or would substantially alter essential elements of the academic program or course of study or would otherwise compromise academic standards. This policy shall apply to all programs, services, and activities of the University, including but not limited to recruitment, admissions, registration, financial aid, academic programs, advising, counseling, student health, housing and employment.
- B. **Federal and State Laws** – This policy is intended to be consistent with Section 504 of the Rehabilitation Act of 1973, which states that no recipient of federal financial assistance may discriminate against qualified individuals with disabilities solely by reason of disability. This policy is also intended to be consistent with the Americans with Disabilities act of 1990 and the Missouri Human Rights Act.
- C. **Facilities** – Each program or activity, when viewed in its entirety, shall be accessible to otherwise qualified and eligible students with disabilities. Facilities, or parts of facilities, constructed or renovated for the University’s use will be designed and built so that they are accessible to and usable by persons with disabilities, in accordance with the ADA Accessibility Guidelines or other accessibility standards properly adopted by the campus. Accessible on-campus housing and food service will be provided at the same cost and with the same program options to qualified students with disabilities as are afforded to non-disabled students. When any University classes, programs or activities are held in private facilities, thorough efforts shall be made to obtain facilities which are accessible.
- D. **Coordination of Programs and Services for Students with Disabilities**
 - 1. Campus disability support service (DSS) offices or other designated campus units are responsible for coordination of programs, services, and classroom accommodations for qualified applicants for admission and qualified enrolled students with disabilities. Such coordination relates solely to disability issues. Determinations as to whether a student is otherwise qualified often will be based on the academic requirements developed by the faculty. Specific services available to qualified students with disabilities will be provided by the University in conformity with the requirements of federal and state law.
 - 2. All applicants and students seeking disability-related services and/or accommodations must disclose the presence of a specific disability to DSS. Before receiving requested services and/or accommodations, the student will be required to provide the DSS office with current medical or other diagnostic documentation of a disability from a qualified physician or other qualified diagnostician, as well as current documentation of the need for accommodations. In cases where existing documentation is incomplete or

outdated, students may be required to provide additional documentation at the student's expense. All documentation related to an applicant or student's disability shall be kept confidential and retained by DSS. The DSS file shall be maintained separately from other student records maintained by the University.

3. ~~It is the applicant/student's responsibility to self-identify, to provide current and adequate documentation of a disability, and to request accommodations, through the DSS office. The appropriate documentation must be provided in a timely manner to ensure full resolution of accommodations prior to the student's entrance into the program or course of study. However, a request can be made at any time. Documentation review and accommodations planning by DSS, including consultation with faculty and/or other campus entities that may be affected in providing accommodations, will be done on an individualized case-by-case basis.~~
4. Reasonable classroom accommodations will be provided to otherwise qualified and eligible students with disabilities who have self-identified and who have provided satisfactory documentation in support of their timely request for such accommodations, in compliance with federal and state mandates. These accommodations shall not affect the substance of the educational programs or compromise educational standards.
5. In addition to providing accommodations needed to ensure nondiscrimination in access to educational opportunities by otherwise qualified students with disabilities, the University is responsible for ensuring that no qualified disabled student is denied the benefits of or excluded from participation in a University program because of the absence of auxiliary aids, services, and/or other reasonable accommodations. Auxiliary aids, services, and/or other accommodations include but are not limited to interpreters (sign or oral), readers, scribes, adaptive equipment, and other appropriate services or equipment necessary for course or program accessibility.
6. Determinations as to whether and what reasonable services and accommodations shall be provided to qualified applicants for admission and qualified enrolled students with disabilities will be made initially by the coordinator of DSS or the coordinator's designee (hereafter "the Coordinator"). The Coordinator will consult with appropriate faculty members regarding whether the provision of services and/or accommodations would substantially alter essential elements of the educational program or course of study or otherwise compromise academic standards and discuss appropriate methods for implementation of the -services and/or accommodations. Faculty members will not be consulted on the issue of whether the student has a disability and the Coordinator will not share documentation of the student's disability with faculty members. If the Coordinator and faculty member(s) are unable to reach agreement regarding the determination of whether and what reasonable services and accommodations shall be provided and/or the implementation of those services and/or accommodations, such disagreement shall be described in writing promptly and submitted to the Chancellor or Designee for resolution in a prompt manner.
7. Initial determinations and any disagreements submitted to the Chancellor or Designee (hereafter "the Chancellor") will take into consideration all relevant factors including, but not limited to, the following:
 - a. Current documentation of the specific disability and of the need for the requested services or accommodations;

- b. The essential elements of the academic program or course of study being pursued;
 - c. The fact that the law does not require a University to substantially alter essential elements of its academic program or course of study or to otherwise compromise its academic standards.
- 8. While funding for accommodations to ensure equally effective access is provided by the University, funding for auxiliary aids, accommodations, and/or services in some instances may be shared with state vocational rehabilitation agencies. The law does not require and the University does not provide prescription devices or other devices/services of a personal nature (e.g. personal attendants) for students with disabilities.
- E. **Establishment of Campus Policies** – Chancellors are directed to establish campus policies and/or procedures consistent with this order. These should cover, at a minimum, treatment of disability-related information and appropriate regard for confidentiality, responsibilities of students in applying for services through DSS, time lines to assure that students make accommodation requests in a timely manner, guidelines to assure that disability documentation is reasonably current, a description of the process of individualized assessment of each student’s disability documentation and accommodation request(s), the role of faculty in determining the essential elements of the academic program or course of study and the academic standards involved in the accommodations planning and review process within the context of academic program requirements. Any complaints of disability discrimination or failure to accommodate should be processed through the appropriate [Title IX or Equity Resolution Process](#) (See Sections 600.030, 600.040, [and 600.050](#), ~~and 600.060~~).
- F. **Retaliation** – Retaliation is any adverse action taken against a person because of that person’s participation in protected activity. The University strictly prohibits retaliation against any person for: seeking an accommodation pursuant to this policy, filing a Complaint of discrimination based on disability, or participating in an investigation or proceeding concerning allegations of discrimination based on disability. Any person who engages in such retaliation shall be subject to the 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 promptly notify the Equity Officer or Title IX Coordinator. The University will promptly investigate all complaints of retaliation.

600.070 Policy Related to Students with Disabilities

Executive Order No. 21, 11-1-84; Amended 2-25-97; Amended 2-9-17 with an effective date of 3-1-17; Amended 2-10-20.

- A. **Equality of Access** – The University of Missouri strives to assure that no qualified person with a disability shall, solely by reason of the disability, be denied access to, participation in, or the benefits of any program or activity operated by the University. Each such qualified person shall receive reasonable accommodations to provide equally effective access to educational opportunities, programs, and activities in the most integrated setting appropriate unless provision of such reasonable accommodation would constitute an undue hardship on the University or would substantially alter essential elements of the academic program or course of study or would otherwise compromise academic standards. This policy shall apply to all programs, services, and activities of the University, including but not limited to recruitment, admissions, registration, financial aid, academic programs, advising, counseling, student health, housing and employment.
- B. **Federal and State Laws** – This policy is intended to be consistent with Section 504 of the Rehabilitation Act of 1973, which states that no recipient of federal financial assistance may discriminate against qualified individuals with disabilities solely by reason of disability. This policy is also intended to be consistent with the Americans with Disabilities act of 1990 and the Missouri Human Rights Act.
- C. **Facilities** – Each program or activity, when viewed in its entirety, shall be accessible to otherwise qualified and eligible students with disabilities. Facilities, or parts of facilities, constructed or renovated for the University’s use will be designed and built so that they are accessible to and usable by persons with disabilities, in accordance with the ADA Accessibility Guidelines or other accessibility standards properly adopted by the campus. Accessible on-campus housing and food service will be provided at the same cost and with the same program options to qualified students with disabilities as are afforded to non-disabled students. When any University classes, programs or activities are held in private facilities, thorough efforts shall be made to obtain facilities which are accessible.
- D. **Coordination of Programs and Services for Students with Disabilities**
 - 1. Campus disability support service (DSS) offices or other designated campus units are responsible for coordination of programs, services, and classroom accommodations for qualified applicants for admission and qualified enrolled students with disabilities. Such coordination relates solely to disability issues. Determinations as to whether a student is otherwise qualified often will be based on the academic requirements developed by the faculty. Specific services available to qualified students with disabilities will be provided by the University in conformity with the requirements of federal and state law.
 - 2. All applicants and students seeking disability-related services and/or accommodations must disclose the presence of a specific disability to DSS. Before receiving requested services and/or accommodations, the student will be required to provide the DSS office with current medical or other diagnostic documentation of a disability from a qualified physician or other qualified diagnostician, as well as current documentation of the need for accommodations. In cases where existing documentation is incomplete or

outdated, students may be required to provide additional documentation at the student's expense. All documentation related to an applicant or student's disability shall be kept confidential and retained by DSS. The DSS file shall be maintained separately from other student records maintained by the University.

3. It is the applicant/student's responsibility to self-identify, to provide current and adequate documentation of a disability, and to request accommodations, through the DSS office. The appropriate documentation must be provided in a timely manner to ensure full resolution of accommodations prior to the student's entrance into the program or course of study. However, a request can be made at any time. Documentation review and accommodations planning by DSS, including consultation with faculty and/or other campus entities that may be affected in providing accommodations, will be done on an individualized case-by-case basis.
4. Reasonable classroom accommodations will be provided to otherwise qualified and eligible students with disabilities who have self-identified and who have provided satisfactory documentation in support of their timely request for such accommodations, in compliance with federal and state mandates. These accommodations shall not affect the substance of the educational programs or compromise educational standards.
5. In addition to providing accommodations needed to ensure nondiscrimination in access to educational opportunities by otherwise qualified students with disabilities, the University is responsible for ensuring that no qualified disabled student is denied the benefits of or excluded from participation in a University program because of the absence of auxiliary aids, services, and/or other reasonable accommodations. Auxiliary aids, services, and/or other accommodations include but are not limited to interpreters (sign or oral), readers, scribes, adaptive equipment, and other appropriate services or equipment necessary for course or program accessibility.
6. Determinations as to whether and what reasonable services and accommodations shall be provided to qualified applicants for admission and qualified enrolled students with disabilities will be made initially by the coordinator of DSS or the coordinator's designee (hereafter "the Coordinator"). The Coordinator will consult with appropriate faculty members regarding whether the provision of services and/or accommodations would substantially alter essential elements of the educational program or course of study or otherwise compromise academic standards and discuss appropriate methods for implementation of the services and/or accommodations. Faculty members will not be consulted on the issue of whether the student has a disability and the Coordinator will not share documentation of the student's disability with faculty members. If the Coordinator and faculty member(s) are unable to reach agreement regarding the determination of whether and what reasonable services and accommodations shall be provided and/or the implementation of those services and/or accommodations, such disagreement shall be described in writing promptly and submitted to the Chancellor or Designee for resolution in a prompt manner.
7. Initial determinations and any disagreements submitted to the Chancellor or Designee (hereafter "the Chancellor") will take into consideration all relevant factors including, but not limited to, the following:
 - a. Current documentation of the specific disability and of the need for the requested services or accommodations;

- b. The essential elements of the academic program or course of study being pursued;
 - c. The fact that the law does not require a University to substantially alter essential elements of its academic program or course of study or to otherwise compromise its academic standards.
- 8. While funding for accommodations to ensure equally effective access is provided by the University, funding for auxiliary aids, accommodations, and/or services in some instances may be shared with state vocational rehabilitation agencies. The law does not require and the University does not provide prescription devices or other devices/services of a personal nature (e.g. personal attendants) for students with disabilities.
- E. **Establishment of Campus Policies** – Chancellors are directed to establish campus policies and/or procedures consistent with this order. These should cover, at a minimum, treatment of disability-related information and appropriate regard for confidentiality, responsibilities of students in applying for services through DSS, time lines to assure that students make accommodation requests in a timely manner, guidelines to assure that disability documentation is reasonably current, a description of the process of individualized assessment of each student’s disability documentation and accommodation request(s), the role of faculty in determining the essential elements of the academic program or course of study and the academic standards involved in the accommodations planning and review process within the context of academic program requirements. Any complaints of disability discrimination or failure to accommodate should be processed through the appropriate Title IX or Equity Resolution Process (See Sections 600.030, 600.040, and 600.050).
- F. **Retaliation** – Retaliation is any adverse action taken against a person because of that person’s participation in protected activity. The University strictly prohibits retaliation against any person for: seeking an accommodation pursuant to this policy, filing a Complaint of discrimination based on disability, or participating in an investigation or proceeding concerning allegations of discrimination based on disability. Any person who engages in such retaliation shall be subject to the 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 promptly notify the Equity Officer or Title IX Coordinator. The University will promptly investigate to all complaints of retaliation.

600.080 Policy Related to Employees with Disabilities

Bd. Min 2-9-17, with an effective date of 3-1-17.

- A. **Summary.** The Americans with Disabilities Act of 1990, as amended, and other federal and state laws protect employees and applicants for employment from discrimination on the basis of disability in the terms and conditions of employment. Disability discrimination includes not making reasonable accommodation to the known physical or mental limitations of an otherwise qualified individual with a disability who is an applicant or employee, barring undue hardship.
- B. **Scope.** This policy applies to all Academic and Administrative, Service and Support employees of the University.
- C. **Definitions:**
1. **Disability.** Disability means a physical or mental impairment that substantially limits one or more of the major life activities of an individual; a record of having such an impairment; or being regarded as having such an impairment.
 2. **Essential Functions.** Essential functions means the fundamental job duties of the employment position the person with a disability holds or desires.
 3. **Major Life Activities.** Major life activities include, but are not limited to caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, lifting, bending, speaking, breathing, learning, reading, concentrating, thinking, communicating, and working; as well as the operation of a major bodily function, including but not limited to, functions of the immune system, normal cell growth, and digestive, bowel, bladder, neurological, brain, respiratory, circulatory, endocrine, and reproductive functions.
 4. **Qualified Individual.** A "qualified individual" is a person who has the requisite skills, experience, education, and other job-related requirements of a position held or desired, and who, with or without reasonable accommodation, can perform the essential functions of the job.
 5. **Reasonable Accommodation.** A reasonable accommodation means a change in the job application process or work environment that enables a qualified individual with a disability to be considered for the position the individual desires, perform the essential functions of that position, or enjoy terms and conditions of employment that are enjoyed by similarly-situated individuals without disabilities.
 6. **Undue Hardship.** With respect to the provision of an accommodation, undue hardship means significant difficulty or expense in light of nature and cost of the accommodation and the resources and circumstances of the University, campus, and department.
- D. **Policy.** It is the policy of the University to provide equal employment opportunity to employees and applicants for employment without unlawful discrimination on the basis of disability.
- The University will seek to provide reasonable accommodation to the known physical or mental limitations of a qualified individual with a disability who is an employee or applicant for employment, unless the accommodation would impose an undue hardship on the University.

The University prohibits discrimination against or harassment of employees or applicants for employment on the basis of disability, including because the individual has requested a reasonable accommodation or made a complaint of disability discrimination.

1. **Requesting a Reasonable Accommodation.** An applicant or employee with a disability may request an accommodation from the campus human resources office. Current employees may also request an accommodation from their supervisor, campus human resources office or equity office. Upon receiving an accommodation request, an informal interactive process will be initiated to clarify the workplace barrier and identify possible accommodations. In some instances, medical documentation may be required regarding the disability. Medical information will be treated as confidential and disclosed only as permitted by law, but supervisors and managers may be informed regarding necessary restrictions and accommodations, and first aid and safety personnel may be informed, when appropriate, if the disability might require emergency treatment. Disability related information will not be placed in the employee's personnel file.
A request for reasonable accommodation may be denied if it would impose an undue hardship. The University will not approve accommodation requests when the applicant or employee's disability would impose a significant risk of substantial harm to the health or safety of the individual or others that cannot be eliminated or reduced by reasonable accommodation.
2. **Complaint Procedure.** Any complaints of disability discrimination or failure to accommodate should be processed through the appropriate [Title IX or Equity Resolution Process](#) (See Sections 600.030, 600.040, [and 600.050, ~~600.060~~](#)).
3. **Retaliation.** Retaliation is any adverse action taken against a person because of that person's participation in protected activity. The University strictly prohibits retaliation against any person for requesting a reasonable accommodation, making a complaint of disability discrimination, or participating in an investigation or proceeding concerning allegations of disability discrimination. 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 promptly notify the Equity Officer or Title IX Coordinator. The University will promptly investigate all complaints of retaliation.

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- B. **Scope.** This policy applies to all Academic and Administrative, Service and Support employees of the University.
- C. **Definitions:**
1. **Disability.** Disability means a physical or mental impairment that substantially limits one or more of the major life activities of an individual; a record of having such an impairment; or being regarded as having such an impairment.
 2. **Essential Functions.** Essential functions means the fundamental job duties of the employment position the person with a disability holds or desires.
 3. **Major Life Activities.** Major life activities include, but are not limited to caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, lifting, bending, speaking, breathing, learning, reading, concentrating, thinking, communicating, and working; as well as the operation of a major bodily function, including but not limited to, functions of the immune system, normal cell growth, and digestive, bowel, bladder, neurological, brain, respiratory, circulatory, endocrine, and reproductive functions.
 4. **Qualified Individual.** A "qualified individual" is a person who has the requisite skills, experience, education, and other job-related requirements of a position held or desired, and who, with or without reasonable accommodation, can perform the essential functions of the job.
 5. **Reasonable Accommodation.** A reasonable accommodation means a change in the job application process or work environment that enables a qualified individual with a disability to be considered for the position the individual desires, perform the essential functions of that position, or enjoy terms and conditions of employment that are enjoyed by similarly-situated individuals without disabilities.
 6. **Undue Hardship.** With respect to the provision of an accommodation, undue hardship means significant difficulty or expense in light of nature and cost of the accommodation and the resources and circumstances of the University, campus, and department.
- D. **Policy.** It is the policy of the University to provide equal employment opportunity to employees and applicants for employment without unlawful discrimination on the basis of disability.
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The University prohibits discrimination against or harassment of employees or applicants for employment on the basis of disability, including because the individual has requested a reasonable accommodation or made a complaint of disability discrimination.

- 1. Requesting a Reasonable Accommodation.** An applicant or employee with a disability may request an accommodation from the campus human resources office. Current employees may also request an accommodation from their supervisor, campus human resources office or equity office. Upon receiving an accommodation request, an informal interactive process will be initiated to clarify the workplace barrier and identify possible accommodations. In some instances, medical documentation may be required regarding the disability. Medical information will be treated as confidential and disclosed only as permitted by law, but supervisors and managers may be informed regarding necessary restrictions and accommodations, and first aid and safety personnel may be informed, when appropriate, if the disability might require emergency treatment. Disability related information will not be placed in the employee's personnel file.

A request for reasonable accommodation may be denied if it would impose an undue hardship. The University will not approve accommodation requests when the applicant or employee's disability would impose a significant risk of substantial harm to the health or safety of the individual or others that cannot be eliminated or reduced by reasonable accommodation.
- 2. Complaint Procedure.** Any complaints of disability discrimination or failure to accommodate should be processed through the appropriate Title IX or Equity Resolution Process (See Sections 600.030, 600.040, and 600.050).
- 3. Retaliation.** Retaliation is any adverse action taken against a person because of that person's participation in protected activity. The University strictly prohibits retaliation against any person for requesting a reasonable accommodation, making a complaint of disability discrimination, or participating in an investigation or proceeding concerning allegations of disability discrimination. 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 promptly notify the Equity Officer or Title IX Coordinator. The University will promptly investigate to all complaints of retaliation.

Revision
Collected Rules and Regulations 140.012
Investment Policy for General Pool
UM

Management is presenting for Board of Curators approval investment policy changes for the General Pool. The following proposed changes resulted from modeling and analysis reviewed with the President's Investment Advisory Committee at both the Spring 2019 and Fall 2019 meetings:

- Movement of Private Debt from Core Portfolio to Strategic Portfolio for purposes of presentation and risk management. A smaller position in Private Debt currently exists within the Core Portfolio. Recent asset allocation modeling has suggested a larger role for Private Debt in the portfolio going forward. As its sizing may become more significant within the General Pool, given the objectives for each sub-portfolio, it was decided that reassigning Private Debt from the Core Portfolio to the Strategic Portfolio would be more in line with the Strategic Portfolio's Liquidity Objective, Volatility Tolerance and Return Expectations.
- The General Pool's Strategic Portfolio would be allowed to invest directly in the University's Endowment Pool. The recent asset allocation modeling exercise has suggested that this exposure would be beneficial to both the Endowment Pool and General Pool while being consistent with the investment objectives of the General Pool's Strategic Portfolio. This is not without precedent as the General Pool previously invested directly in the Endowment Pool from 2008 through 2012. Any potential Endowment Pool investment would be phased in over an appropriate period of time.
- With respect to risk management, a fairly significant improvement has been implemented with respect to the calculation of the General Pool's reserve for market volatility (a risk management mechanism embedded within the General Pool). The basis for this reserve is now directly connected to the investment risk of the General Pool's asset allocation mix as modeled by the University's Investment Consultant. In essence, this has established the concept of a risk budget for General Pool asset allocation decisions. The change in policy language would reflect this enhancement.

The following proposed change is a technical policy update, allowing us to take advantage of additional Yield Enhancement Strategies:

- Within the Liquidity Portfolio guidelines, a modification is proposed to the existing Yield Enhancement Strategies section to include the use of precious metals, which are highly liquid, safe, and increasingly being utilized as currency substitutes.

September 24, 2020

The following proposed change offers more flexibility with regard to balance sheet management.

- Within Liquidity Portfolio guidelines, the General Pool would be allowed to make short-term loans at market interest rates to the University's Central Bank. The General Pool investment policy already allows investment in highly rated commercial paper; this modification would allow General Pool investment in commercial paper issued "internally" by the University when deemed beneficial to the University. This is intended only as a potential commercial paper substitute for the Central Bank; existing Board policies for debt approval would not be impacted. Use of this policy provision would require approval by the Vice President for Finance.

No. 7

Recommended Action - Revision, Collected Rules and Regulations 140.012,
Investment Policy for General Pool, UM

It was recommended by Vice President Rapp, endorsed by UM System President
and MU Chancellor Mun Y. Choi, recommended by the Finance Committee, moved by
Curator _____ and seconded by Curator _____, that the:

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

Roll call vote of the Committee: YES NO

Curator Chatman
Curator Hoberock
Curator Steelman
Curator Williams

The motion _____.

Roll call vote of Board of Curators: YES NO

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

The motion _____.

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140.012 Investment Policy for General Pool

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

- 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 cyclicity, 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
Management	Internal/External	External	External
Minimum Allocation	20%	20%	0%
Maximum Allocation	100%	60%	43 5%
Liquidity Objective	High	Moderate	Moderate/Low
Volatility Tolerance	Low	Moderate	Moderate /High
Return Expectation	Low	Moderate	Moderate /High

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.

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- 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~~Securities that may be part of such transactions include: U.S. Treasury securities, sovereign bonds issued by G10 countries, 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.
 - ~~g-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 ~~and private~~ 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 include, but are not limited to, sovereign, corporate, inflation-linked, high yield, emerging market, commercial mortgage-backed securities, and residential mortgage-backed securities.

Exposure will be obtained 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.

Exposures may include long/short positions.

September 24, 2020

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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.

~~b. Private Debt~~

~~Specific types of strategies include, 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 with average tenure of 5-12 years.~~

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. 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.

b. 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.

c. 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 Vice President for Finance ~~and Administration~~ and the Chief Investment Officer, ~~and the Vice President for Research and Economic Development~~ in consultation with the President.

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

d. Endowment Pool

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

E. Risk Management

1. The Chief Investment Officer shall establish and implement procedures to:

- a. Regularly monitor ~~and forecast~~ the University's cash flow ~~forecasts~~.
- b. 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. 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, maintain 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.
- f. Based on the level of projected risk within the General Pool, as modeled by 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.

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

1. 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, 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 include, but are not limited to, sovereign, corporate, inflation-linked, high yield, emerging market, commercial mortgage-backed securities, and residential mortgage-backed securities.

Exposure will be obtained 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.

Exposures may include 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.

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. 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.

b. 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.

c. 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 Vice President for Finance 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.*"

d. Endowment Pool

September 24, 2020

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

E. Risk Management

1. The Chief Investment Officer shall establish and implement procedures to:
 - a. Regularly monitor the University's cash flow forecasts.
 - b. 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. 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, maintain 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.
 - f. Based on the level of projected risk within the General Pool, as modeled by 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.*"

Energy Loan Program of the Missouri Department of Natural Resources/
Division of Energy
UMKC

The University of Missouri-Kansas City (UMKC) requests approval of a resolution authorizing participation in the State of Missouri's Energy Loan Program for several energy conservation projects it will be implementing. The campus has been awarded a loan of \$1,888,450 through the State of Missouri Department of Natural Resources/Division of Energy (DNR/DE) Energy Loan Program for these projects. The funding total includes \$1,632,369 for estimated maximum construction costs at a 2.75% interest rate and a 1% loan origination fee.

The projects include several lighting retrofit projects from fluorescent lamps to LED lamps, installation of a new hot water condensing boiler to serve the School of Law and Bloch Heritage Hall building and extension of the campus chilled water loop project to connect the Student Union chiller to the loop allowing greater efficiencies and energy use for the Volker campus. The projected payback period is less than ten years.

No. 8

Recommended Action - Approval of a resolution authorizing participation in the State of Missouri's Energy Loan Program and authorization of the Vice President for Finance to execute associated loan agreement and promissory note.

Loan Amount: \$1,632,369
Interest Rate: 2.75%

It was recommended by Chancellor Agrawal, endorsed by UM System President and MU Chancellor Mun Y. Choi, recommended by the Finance Committee, moved by Curator _____ and seconded by Curator _____, that the following resolution be approved:

WHEREAS, THE CURATORS OF THE UNIVERSITY OF MISSOURI ON BEHALF OF THE UNIVERSITY OF MISSOURI - KANSAS CITY, is an authorized public entity and therefore borrower under the Energy Loan Program (the "Public Entity"), through technical analysis and reports, has identified certain energy conservation measures which would benefit the Public Entity by reducing future energy costs to the Public Entity and has applied to the Missouri Department of Natural Resources for a loan to implement such energy conservation measures (the "Project"); and

WHEREAS, at the Public Entity's request, the Department has agreed to lend to the Public Entity certain funds through its Energy Loan Program (the "Program") pursuant to Sections 640.651 to 640.686 of the Missouri Revised Statutes ("RSMo"), as amended, up to the maximum amount authorized under Sections 640.651 to 640.686 RSMo based on estimates of savings to be generated from the Project, provided that the Public Entity complies with the various terms and conditions set forth in Sections 640.651 to 640.686 RSMo and in 10 Code of State Regulations 140-2.010 *et seq.*, as amended (the "Regulations"); and

WHEREAS, in connection with its participation in the Program, the Public Entity will be required to execute certain documents in connection with the Loan;

NOW, THEREFORE, BE IT RESOLVED by the Governing Body of the Public Entity as follows:

September 24, 2020

Section 1. The Governing Body of the Public Entity hereby finds and determines that it is in the best interests of the Public Entity to enter into the Loan Agreement and execute the Promissory Note in order to obtain funds for the purpose of installing energy conservation measures within the Public Entity. The Governing Body has received approval as required by Section 640.653.2 RSMo, as amended. The total loan amount is hereby authorized in the amount of **\$1,888,450.00**, which amount shall include (i) estimated maximum construction costs of **\$1,632,369.00**, plus interest to accrue during the period from any draws on the loan by the Public Entity until completion of construction of the Project, (ii) interest on the Loan during the term of the Loan, at a rate of **two and three-quarters percent (2.75%)**, and (iii) a loan origination fee of **one percent (1.00%)** of the principal amount of the Loan. Under the Promissory Note to the Loan Agreement, the Public Entity agrees to make semi-annual payments equal to one half of the annual energy savings until the promissory note is retired.

Section 2. That the Public Entity hereby approves the form of the Loan Agreement, which is attached to this Resolution, the blank form of Promissory Note, attached hereto that would reflect the total amount of Project Cost disbursements, **one point origination fee** and accrued interest as more fully described therein, and the form of Public Entity's Closing Certificate, attached hereto.

Section 3. That the chief executive officer and/or chief financial officer of the Public Entity ("Public Entity's Representative"), and each such person hereby is, authorized and empowered and directed to execute, enter into, deliver for and in the name of and on behalf of the Public Entity, under its corporate seal, the following documents (all of such documents, and such other documents, certificates and instruments as may be necessary to carry out the intent of this Resolution, together with any other documents and instruments contemplated thereby, or otherwise necessary or appropriate to effectuate the transaction contemplated thereby, being the "Program Documents"), the forms of which have been presented in draft to the Governing Body:

- Exhibit A: Loan Agreement;
- Exhibit B: Promissory Note; and
- Exhibit C: Public Entity's Closing Certificate.

Section 4. That the Governing Body of the Public Entity hereby approves the Project and authorizes the Public Entity's Representative and such officers and employees as the Public Entity's Representative may designate to proceed with arranging the financing for the Project, in furtherance of and subject to the requirements of this Resolution. The Public Entity's Representative is hereby further authorized and empowered to execute the Program Documents with such additional modifications, corrections, amendments, and deletions as shall, in the judgment of such Public Entity's Representative, be necessary or appropriate, in the sole and absolute discretion of such officers, to effectuate the transactions contemplated by this Resolution, the execution of any such documents by any such Public Entity's Representative constituting the conclusive evidence of his or her approval and the approval of the Public Entity to any such changes.

September 24, 2020

Roll call vote Finance Committee YES NO
Curator Chatman
Curator Hoberock
Curator Steelman
Curator Williams

The motion _____.

Roll call vote Full Board: YES NO
Curator Brncic
Curator Chatman
Curator Graham
Curator Hoberock
Curator Layman
Curator Snowden
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

LOAN AGREEMENT
Public Entity

This Loan Agreement (“Loan Agreement”) is entered into between the Missouri Department of Natural Resources and an authorized Public Entity, **THE CURATORS OF THE UNIVERSITY OF MISSOURI ON BEHALF OF THE UNIVERSITY OF MISSOURI - KANSAS CITY**, a university, (“Borrower”) located in Jackson County, Missouri.

WHEREAS, the Borrower submitted an application for financing from the Department’s Energy Loan Program (the “Program”), and the Department has approved Borrower’s financing application pursuant to Sections 640.651 to 640.686 of the Missouri Revised Statutes (“RSMo”), as amended, up to the maximum amount specified in Paragraph 1 of this Loan Agreement, provided that Borrower complies with the various terms and conditions set forth in this Loan Agreement and related documents.

THEREFORE, in consideration of the mutual promises set forth in the numbered paragraphs below, the Department and Borrower mutually agree as follows:

1. Capitalized terms used in this Loan Agreement and not defined herein shall have the meanings contained in 10 CSR 140-2.010, or its subsequent update. The receipt by the Borrower or its designee of amounts under this Loan Agreement creates an obligation of the Borrower, constituting a contractual obligation to repay the amounts described in this paragraph. The Borrower shall execute a promissory note (“Promissory Note”), which evidences a loan from the Department: the Project Costs Loan (the “Project Costs Loan” or the “Loan”). The Project Costs Loan shall be in a maximum total loan amount of **\$1,888,450.00**, which maximum shall include (a) reimbursement of approved construction costs, (b) accrued interest on construction draws, and (c) a **one percent (1.00%)** loan origination fee thereon. The Borrower promises to repay the Project Costs Loan made to the Borrower, plus loan the origination fee and accrued interest from the date of Project Completion (defined below) at a simple annual rate of **two and three-quarters percent (2.75%)**.

2. The proceeds of the Project Costs Loan shall be used to complete “the Project”, that is the design, procurement, construction, installation, and implementation of Department-approved Energy Conservation Measures (“ECM”) from the “Approved Measures List” and as described in the Borrower’s loan application, Technical Assistance Report (“TAR”), and associated documents previously reviewed and approved by the Department. The Borrower’s approved loan application, TAR Worksheets, and the associated Department-reviewed and approved documents are made part of this Loan Agreement by reference.

3. Borrower shall obtain any and all permits and licenses required to install and operate the Project and shall comply with all local, state, and federal laws, rules, and codes concerning the Project.

4. The completion date of the Project shall be no later than **December 31, 2021**, unless an extension is approved in writing by the Department. The Department shall have sole discretion whether to authorize an extension. The Borrower shall notify the Department when project construction has been

completed and it is making its final disbursement request. The Borrower shall provide the Department with all appropriate documentation including paid invoices, receipts, canceled checks, and payrolls. The Borrower shall provide the Department with the following certification: *I certify that to the best of my knowledge and belief the data above is correct and that all outlays were made in accordance with the agreement and that payment is due and has not been previously requested.* The date of completion of the Project shall be deemed to be the date upon which the Department sends the Borrower its final disbursement on the Project Costs Loan (“Project Completion”).

5. The Borrower agrees that any contract, agreement, or equipment to be procured under this loan award that was not included in the approved work plan must receive the Department’s approval prior to expenditure of funds associated with that contract, agreement, or equipment purchase.

6. The Borrower shall use its own procurement procedures provided the procedure(s) conform with the following requirements as they pertain to procurements funded in whole or in part with the Borrower’s contribution:

(a) Reasonable cost. The Borrower’s procurement procedures must use best commercial practices to ensure reasonable cost for procured goods and services. At a minimum, three (3) sealed bids for any goods or services exceeding \$100,000 must be secured.

(b) Guaranteed energy cost savings contracts. The governmental unit Borrower utilizing guaranteed energy cost savings contracts shall comply with Section 8.231 RSMo.

7. The Borrower shall obtain a written waiver of all claims other than those previously made in writing and still unsettled, from each contractor who supplies goods and services, including management services, in connection with the Project. The Borrower is the responsible authority, without recourse to the Department, regarding the settlement and satisfaction of all contractual and administrative issues arising out of procurements entered into in support of the Loan awarded. This includes disputes, claims, protests of award, source evaluation, or other matters of a contractual nature.

8. The Borrower agrees that any equipment purchased with proceeds from the Loan for the purpose of completing the Project shall be used for the intended purpose and shall not be moved from the State of Missouri without approval from the Department during the term of the Loan Agreement. Equipment means an article of nonexpendable, personal property, installed into or onto the building, facility, or system, and which is integral to the completion of the Project (i.e., photovoltaic panels, heating ventilation and air conditioning components, etc.). Equipment does not include any tools, machinery, instruments, or other personal property temporarily used for the installation and implementation of the project (i.e., extension ladders, voltmeters, hardhats, etc.). If there is uncertainty as to the “equipment” status of a proposed item for procurement, its status must be first evaluated and approved or denied by the Department. All Department decisions are final. The following standards shall govern the utilization and disposition of equipment acquired with Loan funds:

(a) All equipment acquired under this Loan Agreement shall become the property of the Borrower at time of purchase. Title to equipment acquired under this Loan Agreement will vest with the Borrower upon acquisition unless the Department requires the title as collateral. When acquiring replacement equipment, the Borrower may use the equipment to be replaced as

a trade-in or sell the property and use the proceeds to offset the cost of the replacement property subject to the approval of the Department.

(b) The Borrower must maintain property records which include a description of the equipment, a serial number or other identification number, the source of the property, the acquisition date, cost of the property, percentage of federal or state participation in the cost of the property, and the location, use and condition of the property.

(c) The Borrower shall maintain the Project in good working order for the length of the Loan and shall ensure that Borrower's employees and staff members are provided appropriate training on the operation and maintenance of the Project.

(d) Any loss, damage, or theft of equipment shall be reported to local authorities.

(e) The Borrower shall provide insurance on the Project and equipment in such amounts and covering such risks as are usually carried by entities engaged in the same or similar business and similarly situated. The Borrower shall carry insurance for the duration of the Loan term. All insurance policies shall name the Department as obligee and shall contain a provision against cancellation with less than thirty days written notice to the Department. In the event of any casualty or loss covered by such insurance policy, the Borrower may apply the proceeds to rebuild, restore, repair, or replace the Project, or, with the prior approval of the Department, use the insurance proceeds to install alternate ECMs to generate alternative energy cost savings to repay any remaining balance due under this Loan. If the Borrower determines that such rebuilding, restoration, repair, or replacement is not financially feasible; the Borrower shall apply the insurance proceeds to such outstanding Loan balance.

(f) If, prior to final repayment of the Loan, the Borrower sells the equipment installed with the proceeds of the Project Costs Loan or sells the building, facility, or system in which the Project has been implemented; then the Borrower shall apply the sale proceeds to repay any remaining balance due under this Loan Agreement in full at the time of such sale.

(g) When original or replacement equipment acquired under this Loan Agreement is no longer needed but still secures the Loan, the Borrower must notify the Department immediately in writing. Borrower may not dispose of the equipment without prior notification to the Department.

9. The Borrower authorizes any official or agent of the Department to conduct physical inspections of the Project before the commencement, during construction, installation, and implementation of the Project, and at any time prior to the complete repayment of the Loan. In each contract entered into with suppliers of goods and services to install, conduct, and operate the Project, including management services, the Borrower shall state and the contractor shall agree to allow any officer or agent of the Department access to the Project site and to any books, documents, or records directly relevant to the Project.

10. Eligible costs relating to an approved Project incurred on or after the date the Department begins accepting applications, are eligible for reimbursement.

11. The Borrower may request a disbursement or reimbursement by submitting to the Department an original, complete, and duly executed Reimbursement Request Form, with required supporting data (“Requisition”), such form to be provided by the Department, specifying the amount of the disbursement to be made, together with copies of invoices, purchase orders and/or canceled checks in support of the amount requested. Requisitions shall not be submitted more frequently than monthly and for no lesser amount than twenty-five percent (25%) of the maximum Project Costs Loan amount, except when requesting the final disbursement or if a larger number of disbursements is authorized in advance by the Department. The Borrower shall provide such additional supporting information as the Department may reasonably require. The Department will undertake a review of each Requisition within ten Business Days after its receipt and will approve the Requisition and authorize payment if (i) amounts requested constitute eligible costs, and (ii) all other conditions to a requested disbursement set forth in this Loan Agreement have been satisfied.

12. Borrower shall submit an annual report within thirty (30) days of receipt of the reporting form provided by the Department. The annual report shall outline the energy use of the building, facility or system on which the Project was completed, detail any changes in energy consumption and provide a detailed breakdown of energy expenditures for the preceding twelve (12) months. Reports will be submitted annually until the Loan is fully repaid. The Borrower agrees to provide the Department with information necessary for administration of the Program including the annual computation required by Section 640.657 of actual energy cost savings and any continuing disclosure of operating or financial data as may be requested.

13. The Borrower agrees to provide an original Final Project Cost Report on a form provided by the Department no later than thirty (30) days following construction completion. Upon the Department’s receipt of the report documenting final costs, the Department will prepare and forward a promissory note to the Borrower, which will include an Amortization Schedule with respect to the amount due hereunder and under the Promissory Note. The Borrower shall execute and return the original Promissory Note to the Department within forty-five (45) days following its receipt. The Promissory Note shall evidence the Borrower’s obligation to repay the amount specified in Paragraph 1 of this Loan Agreement.

14. The Borrower shall establish and maintain on its books an Energy Conservation Loan Account, and keep such financial and accounting records as required by Section 640.663 RSMo. The Borrower agrees to enter into this account information sufficient to indicate the receipt and expenditure of all funds authorized and allowed under the terms of the Loan or other financial assistance. The Borrower agrees to annually budget an amount sufficient to meet the repayment obligation imposed by this Loan Agreement until such time as the Loan has been fully repaid, provided; however, that such budgeted amount shall be solely from energy savings or avoided costs resulting from the Project.

15. The Borrower shall retain financial records, supporting documents, and other records pertinent to the Loan and Project for a period of three years starting from the sooner of the date of the Borrower’s final loan payment to the Department or Loan maturity. The Borrower agrees to maintain these records in such a manner as to provide for the proper auditing of the Project. The Department has the right to conduct audits, including site visits, of Borrower at any time, and the Borrower agrees to allow monitoring and auditing by the Department and/or authorized representative. If any litigation,

claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the Borrower shall retain records until completion of the action and resolution of all issues arising from said action, or until the end of the regular 3-year period, whichever is later.

16. The Borrower shall not raise the funds needed to meet its semi-annual repayment obligation under this Loan Agreement by the levy of additional taxes and shall not provide for such repayment by a charge against any established fund or account designated for a specific purpose. The semi-annual repayments should be derived solely from energy savings or avoided costs resulting from implementation of the Project as identified in the Energy Act. In the event annual energy savings or avoided cost resulting from the Project fail to equal or exceed the amount due under this Loan Agreement, this Loan Agreement may be renegotiated to assure that the repayment amount does not exceed the actual energy savings or avoided costs resulting from the Project, and the Promissory Note will be revised accordingly.

17. In the event the Borrower fails to remit a scheduled payment to the Department within thirty (30) days of the due date of such payment, the Department may choose to initiate available remedies pursuant to Section 640.660 or 640.672 RSMo and other applicable law, and, should the Department initiate such remedies, the Borrower agrees to comply with the Department and statutes to obtain payment thereby.

18. To the extent allowed by law and without waiving sovereign immunity, the Borrower agrees to indemnify and hold harmless the State of Missouri, the Department, their respective officers, agents, and employees from and against any and all claims for death, damage, loss, or personal injury arising from or connected with the Project.

19. No officer or employee of the Borrower shall participate in any decisions relating to this Loan Agreement which affects his/her personal interest in any corporation, partnership, or association in which he/she is directly or indirectly interested, or have any interest, direct or indirect, in this Loan Agreement or the proceeds thereof.

20. No officer or employee of the Department shall perform any service for any consideration for the Borrower after termination of employment with the Department for a period of one (1) year in relation to this Loan Agreement or the Project with respect to which the officer or employee directly or personally participated during the period of his/her service or employment.

21. During the term of this Loan Agreement, the Borrower and its contractors and subcontractors must follow all federal, state, and local laws prohibiting discriminatory practices based upon race, color, religion, national origin, sex, handicap, or age, with respect to recipients of services, employees, or applicants for employment.

22. Any amendments to the Loan Agreement shall be in writing and duly executed by both parties.

23. The provisions of this Loan Agreement are joint and severable, and if a provision is held to be of no force or effect by a court of competent jurisdiction, the remaining provisions of this Loan Agreement shall continue to be binding upon the parties.

24. The Borrower's failure to comply with any of the terms of this Loan Agreement, or any applicable federal, state, or local laws, shall constitute a breach of this Loan Agreement. In the event of breach prior to Project Completion, the Department will not process additional disbursements until such breach is remedied. The Department will notify the Borrower of any breach of this Loan Agreement in writing. In the event the Borrower fails to answer or remedy the breach to the satisfaction of the Department within sixty (60) days, the Borrower shall immediately repay to the Department the balance of all funds advanced plus accrued interest thereon. In the event that the Borrower fails to make a payment under the Promissory Note when due, the Department will have the right to take whatever action at law or in equity they deem necessary or appropriate to secure such repayment.

25. Sections 640.651 to 640.686 RSMo, together with any applicable rules, regulations or procedures authorized by such statute, is incorporated by reference in this Loan Agreement.

26. This Loan Agreement and the rights and obligations of the parties shall be governed by and construed in accordance with the laws of the State of Missouri, without reference to conflicts of laws provisions.

27. The Borrower represents that this Loan Agreement will not be rescinded or modified at any time now or in the future by any action of the Borrower's officials or governing board or body except as provided in this Loan Agreement; nor does this Loan Agreement violate any debt limit imposed by any ordinances, charter, by-laws, law or otherwise, that is applicable to the Borrower.

28. The Borrower certifies that it has full power and authority to enter into this Loan Agreement, and this Loan Agreement has been duly authorized, executed, and delivered by the Borrower. The Borrower acknowledges that the resolution of its governing body authorizing it to enter into this Loan Agreement also authorizes such further acts as are necessary, including execution of the Promissory Note, to implement and further the intent of this Loan Agreement.

29. The Borrower agrees that funds expended for the purposes of this Loan Agreement must be appropriated and made available by the Missouri General Assembly, as well as being awarded by the Department. Therefore, this Loan Agreement shall automatically terminate without penalty or termination costs if such funds are not appropriated and/or granted. In the event that funds are not appropriated and/or granted for the Loan Agreement, the Borrower shall not prohibit or otherwise limit the Department's right to pursue alternate solutions and remedies as deemed necessary for the conduct of state government affairs. The requirements stated in this paragraph shall apply to any amendment or the execution of any option to extend the Loan Agreement.

30. By applying for this Loan, the Borrower verifies that it, its board of directors, and all of its principals, are currently in compliance with all state and federal environmental laws and court orders issued pursuant to those laws, and that any environmental violations have been resolved at the time of application. If compliance issues exist, the Borrower shall disclose to the Department all pending or unresolved violations noted in a Notice of Violation (NOV), administrative order, or civil and criminal lawsuit, but only where those alleged violations occurred in the past three years in the State of Missouri. The Department will not make any loan at any time to any party which is debarred or suspended under federal or state authority, is not current on all taxes due and owing to the State of Missouri, or is otherwise

excluded from or ineligible for participation in federal assistance under Executive Order 12549, "Debarment and Suspension." The Borrower shall complete a Debarment/Suspension form when required by the Department.

31. This Loan Agreement may be terminated under the following circumstances:

(a) Termination for Cause. The Department may terminate any loan, in whole or in part, at any time before the maturity date whenever it is determined that the Borrower has failed to comply with the terms and conditions of this Loan Agreement and related documents. The Department shall promptly notify the Borrower in writing of such a determination and the reasons for the termination, together with the effective date. The Loan shall become due and payable in full as of that date.

(b) Termination for Convenience. Both the Department and Borrower may terminate the Loan Agreement, in whole or in part, when both parties agree that the continuation of the Project would not produce beneficial results commensurate with the further expenditure of funds. Any Loan funds disbursed to the Borrower shall become due and payable in full as of that date.

(c) This Loan Agreement is not transferable to any person or entity without the prior written approval of the Department.

32. Enforcement; Remedies for Noncompliance. If a Borrower falsifies any Loan award document or materially fails to comply with any term of the Loan Agreement or related documents, the Department may take one or more of the following actions, as appropriate:

(a) Suspend or terminate, in whole or part, the current Loan;

(b) Disallow all or part of the cost of the activity or action not in compliance;

(c) Temporarily withhold payments pending the Borrower's correction of the deficiency;

(d) Withhold further Loan proceeds from the Borrower;

(e) Order the Borrower not to transfer ownership of assets purchased with Loan proceeds without prior written Department approval;

(f) Take other remedies that may be legally available, including cost recovery, breach of contract, and suspension or debarment; or

(g) Call the Loan immediately due and payable with the collection efforts leading up to and including foreclosure or repossession of secured properties and goods.

33. Borrower's Signature. The Borrower's signature on the application and the Loan Agreement documents signifies the Borrower's agreement to all of the terms and conditions of the Loan Agreement.

34. Pursuant to Section 285.530(1) RSMo, no business entity or employer shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform work within the State of Missouri. Any business entity receiving a Loan from the state shall file an affidavit affirming that it does not employ unauthorized aliens and is enrolled in a federal work authorization program.

IN WITNESS WHEREOF, the parties have caused this Loan Agreement to be executed.

Type/print name of Borrower

MISSOURI DEPARTMENT OF NATURAL
RESOURCES

Signature Date

Signature Date

Type/print name of Authorized Official

Carol S. Comer

Authorized Official

Title: _____

Title: Director



DEPARTMENT OF NATURAL RESOURCES
ENERGY LOAN PROGRAM & ENERGIZE MISSOURI LOAN PROGRAM
APPROVED MEASURE(S) LIST

LOAN NUMBER NPELPAQ2	LOAN RECIPIENT University of Missouri - Kansas City	BUILDING, FACILITY, OR SYSTEM Student Center, School of Education, School of Law
APPROVED MEASURES FROM LOAN APPLICATION RECEIVED April 14, 2020		AMENDED

ECM NO.	ECM CODE	ECM DESCRIPTION	TOTAL EST. COSTS	MAX. CONST. COSTS	ESTIMATED SAVINGS \$/YR	EST. MMBtu SAVINGS/YR
1	ECX	Lighting Retrofit	52,159	52,159	63,269	2,248 - E
2	MWX	Hot Water Condensing Boiler	1,061,637	212,652	24,604	6,033 - G
3	MWX	Chilled water tie in	639,850	639,850	100,993	2,727 - E
		Reserve Amount		727,708		
TOTAL			\$ 1,753,646	\$ 1,632,369	\$ 188,866	4,975 - E 6,033 - G

REMARKS (OFFICE USE ONLY)

10 year loan at 2.75% interest rate and 1% loan origination fee.

Approved 10.1.19

RESOLUTION OF THE GOVERNING BODY OF UNIVERSITY OF MISSOURI - KANSAS CITY AUTHORIZING THE PARTICIPATION IN THE ENERGY LOAN PROGRAM OF THE MISSOURI DEPARTMENT OF NATURAL RESOURCES AND THE EXECUTION OF A LOAN AGREEMENT AND PROMISSORY NOTE TO PROVIDE FUNDS TO FINANCE THE INSTALLATION OR CONSTRUCTION OF ENERGY CONSERVATION MEASURES.

WHEREAS, THE CURATORS OF THE UNIVERSITY OF MISSOURI ON BEHALF OF THE UNIVERSITY OF MISSOURI - KANSAS CITY, is an authorized public entity and therefore borrower under the Energy Loan Program (the “Public Entity”), through technical analysis and reports, has identified certain energy conservation measures which would benefit the Public Entity by reducing future energy costs to the Public Entity and has applied to the Missouri Department of Natural Resources for a loan to implement such energy conservation measures (the “Project”); and

WHEREAS, at the Public Entity’s request, the Department has agreed to lend to the Public Entity certain funds through its Energy Loan Program (the “Program”) pursuant to Sections 640.651 to 640.686 of the Missouri Revised Statutes (“RSMo”), as amended, up to the maximum amount authorized under Sections 640.651 to 640.686 RSMo based on estimates of savings to be generated from the Project, provided that the Public Entity complies with the various terms and conditions set forth in Sections 640.651 to 640.686 RSMo and in 10 Code of State Regulations 140-2.010 *et seq.*, as amended (the “Regulations”); and

WHEREAS, in connection with its participation in the Program, the Public Entity will be required to execute certain documents in connection with the Loan;

NOW, THEREFORE, BE IT RESOLVED by the Governing Body of the Public Entity as follows:

Section 1. The Governing Body of the Public Entity hereby finds and determines that it is in the best interests of the Public Entity to enter into the Loan Agreement and execute the Promissory Note in order to obtain funds for the purpose of installing energy conservation measures within the Public Entity. The Governing Body has received approval as required by Section 640.653.2 RSMo, as amended. The total loan amount is hereby authorized in the amount of **\$1,888,450.00**, which amount shall include (i) estimated maximum construction costs of **\$1,632,369.00**, plus interest to accrue during the period from any draws on the loan by the Public Entity until completion of construction of the Project, (ii) interest on the Loan during the term of the Loan, at a rate of **two and three-quarters percent (2.75%)**, and (iii) a loan origination fee of **one percent (1.00%)** of the principal amount of the Loan. Under the Promissory Note to the Loan Agreement, the Public Entity agrees to make semi-annual payments equal to one half of the annual energy savings until the promissory note is retired.

LOAN NO. NPELPAQ2

Section 2. That the Public Entity hereby approves the form of the Loan Agreement, which is attached to this Resolution, the blank form of Promissory Note, attached hereto that would reflect the total amount of Project Cost disbursements, **one point origination fee** and accrued interest as more fully described therein, and the form of Public Entity’s Closing Certificate, attached hereto.

Section 3. That the chief executive officer and/or chief financial officer of the Public Entity (“Public Entity’s Representative”), and each such person hereby is, authorized and empowered and directed to execute, enter into, deliver for and in the name of and on behalf of the Public Entity, under its corporate seal, the following documents (all of such documents, and such other documents, certificates and instruments as may be necessary to carry out the intent of this Resolution, together with any other documents and instruments contemplated thereby, or otherwise necessary or appropriate to effectuate the transaction contemplated thereby, being the “Program Documents”), the forms of which have been presented in draft to the Governing Body:

- A. Loan Agreement;
- B. Promissory Note; and
- C. Public Entity’s Closing Certificate.

Section 4. That the Governing Body of the Public Entity hereby approves the Project and authorizes the Public Entity’s Representative and such officers and employees as the Public Entity’s Representative may designate to proceed with arranging the financing for the Project, in furtherance of and subject to the requirements of this Resolution. The Public Entity’s Representative is hereby further authorized and empowered to execute the Program Documents with such additional modifications, corrections, amendments, and deletions as shall, in the judgment of such Public Entity’s Representative, be necessary or appropriate, in the sole and absolute discretion of such officers, to effectuate the transactions contemplated by this Resolution, the execution of any such documents by any such Public Entity’s Representative constituting the conclusive evidence of his or her approval and the approval of the Public Entity to any such changes.

APPROVED THIS ____ DAY OF _____, 20 ____.

Signature

Official Title

PUBLIC ENTITY'S CLOSING CERTIFICATE

We, the undersigned, duly authorized officers of **THE CURATORS OF THE UNIVERSITY OF MISSOURI ON BEHALF OF THE UNIVERSITY OF MISSOURI - KANSAS CITY**, (the "Public Entity"), hereby certify in connection with its application for participation in the Energy Loan Program (the "Program") and its execution of a Loan Agreement (the "Loan Agreement") with the Missouri Department of Natural Resources, as follows:

1. Organization and Authority. The Public Entity is legally constituted and duly organized and existing under the laws of the State of Missouri. The Public Entity has adopted a resolution (the "Resolution"), which is attached hereto, approving its participation in the Program and the execution of Program Documents, as defined in the Resolution. The Public Entity has complied with all provisions of the Constitution and the laws of the State of Missouri, and has full power and authority to consummate all transactions contemplated by the Resolution and any and all other agreements relating thereto. The Public Entity has full legal right and authority and all necessary licenses and permits required as of the date hereof to undertake and complete the Project, as defined in the Resolution, and to own, operate, and maintain the Project, to carry on its activities relating thereto, to finance the Project as herein provided, to undertake the repayment of the Loan (as defined in the Loan Agreement) as set forth herein, to execute and deliver the Program Documents including a Promissory Note as described in the Loan Agreement, and to carry out its agreements thereunder.

2. Meetings. The meeting of the Public Entity at which the Resolution was passed was a regular meeting, or a meeting held pursuant to regular adjournment at the next preceding meeting, or a special meeting called and held. All such meetings were open to the public and a quorum was present and acting throughout, and proper notice was given in the manner required by law, including Chapter 610, Revised Statutes of Missouri.

3. Non-Litigation. There is no litigation, suit or other proceedings pending or, to the knowledge of the Public Entity, threatened against or affecting the Public Entity, in any court or before any governmental authority or arbitration board or tribunal (i) contesting, disputing, or affecting in any way the legal organization of the Public Entity or its boundaries, the right or title to any of its officers to their respective offices, the legality of any of its official acts in connection with authorizing the Project or the execution of the Program Documents, or (ii) that, if adversely determined, would materially adversely affect the properties, activities, prospects, or condition (financial or otherwise) of the Public Entity, or the ability of the Public Entity to make all payments under the Loan and otherwise observe and perform its duties, covenants, obligations, and agreements under the Loan Agreement, that have not been disclosed in writing to the Department in the Public Entity's application for participation in the Program or otherwise.

4. **Execution of Documents.** The Loan Agreement has been duly authorized, executed and delivered on behalf of the Public Entity, pursuant to and in full compliance with the Resolution, and constitutes the legal, valid and binding obligation of the Public Entity enforceable in accordance with its terms, subject to bankruptcy, insolvency, reorganization, moratorium, and other similar laws affecting creditors' rights and the exercise of judicial discretion in accordance with general principles of equity. Capitalized terms contained in this Public Entity's Closing Certificate and not defined herein shall have the meanings assigned to them in the Loan Agreement or the Resolution.

5. **Full Disclosure.** To the best knowledge of the Public Entity, after due investigation, there is no fact that the Public Entity has not disclosed to the Department in writing for participation in the Program, or otherwise, that materially adversely affects or that will materially adversely affect the properties or activities of the Public Entity, (including completion of the Project) or the ability of the Public Entity to make all payments (but solely in the manner and subject to the limitations set forth in the Promissory Note) and otherwise observe and perform its duties, covenants, obligations, and agreements under the Loan Agreement and the Promissory Note. All facts and representations contained in the Public Entity's application for the Loan remain true and correct in all material respects on the date hereof.

6. **Compliance with Existing Laws and Agreements.** The agreements of the Public Entity in the Loan Agreement will not constitute a default under any indenture, mortgage, deed of trust, lease or agreement, or other instrument executed by the Public Entity or by which it or any of its property is bound or any applicable law, rule, regulation, or judicial proceeding.

7. **No Defaults.** No event has occurred and no condition exists that constitutes or, with the giving of notice or the lapse of time, would constitute an event of default under the Loan Agreement. To the best knowledge of the Public Entity, after due investigation, the Public Entity is not in violation of any agreement which would materially adversely affect the ability of the Public Entity to make all Loan Repayments or otherwise to observe and perform its agreements under the Loan Agreement.

8. **Governmental Consent.** To the best of its knowledge, the Public Entity has made all filings in its behalf which the Public Entity is obligated to make with, and has obtained all permits, licenses, franchises, consents, authorizations, and approvals required to date from, all federal, state, and local regulatory agencies having jurisdiction to the extent, if any, required by applicable laws and regulations to be made or to be obtained in undertaking the Project. To the best of its knowledge, the Public Entity has complied with all applicable provisions of law requiring any notification to any governmental body or officer in connection with the Loan Agreement or with the undertaking, completion or financing of the Project.

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9. Appropriation of Payments for Original Term. The Public Entity will, in accordance with the requirements of law, fully budget and appropriate sufficient funds for the semi-annual Loan Repayment, beginning in such fiscal year when the first payment of the Loan Repayment is scheduled to come due, and to meet its other obligations for the fiscal year; and, such Loan Repayment funds will not be expended for other purposes.

10. Performance Under Loan Agreement. The Public Entity has represented to the Department that, upon completion of the Project, the Public Entity expects to realize sufficient energy savings to pay the Loan Repayments. The Public Entity will make the Loan Repayments only from energy savings resulting from installation or construction of the Project. The Public Entity covenants and agrees to comply with all applicable State and federal laws, rules, and regulations in the installation or construction of the Project, the performance of the Loan Agreement and repayment of the Loan, and to cooperate with the Department in the timely observance and performance of the respective agreements of the Public Entity and the Department under the Loan Agreement.

11. Completion. The Public Entity agrees to provide from its own financial resources all moneys in excess of the amount available under the Loan Agreement required to complete the Project.

12. Inspections; Information. The Public Entity shall permit the Trustee, the Department, and any party designated by the Department to examine, visit, and inspect the Project at any reasonable time and to inspect and make copies of any accounts, books and records, including its records regarding receipts, disbursements, contracts, investments, its financial condition and other related matters, and will supply the reports and information as the Trustee and the Department may reasonably require in that connection.

13. Notice of Material Adverse Change. The Public Entity shall promptly notify the Department of any material adverse change in the activities, prospects or condition (financial or otherwise) of the Project, or in the ability of the Public Entity to make the Loan Repayments, and otherwise observe and perform its agreements under the Loan Agreement.

14. Continuing Representations. The representations of the Public Entity contained herein shall be true at the time of the execution of the Loan Agreement and the covenants and warranties contained herein shall be true at the time of execution of the Loan Agreement and at all times during the term of the Loan Agreement.

LOAN NO. NPELPAQ2

WITNESS our hands and the seal of the Public Entity as of the _____ day of _____, 20____.

**THE CURATORS OF THE
UNIVERSITY OF MISSOURI ON BEHALF OF THE
UNIVERSITY OF MISSOURI - KANSAS CITY**

By: _____

Title: _____

Authorized Official

ATTEST:

Approved as to
Legal Form



[Handwritten Signature]

Sep 01, 2020

By: _____

Title: _____

MISSOURI DEPARTMENT OF NATURAL RESOURCES

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
OTHER RESPONSIBILITY MATTERS**

The prospective participant certifies to the best of the grant recipient's knowledge and belief that recipient and its principals:

- (A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily or otherwise excluded from covered transactions by any Federal department or agency;
- (B) Have not within a three year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or falsification or destruction of records, making false statements or receiving stolen property;
- (C) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (B) of this certification;
- (D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default;
- (E) Are current on all taxes due and owing to the State of Missouri; and
- (F) Are in compliance with all state and federal environmental laws and court orders issued pursuant to those laws, and that all environmental violations have been resolved.

I understand that a false statement on this certification may be grounds for rejection of this application/proposal, or termination of the award. In addition, under 18 USC Sec. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to five years, or both.

Typed Name and Title of Recipient or Authorized Representative

Signature of Recipient or Authorized Representative

Date

_____ I am unable to certify to the above statements. My explanation is attached.

MISSOURI DEPARTMENT OF NATURAL RESOURCES

CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal contract, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence as officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this Certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

Organization Name

Typed Name and Title of Authorized Representative

Signature

Date

MISSOURI DEPARTMENT OF NATURAL RESOURCES

**FEDERAL WORK AUTHORIZATION PROGRAM
AFFIDAVIT GUIDELINES FOR COMPLETION**

As required by Section 285.530, RSMo, any business entity receiving a state-administered or subsidized tax credit, tax abatement, or loan from the state must complete this Federal Work Authorization Program Affidavit.

Energy Loan Program recipients must complete the information on pages 1 and 2 then complete one of the two choices below:

Complete "Box B" on page 4 and Affidavit on page 5 **OR** complete "Box C" on page 6

AND

Please attach the E-Verify Employment Eligibility Verification page listing the borrower's/contractor's name and company ID **OR** attach a page from the E-Verify Memorandum of Understanding (MOU) listing the borrower's/contractor's name and the MOU signature page completed and signed, at minimum, by the borrower/contractor and the Department of Homeland Security—Verification Division.

If you are unsure which to complete, please contact our office for assistance.



FEDERAL WORK AUTHORIZATION PROGRAM AFFIDAVIT

STATE OF MISSOURI)
) ss
 COUNTY OF _____)

On the _____ day of _____, 20____, before me appeared _____, personally known to me or proved to me on the basis of satisfactory evidence to be a person whose name is subscribed to this affidavit, who being by me duly sworn, stated as follows:

AFFIANT NAME

- I, the Affiant, am of sound mind, capable of making this affidavit, and personally certify the facts herein stated, as required by Section 285.530, RSMo, for any business entity to receive a state-administered or subsidized tax credit, tax abatement, or loan from the state.

- I, the Affiant, am the _____ of _____, and I am duly authorized, directed, and/or empowered to act officially and properly on behalf of this business entity.

TITLE

BUSINESS NAME

- I, the Affiant, hereby affirm and warrant that the aforementioned business entity is enrolled in a federal work authorization program operated by the United States Department of Homeland Security, and the aforementioned business entity shall participate in said program to verify the employment eligibility of newly hired employees working in connection with any tax credit, tax abatement, or loan received from the Missouri Department of Natural Resources. I have attached documentation to this affidavit to evidence enrollment/participation by the aforementioned business entity in a federal work authorization program, as required by Section 285.530, RSMo.

- I, the Affiant, also hereby affirm and warrant that the aforementioned business entity does not and shall not knowingly employ, in connection with any tax credit, tax abatement, or loan received from the Department, any alien who does not have the legal right or authorization under federal law to work in the United States, as defined in 8 U.S.C. § 1324a(h)(3).

- I, the Affiant, am aware and recognize that, unless certain contract and affidavit conditions are satisfied pursuant to Section 285.530, RSMo, the aforementioned business entity may be held liable under Sections 285.525 through 285.550, RSMo, for contractors that knowingly employ or continue to employ any unauthorized alien to work in connection with any tax credit, tax abatement, or loan received from the Department within the state of Missouri.

- I, the Affiant, acknowledge that I am signing this affidavit as a free act and deed of the aforementioned business entity and not under duress.

Affiant Signature

Subscribed and sworn to before me in _____, _____, the day and year
CITY OR COUNTY STATE
first above-written.

Notary Public

My commission expires:

[documentation of enrollment/participation in a federal work authorization program attached]

**BUSINESS ENTITY CERTIFICATION, ENROLLMENT
DOCUMENTATION, AND AFFIDAVIT OF WORK
AUTHORIZATION**

BUSINESS ENTITY CERTIFICATION:

The borrower/contractor must certify their current business status by completing either Box A or Box B or Box C on this Exhibit.

- | | |
|---------------|---|
| BOX A: | To be completed by a non-business entity as defined below. |
| BOX B: | To be completed by a business entity who has not yet completed and submitted documentation pertaining to the federal work authorization program as described at http://www.dhs.gov/files/programs/gc_1185221678150.shtm . |
| BOX C: | To be completed by a business entity who has current work authorization documentation on file with a Missouri state agency including Division of Purchasing and Materials Management. |

Business entity, as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, is any person or group of persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood. The term “**business entity**” shall include but not be limited to self-employed individuals, partnerships, corporations, contractors, and subcontractors. The term “**business entity**” shall include any business entity that possesses a business permit, license, or tax certificate issued by the state, any business entity that is exempt by law from obtaining such a business permit, and any business entity that is operating unlawfully without such a business permit. The term “**business entity**” shall not include a self-employed individual with no employees or entities utilizing the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

Note: Regarding governmental entities, business entity includes Missouri schools, Missouri universities (other than stated in Box C), out of state agencies, out of state schools, out of state universities, and political subdivisions. A business entity does not include Missouri state agencies and federal government entities.

BOX A – CURRENTLY NOT A BUSINESS ENTITY

I certify that _____ (Company/Individual Name) **DOES NOT CURRENTLY MEET** the definition of a business entity, as defined in section 285.525, RSMo pertaining to section 285.530, RSMo as stated above, because: (check the applicable business status that applies below)

- I am a self-employed individual with no employees; **OR**
- The company that I represent employs the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

I certify that I am not an alien unlawfully present in the United States and if _____ (Company/Individual Name) is awarded a contract for the services requested herein under _____ (Loan Number) and if the business status changes during the life of the contract to become a business entity as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, then, prior to the performance of any services as a business entity, _____ (Company/Individual Name) agrees to complete Box B, comply with the requirements stated in Box B and provide Missouri Department of Natural Resources with all documentation required in the Box B of this exhibit.

Authorized Representative’s Name (Please Print)

Authorized Representative’s Signature

Company Name (if applicable)

Date

(Complete the following if you DO NOT have the E-Verify documentation and a current Affidavit of Work Authorization already on file with the State of Missouri. If completing Box B, do not complete Box C.)

BOX B – CURRENT BUSINESS ENTITY STATUS

I certify that _____ (Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo, pertaining to section 285.530.

Authorized Business Entity Representative's Name (Please Print)	Authorized Business Entity Representative's Signature
---	---

Business Entity Name	Date
----------------------	------

E-Mail Address

- As a business entity, the borrower/contractor must perform/provide each of the following. The borrower/contractor should check each to verify completion/submission of all of the following:
- Enroll and participate in the E-Verify federal work authorization program (Website: http://www.dhs.gov/files/programs/gc_1185221678150.shtm; Phone: 888-464-4218; Email: e-verify@dhs.gov) with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required herein; AND
 - Provide documentation affirming said company's/individual's enrollment and participation in the E-Verify federal work authorization program. Documentation shall include EITHER the E-Verify Employment Eligibility Verification page listing the borrower's/contractor's name and company ID OR a page from the E-Verify Memorandum of Understanding (MOU) listing the borrower's/contractor's name and the MOU signature page completed and signed, at minimum, by the borrower/contractor and the Department of Homeland Security – Verification Division. If the signature page of the MOU lists the borrower's/contractor's name and company ID, then no additional pages of the MOU must be submitted; AND
 - Submit a completed, notarized Affidavit of Work Authorization provided on the next page of this Exhibit.

AFFIDAVIT OF WORK AUTHORIZATION:

The borrower/contractor who meets the section 285.525, RSMo, definition of a business entity must complete and return the following Affidavit of Work Authorization.

Comes now _____ (Name of Business Entity Authorized Representative) as _____ (Position/Title) first being duly sworn on my oath, affirm _____ (Business Entity Name) is enrolled and will continue to participate in the E-Verify federal work authorization program with respect to employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the State of Missouri for the duration of the contract(s), if awarded in accordance with subsection 2 of section 285.530, RSMo. I also affirm that _____ (Business Entity Name) does not and will not knowingly employ a person who is an unauthorized alien in connection with the contracted services provided under the contract(s) for the duration of the contract(s), if awarded.

In Affirmation thereof, the facts stated above are true and correct. (The undersigned understands that false statements made in this filing are subject to the penalties provided under section 575.040, RSMo.)

_____	_____
Authorized Representative's Signature	Printed Name
_____	_____
Title	Date
_____	_____
E-Mail Address	E-Verify Company ID Number

Subscribed and sworn to before me this _____ of _____. I am
(DAY) (MONTH, YEAR)
commissioned as a notary public within the County of _____, State of
(NAME OF COUNTY)
_____, and my commission expires on _____.
(NAME OF STATE) (DATE)

Signature of Notary Date

(Complete the following if you have the E-Verify documentation and a current Affidavit of Work Authorization already on file with the State of Missouri. If completing Box C, do not complete Box B.)

BOX C – AFFIDAVIT ON FILE - CURRENT BUSINESS ENTITY STATUS

I certify that _____(Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, and have enrolled and currently participates in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the State of Missouri. We have previously provided documentation to a Missouri state agency or public university that affirms enrollment and participation in the E-Verify federal work authorization program. The documentation that was previously provided included the following.

- ✓ The E-Verify Employment Eligibility Verification page OR a page from the E-Verify Memorandum of Understanding (MOU) listing the borrower’s/contractor’s name and the MOU signature page completed and signed by the borrower/contractor and the Department of Homeland Security –Verification Division
- ✓ A current, notarized Affidavit of Work Authorization (must be completed, signed, and notarized within the past twelve months).

Name of **Missouri State Agency or Public University*** to Which Previous E-Verify Documentation Submitted: _____

(*Public University includes the following five schools under chapter 34, RSMo: Harris-Stowe State University–St. Louis; Missouri Southern State University–Joplin; Missouri Western State University–St. Joseph; Northwest Missouri State University–Maryville; Southeast Missouri State University–Cape Girardeau.)

Date of Previous E-Verify Documentation Submission: _____

Previous **Loan Number** for which Previous E-Verify Documentation Submitted (if known): _____
LOAN NUMBER

Authorized Business Entity Representative’s Name (Please Print)

Authorized Business Entity Representative’s Signature

E-Verify MOU Company ID Number

E-Mail Address

Business Entity Name

Date

FOR STATE USE ONLY

Documentation Verification Completed By:

Loan staff

Date

MISSOURI DEPARTMENT OF NATURAL RESOURCES
ENERGY LOAN PROGRAM & ENERGIIZE MISSOURI LOAN PROGRAM
DRAFT AMORTIZATION WORKSHEET

Loan Amortization Schedule for	University of Missouri - Kansas City
Loan Number	NPELPAQ2

		Actual Loan Amount Totals
Total Loan Amount (Page 1 of the Resolution) *	\$ 1,888,450.00	\$ 1,888,447.37
Maximum Construction Costs (Page 1 of the Resolution)	\$ 1,632,369.00	
Maximum Project Costs Loan (Page 1 of the Loan Agreement)	\$ 1,888,450.00	
Reserve Amount (available upon completion of ECM's)	\$ -	
Annual Interest Rate (enter as a %)	2.75%	
Construction Interest Rate (enter as a %)	2.75%	
Point (if applicable - enter as a %)	1.00%	
Estimated Savings Per Year	\$ 188,866.00	
Term of Loan in Years	10	
Payments per year (enter 2, 4, or 12)	2	
Closing Date (Date the closeout procedure completed) (mm/dd/yyyy)	9/1/2021	
First Payment Due Date (always enter as 1st of month) (mm/dd/yyyy)	1/1/2022	
Total Draws to Date	\$ 1,632,369.00	
Total Construction Interest to Date	\$ -	
Total Point Amount to Date	\$ 16,323.69	
Total Construction Loan Amount	\$ 1,648,692.69	

Project Payments	Amount - enter as dollars and cents of Payment	Check Date - enter as MM/DD/YY	Construction Interest on Draws - Auto Calculated
Draw #1	\$ 1,632,369.00	09/01/21	\$ -
Draw #2	\$ -		\$ -
Draw #3	\$ -		\$ -
Draw #4	\$ -		\$ -
Draw #5	\$ -		\$ -
Draw #6	\$ -		\$ -
Draw #7	\$ -		\$ -
		09/01/21	

Pmt #	Payment Due Date	Principal	Principal + Point + Construction Interest	Interest	Construction Interest	Point	Total Payment Amount	Ending Balance
1	01/01/22	\$ 78,493.64	\$ 79,278.58	\$ 15,154.42	\$ -	\$ 784.94	\$94,433.00	\$ 1,569,414.11
2	07/01/22	\$ 72,132.24	\$ 72,853.56	\$ 21,579.44	\$ -	\$ 721.32	\$94,433.00	\$ 1,496,560.55
3	01/01/23	\$ 73,124.05	\$ 73,855.29	\$ 20,577.71	\$ -	\$ 731.24	\$94,433.00	\$ 1,422,705.26
4	07/01/23	\$ 74,129.50	\$ 74,870.80	\$ 19,562.20	\$ -	\$ 741.30	\$94,433.00	\$ 1,347,834.46
5	01/01/24	\$ 75,148.79	\$ 75,900.28	\$ 18,532.72	\$ -	\$ 751.49	\$94,433.00	\$ 1,271,934.18
6	07/01/24	\$ 76,182.09	\$ 76,943.91	\$ 17,489.09	\$ -	\$ 761.82	\$94,433.00	\$ 1,194,990.27
7	01/01/25	\$ 77,229.58	\$ 78,001.88	\$ 16,431.12	\$ -	\$ 772.30	\$94,433.00	\$ 1,116,988.39
8	07/01/25	\$ 78,291.50	\$ 79,074.41	\$ 15,358.59	\$ -	\$ 782.91	\$94,433.00	\$ 1,037,913.98
9	01/01/26	\$ 79,368.00	\$ 80,161.68	\$ 14,271.32	\$ -	\$ 793.68	\$94,433.00	\$ 957,752.30
10	07/01/26	\$ 80,459.32	\$ 81,263.91	\$ 13,169.09	\$ -	\$ 804.59	\$94,433.00	\$ 876,488.39
11	01/01/27	\$ 81,565.62	\$ 82,381.28	\$ 12,051.72	\$ -	\$ 815.66	\$94,433.00	\$ 794,107.11
12	07/01/27	\$ 82,687.16	\$ 83,514.03	\$ 10,918.97	\$ -	\$ 826.87	\$94,433.00	\$ 710,593.08
13	01/01/28	\$ 83,824.11	\$ 84,662.35	\$ 9,770.65	\$ -	\$ 838.24	\$94,433.00	\$ 625,930.73
14	07/01/28	\$ 84,976.68	\$ 85,826.45	\$ 8,606.55	\$ -	\$ 849.77	\$94,433.00	\$ 540,104.28
15	01/01/29	\$ 86,145.12	\$ 87,006.57	\$ 7,426.43	\$ -	\$ 861.45	\$94,433.00	\$ 453,097.71
16	07/01/29	\$ 87,329.61	\$ 88,202.91	\$ 6,230.09	\$ -	\$ 873.30	\$94,433.00	\$ 364,894.80
17	01/01/30	\$ 88,530.40	\$ 89,415.70	\$ 5,017.30	\$ -	\$ 885.30	\$94,433.00	\$ 275,479.10
18	07/01/30	\$ 89,747.68	\$ 90,645.16	\$ 3,787.84	\$ -	\$ 897.48	\$94,433.00	\$ 184,833.94
19	01/01/31	\$ 90,981.71	\$ 91,891.53	\$ 2,541.47	\$ -	\$ 909.82	\$94,433.00	\$ 92,942.41
20	07/01/31	\$ 92,022.20	\$ 92,942.41	\$ 1,277.96	\$ -	\$ 920.21	\$94,220.37	\$ -
	Totals	\$ 1,632,369.00	\$ 1,648,692.69	\$ 239,754.68	\$ -	\$ 16,323.69	\$1,888,447.37	

Loan Amortization Worksheet (365 days): 1.30.17

* Total Loan Amount includes principle, interest, construction interest, and loan origination fee for the entire loan term.

NOTE - The dates and reimbursement amounts used on this Draft Amortization Worksheet are for calculation/information purposes only. We will provide a final amortization after full reimbursement with definitive dates and amounts. Your payments will begin approximately 120 days from the date of final reimbursement.

PROMISSORY NOTE
Public Entity

FOR VALUE RECEIVED, the undersigned duly authorized representative of **APPLICANT**, a public school district/public university/a public college/city government/[county government, organized and existing under the laws of the State of Missouri (the "Borrower") promises to pay, but solely from the sources hereinafter referred to, to

MISSOURI DEPARTMENT OF NATURAL RESOURCES'
DIVISION OF ENERGY ("Department" or "Payee")

or its designees or assigns (the "Owner") on the principal amount of

_____ **thousand** _____ **and 00/100 Dollars (\$** _____ **)**

(the "Principal Amount") received from the Department from its Energy Loan Program (the "Program") to finance the costs of "the Project" as described in the Borrower's application, and as approved by the Department ("Project Costs Loan"). The Principal Amount for the Project Costs Loan is reflected in the books maintained by the Department for the Program.

The Principal Amount of this Note includes approved construction costs, interest on construction draws paid to the Borrower to fund Project Costs from the date of such draw to the date of the completion of the Project on _____ ("Project Completion"), and a **one percent (1%)** loan origination fee.

The Borrower shall repay such Principal Amount in any coin or currency of the United States of America which on the date of payment thereof is legal tender for the payment of public and private debts, and in like manner to pay to the Owner hereof, interest on the Principal Amount at the rate of ____% per annum payable in arrears on each _____ **and** _____ of each year in accordance with the Amortization Schedule attached hereto. Interest shall be computed on the basis of a year of 365 days. Principal and interest on this Note shall be payable from energy savings realized by the borrower in connection with the Project.

The indebtedness evidenced by this Note is to enable the Borrower to implement an energy conservation project in conjunction with the Energy Loan Program pursuant to Sections 640.651 to 640.686, Revised Statutes of Missouri, as amended and the corresponding Loan Agreement between the Department and the Borrower dated as of _____, the terms of which are herein incorporated by reference.

If a scheduled loan payment becomes delinquent, the Department will assess to the Borrower a late charge of one percent (1%) of the payment due for every thirty (30) day period that such payment remains delinquent.

Payments shall be made by mail at the administrative office of the Missouri Department of Natural Resources, Division of Energy, ATTN: Energy Loan Program Clerk, PO Box 176, Jefferson City, Missouri 65102, or such other place as the Department may designate in writing.

Presentment, notice of dishonor and protest are hereby waived by all makers, sureties, guarantors and endorsers hereof. This Note shall be the joint and several obligations of all makers, sureties, guarantors and endorsers, and shall be binding upon them and their successors and assigns.

APPLICANT

Date: _____

By: _____

Title: _____

ATTEST:

By: _____

Title: _____

SAMPLE

Naming Opportunity
Pickard Plaza
MU

Pursuant to CRR 110.080, naming of buildings and exterior areas requires Board approval. The University of Missouri-Columbia requests approval to name a small courtyard at the entrance of the Jeanne and Rex Sinquefield Music Center Pickard Plaza to recognize the legacy of Dr. Alexander Pickard through gifts received in his honor for the construction of the Jeanne and Rex Sinquefield Music Center.

Dr. Alexander Pickard arrived on campus in 1961 and retired in 2002. Early in his tenure, Dr. Pickard was named Director of Marching Mizzou and served in this role for 18 years. As Director of Bands in 1966, Dr. Pickard transformed Marching Mizzou as The Big "M" of the Midwest, delighting Tiger fans with theatrical halftime shows and launching new spirit groups like Mini Mizzou and the Golden Girls. In 1975, the band flew to England and performed in iconic Wembley, Chelsea, and Twickenham stadiums. A year later the famous MIZ-ZOU chant was born, brought forth by band members after a 22- 21 football victory over Ohio State. In 1982, Dr. Pickard continued to serve as Associate Chairman until his retirement in 2002. To many generations of Missouri music students, the "Good Doctor" is remembered as their adopted father who encouraged them to "Find A Home" in the band.

Many alumni and friends contributed to the construction of the Jeanne and Rex Sinquefield Music Center specifically in honor of Dr. Alexander Pickard. Their philanthropic support will help advance and enhance the education and performance of music at MU. World-class music facilities on the MU campus are a critical component of advancing Missouri as a leading center for music. Phase I of the Sinquefield Music Center was dedicated in February 2020, just four months after Dr. Pickard passed away. This new facility allows for the consolidation of most School of Music's programs and activities in one location, creating new opportunities for the School to become a leader in music composition, performance, and education.

University of Missouri President and MU Chancellor Mun Choi, Vice Chancellor of University Advancement Jacqueline Lewis, and Provost Latha Ramchand are all in support of this naming.

September 24, 2020

No. 9

Recommended Action - Naming Opportunity, Pickard Plaza, MU

It was recommended by UM System President and MU Chancellor Mun Y. Choi, recommended by the Finance Committee, moved by Curator _____ and seconded by Curator _____, that the following action be approved:

that a small courtyard at the entrance of the Jeanne and Rex Sinquefield Music Center be named Pickard Plaza.

Roll call vote of the Committee: YES NO

Curator Chatman
Curator Hoberock
Curator Steelman
Curator Williams

The motion _____.

Roll call vote: YES NO

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

The motion _____.

FINANCE COMMITTEE

FINANCE COMMITTEE

David L. Steelman, Chair

Darryl M. Chatman

Greg E. Hoberock

Michael A. Williams

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

I. Scope

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

II. Executive Liaison

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

III. Responsibilities

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

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

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

Approved by the Board of Curators: April 9, 2020

University of Missouri



Board of Curators

Finance Committee Meeting

**Tuesday, September 15, 2020
1:00 P.M.**

This Committee Meeting is being held in conjunction with the September 24, 2020 Board of Curators Meeting.

Originating:

From remote locations via conference telephone and Zoom webinar.

Please click the link below to join the webinar:

<https://umsystem.zoom.us/j/92081758249>

Or Telephone:

Dial US: +1 646 876 9923

Webinar ID: 92081758249

AGENDA

PUBLIC SESSION – 1:00 P.M.

Call to Order – Chair Steelman

Roll Call of the Committee

Information

1. FY20 Investment Performance Review, UM (Tom Richards and Ryan Rapp)
2. FY20 Financial Status Report, UM (Ryan Rapp)
3. Financial Policies and Governance, UM (Ryan Rapp)

Recess

FY20 Investment Performance Review
UM

Highlights of the enclosed Fiscal Year 2020 Investment Review will be presented at the September meeting of the Finance Committee of the Board of Curators. Also enclosed is an annual investments review letter from Verus, the University's General Investment Consultant.

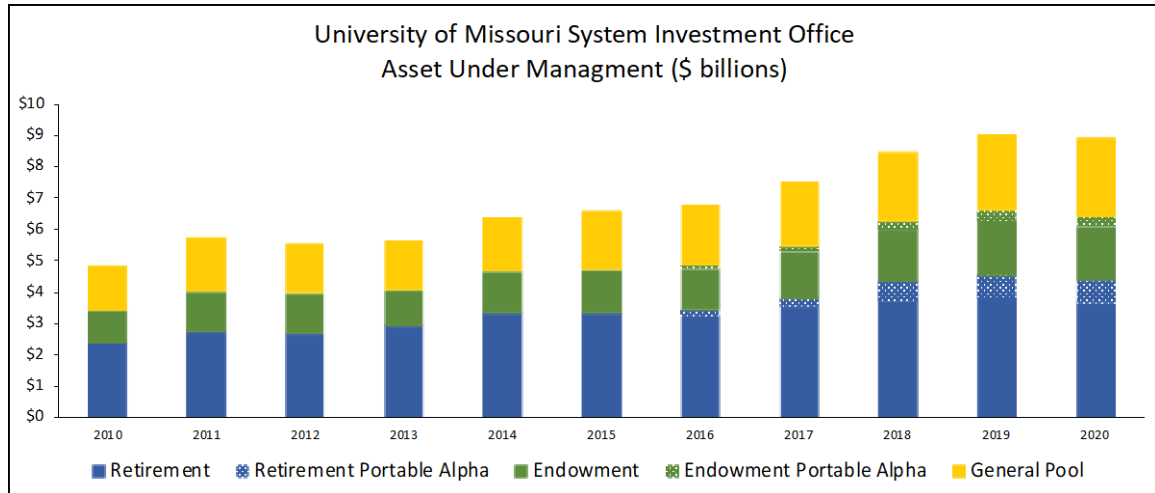
The Collected Rules and Regulations require annual performance reporting to the Board for each of the following investment pools:

Retirement Plan	Represents the invested assets of the University's defined benefit plan.
Endowment Pool	Holds more than 6,000 endowment accounts from across the UM System.
General Pool	Contains the working capital and invested assets of more than 25,000 unique operating units within the UM System.

Asset allocation for both the Retirement Plan and Endowment Pool will be reviewed with the Board later this year, as well as results from a benchmarking study of investment management fees.

Fiscal Year 2020 - Investment Review
Office of Investments - University of Missouri System

The Investment Office of the University of Missouri System is responsible for the management and oversight of the University’s Retirement Plan, Endowment Pool and General Pool investment portfolios, in accordance with the University’s Collected Rules and Regulations.



Rollforward of Activity – Fiscal Year 2020

	Beginning Balance	Contributions Or Gifts	Benefits or Distributions	Investment Income	Ending Balance
Retirement	\$3,749,000,000	\$135,000,000	(\$266,000,000)	\$12,000,000	\$3,630,000,000
Endowment	\$1,743,000,000	\$47,000,000	(\$80,000,000)	\$22,000,000	\$1,732,000,000

Consistent with a focus on meeting long-term objectives, despite near-term market volatility, the Retirement Plan paid out \$266 million in benefits during FY 2020, while the Endowment Pool was able to provide \$80 million in distributions to support the mission of each University. As a reminder, the spending policy for the Endowment Pool is based on a 28-quarter market value average, which provides stability in distributions even in times of market volatility.

The following are the quarterly and annualized returns of our investment portfolios as of June 30, 2020:

	<u>Q3 2019</u>	<u>Q4 2019</u>	<u>Q1 2020</u>	<u>Q2 2020</u>	<u>FY 2020</u>
Retirement Plan	0.8%	4.5%	(10.2%)	6.5%	0.6%
Endowment Pool	0.8%	4.8%	(10.7%)	7.2%	1.2%
General Pool	0.4%	1.1%	(4.8%)	3.7%	0.2%

While the losses incurred during Q1 2020 were substantial and painful, the results and subsequent recovery in Q2 2020 were well within the range of expectations considered in

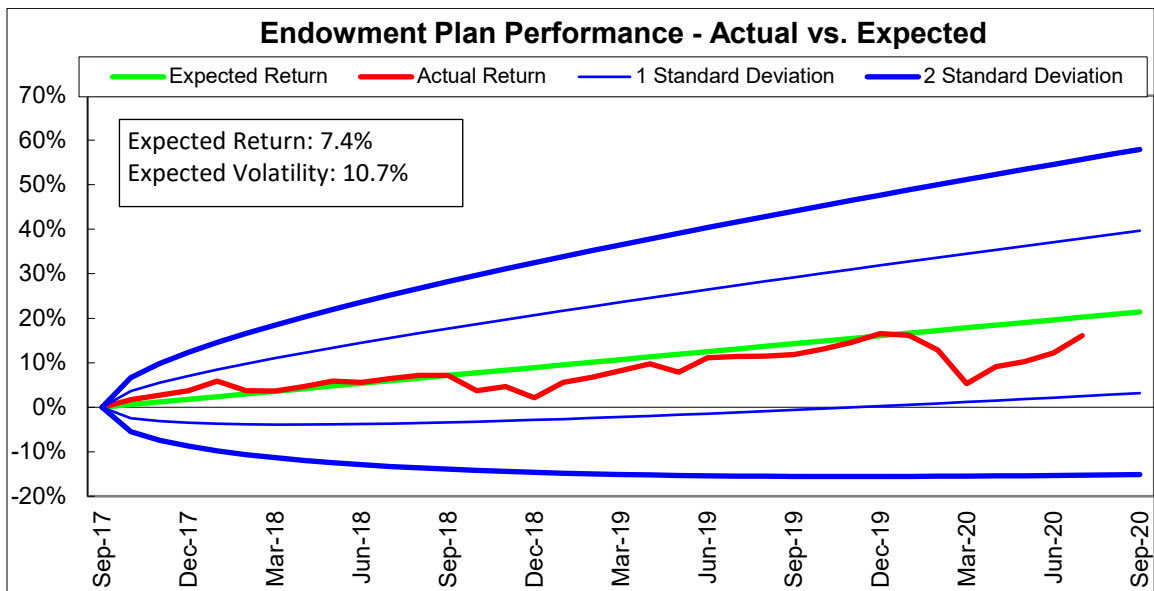
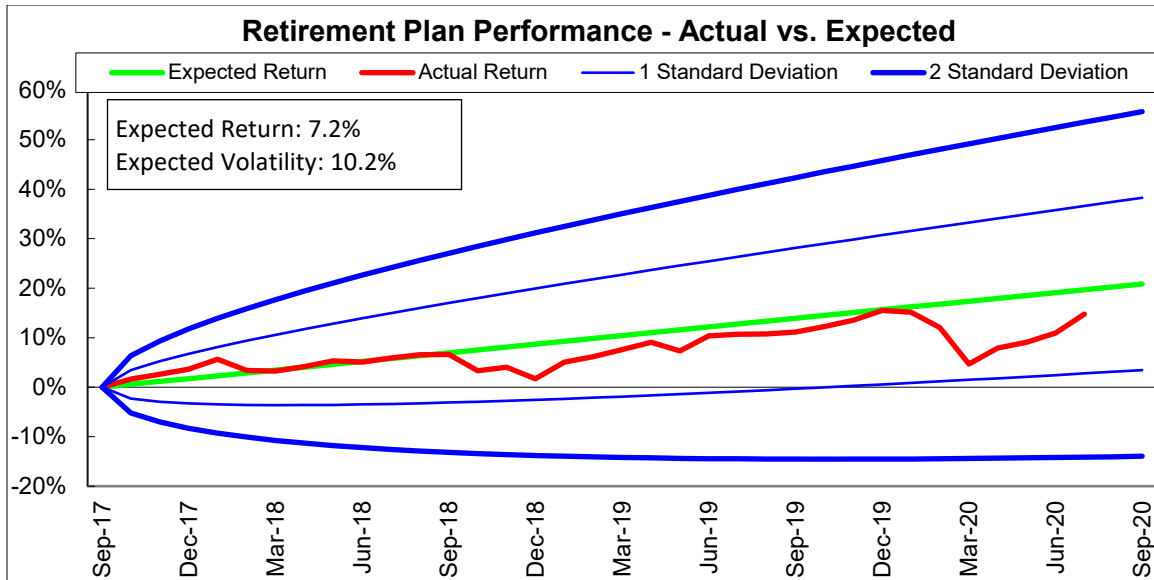
September 24, 2020

the initial design of the investment policy and its ongoing implementation. Given the balance in our asset allocation relative to peers, we would expect to outperform in markets when public equities do poorly and underperform in markets when public equities are doing well. This is what happened in Q1 and Q2 2020. Overall, our investment strategy has been carefully designed to meet our objectives over a long-term time horizon. These investment objectives are best articulated by the University's Collected Rules and Regulations:

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 of each portfolio. 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 each portfolio over short-term performance comparisons of the investment portfolios relative to peers.

These investment objectives, and resulting changes to asset allocation, were first introduced into the portfolios in mid-2015, with updates approved by the Board in 2017. While the ultimate success of our investment program is more appropriately determined over a longer time horizon, it is still useful to assess the results of our more 'risk-balanced' investment strategy since the time of substantial implementation.

The following charts plot actual vs. expected returns of the Retirement and Endowment investment portfolios. The Expected Return and Volatility assumptions were determined by Asset / Liability Studies presented to the Board in 2017. The green line represents the cumulative total Expected Return over time. The red line represents actual cumulative returns through July 31, 2020. The thin blue lines represent one standard deviation surrounding the expected return (Volatility assumption). 68% of all possible outcomes should fall within one standard deviation of the Expected Return. 95% of all possible outcomes should fall within two standard deviations (thick blue lines) of the Expected Return.



As seen in these charts, both portfolios were tracking very closely to expectations through December 2019. While Q1 2020 was a setback, we can see that subsequent performance through July 31, 2020 has reversed much of what was lost. Nonetheless, the cumulative results of both portfolios remain well within one standard deviation of modeled expectations. Perhaps our greatest challenge going forward is whether or not our current return expectations remain reasonable in light of the significant changes in the global economic conditions and the return of cash to near-zero rates. To that end, we will be reviewing Asset / Liability modeling with the Board later this fall.

To get a better understanding of portfolio performance relative to our policy benchmarks, it's useful to look at the beta portfolios separate from the portable alpha portfolios (*see Appendix A for an overview of the Portable Alpha Portfolio*).

	Beta Portfolio	+	Portable Alpha Portfolio	=	Total Portfolio	=	Policy Benchmark
Retirement Plan	2.5%	+	(1.9%)	=	0.6%	=	3.1%
Endowment Pool	2.9%	+	(1.7%)	=	1.2%	=	2.9%

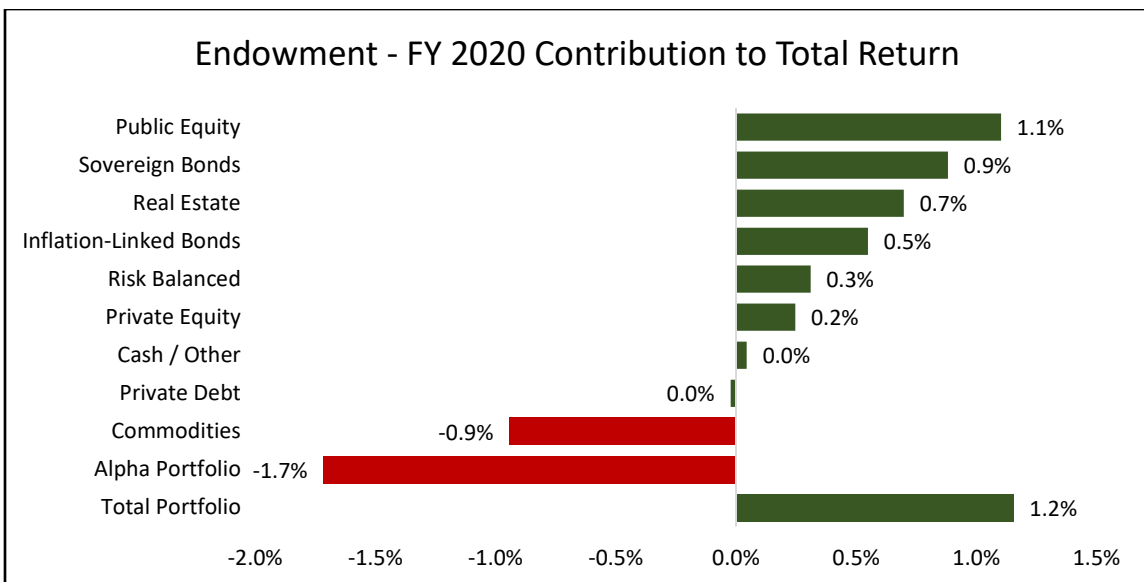
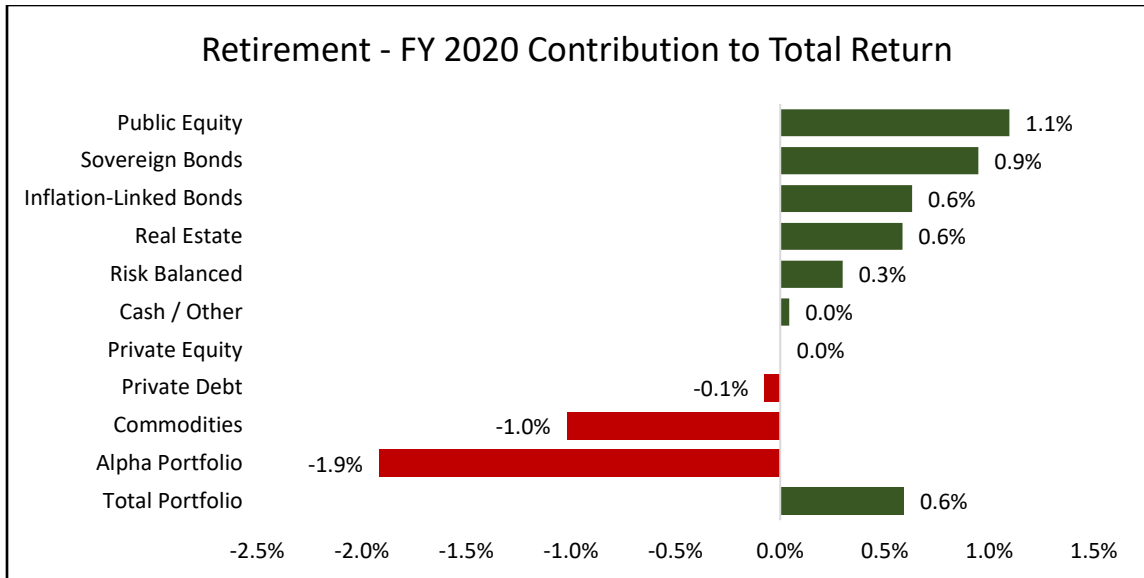
In the aggregate, the Retirement and Endowment portfolios underperformed their respective policy benchmarks by 2.5% and 1.7%. At a high level of analysis, this was caused primarily by the performance of the portable alpha portfolios, which detracted 1.9% and 1.7% from the total return of Retirement and Endowment, respectively. March 2020 was especially difficult for the portable alpha portfolios as each lost 7.8% during the month. Without the drag of the portable alpha portfolios, the beta portfolios in Retirement and Endowment were closer to policy benchmark performance.

The following table outlines asset class performance in greater detail for the year ended June 30, 2020:

Asset Class	Retirement Plan				Endowment Pool			
	Mix	Total Return	Benchmark	Excess Return	Mix	Total Return	Benchmark	Excess Return
Public Equity	34.7%	3.1%	2.1%	1.0%	37.5%	2.8%	2.1%	0.7%
Private Equity	10.3%	0.4%	3.1%	(2.7%)	10.9%	2.4%	3.1%	(0.7%)
Sovereign Bonds	12.4%	7.9%	10.4%	(2.5%)	11.6%	7.8%	10.4%	(2.6%)
Inflation-Linked Bonds	14.0%	4.2%	5.7%	(1.5%)	12.4%	4.2%	5.7%	(1.5%)
Private Debt	5.3%	(0.7%)	(2.0%)	1.3%	3.3%	0.1%	(2.0%)	2.1%
Risk Balanced	10.1%	3.1%	(3.0%)	6.1%	10.0%	3.3%	(3.0%)	6.3%
Commodities	4.3%	(18.8%)	(17.4%)	(1.4%)	4.0%	(18.3%)	(17.4%)	(0.9%)
Real Estate	8.0%	8.5%	3.9%	4.6%	8.9%	8.7%	3.9%	4.8%
Cash / Other	0.9%	-	-	-	1.4%	-	-	-
Total Beta Portfolio	100%	2.5%	3.1%	(0.6%)	100%	2.9%	2.9%	0.0%
Alpha Portfolio	-	(9.2%)	-	-	-	(8.8%)	-	-
Total Portfolio	100%	0.6%	3.1%	(2.5%)	100%	1.2%	2.9%	(1.7%)

The following graphs give additional perspective on the contribution to total return from each asset class, which takes into account both the magnitude of the net return as well as the weight within the respective portfolio. As noted above, the portable alpha portfolio detracted from the total return of Retirement and Endowment by 1.9% and 1.7%, respectively. We can also see the adverse impact of commodities in FY 2020. While the mix of commodities in both portfolios was relatively small (approximately 4%), the magnitude of commodity losses (18%-19%) detracted from the total return of Retirement and Endowment by 1.0% and 0.9%, respectively.

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From a longer-term perspective, despite the drag of the most recent one-year period, the portfolio ten-year returns remain relatively consistent with our modeled return expectations. The continued market recovery into both July and August 2020 should help further mitigate the underperformance in FY 2020.

Performance as of June 30, 2020

	<u>Three Years</u>	<u>Five Years</u>	<u>Seven Years</u>	<u>Ten Years</u>	<u>Return Objective</u>
Retirement Plan	4.8%	5.2%	6.1%	7.3%	7.2%
Endowment Pool	5.4%	5.9%	6.8%	7.9%	7.4%

Overall, while disappointed with the performance of the portable alpha portfolios in Q1 2020, the total portfolios generally performed as we would expect given market events and our asset allocation. Despite the market turmoil this past year, we were still able to take

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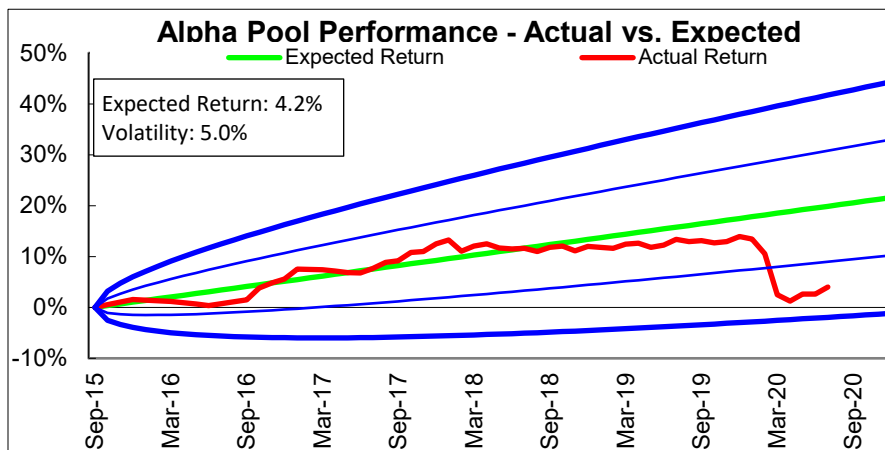
advantage of many opportunities to strengthen our mix of investment managers, simplify several aspects of portfolio management, improve transparency in reporting and add to the robustness of our risk management processes. In conjunction with some anticipated proposals to tweak our asset allocation later this fall, we feel that the portfolios remain well positioned for the future.

The following discussion goes into additional detail at the asset class level for FY 2020.

Portable Alpha Portfolio Performance

Please see the section “Understanding a Portable Alpha Program” beginning on page 1-14 for background information.

The portable alpha portfolio returned (9.2%) and (8.8%) for the year in Retirement and Endowment, respectively. Despite the disappointing returns in Q1 2020, we remain confident that the portable alpha program will be additive to the total portfolios over the long term. Even with the recent losses, the five-year annualized return for our current mix of managers in the portable alpha portfolio was 4.4%, which exceeds our modeled expectations for the program. For some additional perspective, if the performance of Q1 2020 were excluded, the alpha portfolio would have returned 2.5% and 2.7% for FY 2020 on an annualized basis, largely meeting expectations. The magnitude of the Q1 2020 losses can be seen from the chart below as the cumulative return drops from what was generally on the expected path through December 2019 to a downward shift approaching the two standard deviation boundary by March 2020.



Focusing on Q1 2020, our portable alpha portfolio performance was disappointing. Still, the portable alpha portfolio outperformed most other risk assets as well as the wider hedge fund universe – as illustrated by the

HFRI Hedge Fund index, which was down 11.5% over the same period. Statistically, relative to expectations, the Q1 2020 portable alpha portfolio results approached a three standard deviation event (without going into too much detail, that’s an extraordinarily rare occurrence – about 1 in 100 outcomes). Relative to a once-in-a-lifetime global pandemic that effectively shut down the global economy in a matter of weeks, this cannot be unexpected.

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Beyond the initial market shock, the swift and massive intervention by the Federal Reserve, which led to a sharp rebound in financial markets, actually hurt the rebound performance of many portable alpha portfolio strategies relative to equities and other market betas. During the market selloff amidst huge spikes in volatility, many of our alpha strategies de-risked positions as part of prudent and expected risk management practices. This resulted in lower levels of market exposures as the sharp rebound started to occur. The bottom line is that while the portable alpha portfolio in aggregate experienced less of a drawdown in the selloff compared to equities and other market betas, performance in the rebound significantly lagged these market betas due to the de-risked positions. While the outcome is frustrating, it does not reflect a failure of the alpha strategies in the context of how they are designed to manage risk. These risk systems simply could not react quickly enough to navigate the deep “V” shaped crash and subsequent recovery, the speed of which has never been experienced in the history of modern financial markets.

On a positive note, the Q1 2020 dislocation presented opportunities to improve the portable alpha portfolios, and we were well prepared to act. Based on a strategic review that had been completed in fall 2019, we had identified and targeted certain high conviction strategies that had been closed because of capacity constraints. The market dislocation and resulting increases in volatility created additional capacity in these targeted strategies. We were able to act quickly to take advantage of the opportunity to methodically proceed with a meaningful portfolio restructuring in Q2 2020, shifting more than \$200 million in invested capital from lower to higher conviction strategies. These restructuring decisions have already added more than \$9 million to net investment income in a short period of time. As we move forward, we will continue to look for ways in which to further improve the characteristics of the portable alpha portfolio.

Finally, from a risk management standpoint, a portable alpha program must be carefully managed, especially in times of market stress. The University’s portable alpha program structure and implementation is conservative by design; the program’s risk profile is continuously monitored and remains well within the established guidelines. We continue to maintain ample liquidity, with cash margin balances continuing to hold at more than 30% of our total synthetic market beta exposures. We had no issues with alpha program liquidity during March 2020.

Public Markets Performance

Public Equity

Public equity returned 3.1% in Retirement and 2.8% in Endowment, outperforming the benchmark by 1.0% and 0.7% respectively. The public equity portfolio performed exceptionally well during the year, driven by the strong outperformance of our active managers. The main detractors for the year were active currency management and our exposure to value strategies (while value has underperformed growth for nearly a decade, the spread of underperformance is at an all-time historical high – at some point reversion to the mean will occur). Currency management appears to have turned a corner and value is beginning to show signs of a bottom relative to growth.

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The longest bull-market on record for equities came to an abrupt finish as the COVID-19 outbreak rattled markets during Q1 2020. On March 16th, the Dow Jones Industrial Average recorded its second highest one-day percentage loss of nearly 13%, rivaled only by Black Monday in 1987. However, the drawdown in equities was short-lived, as fiscal and monetary stimulus was successful in aiding a quick recovery for financial markets. Global equities (MSCI ACWI) returned 19.2% in the second quarter, bringing the index back to positive territory for the fiscal year.

Sovereign Bonds

Our Retirement portfolio returned 7.9% while Endowment returned 7.8%. Although these results were strong, modest exposures to corporate and emerging market credits within an actively managed sleeve resulted in the portfolio trailing the benchmark by 2.5% and 2.6%, respectively. Spreads widened dramatically across all fixed income sectors during Q1 2020, resulting in unrealized mark-to-market losses as investors sold indiscriminately across the credit spectrum, at any price, to generate cash. In response to the challenged liquidity, the Federal Reserve (“Fed”) implemented numerous programs to assist markets. As the Fed’s programs were implemented over Q2 2020, these investments began recovering from this mainly technical market dislocation. We continue to have confidence in the actively managed sleeve, and as market conditions have continued to improve, we have nearly recovered these Q1 2020 mark-to-market losses.

The 10-year Treasury yield ended June at 0.6%, a decline of 127bps for the fiscal year. Long term bond yields have seen minimal recovery from their bottom in March 2020 because of the ongoing massive Fed monetary policy actions that have successfully reflat financial markets

As a reminder, nominal interest rates and bond prices have an inverse relationship, so as interest rates drop, the market value of the bonds increase, which is good for bond investors. The nominal yield can be separated into two sub-components: a real yield plus an expected rate of inflation. Changes in nominal yields reflect the combined effect of changes in real yields and inflation expectations. As such, a nominal bond’s market value, and therefore investment return, is dependent on both changes in real yields and changes in inflation expectations.

Inflation-Linked Bonds

Inflation-Linked Bonds (ILB) returned 4.2% in both Retirement and Endowment, underperforming the benchmark by 1.5%. This underperformance relative to the benchmark is primarily attributed to implementation issues with TIPS exacerbated by market dislocations in March 2020. We have since made structural changes to the strategy implementation which should prevent this from happening going forward.

The Core Consumer Price Index increased 1.2% during FY 2020, while the core Personal Consumption Expenditure Price index - the Fed’s preferred measure of inflation - came in at 1.6%, still well below the Fed’s stated 2% target. As states reopen and activities resume, inflation could trend gradually higher but remain manageable in the near-to-medium term.

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Risks of disinflation—a slowing in the pace of inflation—could persist if COVID outbreaks worsen and containment efforts curtail demand.

Similar to a sovereign nominal bond, the effective yield of an inflation-linked bond also consists of two components: a real yield and the actual rate of realized inflation. Since an inflation-linked bond pays the actual rate of inflation, it is different than a nominal bond in that its price is impacted only by changes in real yield. In other words, the return of an inflation-linked bond is insulated from changes in inflation expectations – it simply pays out the actual rate of inflation. This is why inflation-linked bonds are often considered a hedge against rising inflation.

Commodities

Commodities returned (18.8%) and (18.3%) for the year in the Retirement and Endowment portfolios, underperforming the benchmark by 1.4% and 0.9%, respectively. The underperformance was driven by our active commodities strategy, which was overweight the energy sector going into Q1 2020, resulting in underperformance of 13% for that quarter. However, this same manager outperformed the benchmark by 7.8% in Q2 2020, after having outperformed the benchmark by 8.3% in FY 2019. We continue to have confidence in this manager, and respect the fact that the strategy held to its investment convictions despite the enormous headwinds in Q1 2020.

Commodity markets were roiled by the demand destruction resulting from the coronavirus pandemic. The energy sector was more impacted than the other sectors, down 45.7% for the year, because of a crude oil price war between Russia and Saudi Arabia. Nevertheless, as of August 6, 2020, Commodities have recovered 56% of the 2020 drawdown, fueled by: 1) the reflationary actions of global central banks; 2) the continued recovery in Chinese manufacturing activity, and; 3) record crude oil production declines by OPEC+, the US and Canada. Given global central banks stated willingness to let inflation overshoot in the future before the start of monetary policy tightening, there has been an increasing demand for inflation-hedging assets, such as commodities. We therefore remain confident that the asset class will fully recover from its 2020 drawdown and will play an important inflation-hedging role in the portfolio for the foreseeable future.

Risk Balanced

The risk balanced allocation experienced an exceptional year given market conditions, returning 3.1% and 3.3% in Retirement and Endowment, respectively, while outperforming the benchmark by 6%. More importantly, for the year, the risk balanced allocation matched the performance of global equities with far less volatility (public equities fell by approximately 13% in March 2020, while the risk balanced allocation was down by only 8.3%). These strong results reflect considerable efforts to restructure the risk balanced allocation over the past two years, creating what we believe is a mix of managers effectively equipped to navigate unpredictable market environments.

Since the introduction of this asset class many years ago, we have struggled with a relevant policy benchmark. Unlike most other asset classes, there is no standard, accepted, representative benchmark for risk balanced strategies. Because ‘risk balanced’ is

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conceptual in nature, with each manager executing on the general concept in different ways, there will always be arbitrary differences between actual results and whatever one chooses to utilize for a benchmark. Since selecting our most recent benchmark (S&P Risk Parity Index), our third, we have continued to experience high levels of tracking error relative to the actual performance of our risk balanced allocation. Whether that translates into outperformance or underperformance, it is largely distracting and not meaningful. As such, consistent with the process outlined in our investment policies, the policy benchmark for the risk balanced allocation was set to equal actual performance, effective April 1, 2020.

Private Markets Performance

Private markets represent approximately 23% of the total Retirement Plan and Endowment Pool portfolios and include Private Equity, Real Estate and Private Debt. It is important to note that these asset classes report changes in valuation (i.e. performance) once per quarter on a one quarter lag. This means that the performance reported for private markets through June 30, 2020 is based on March 31, 2020 valuations. This one-quarter lag in reporting is common among institutional investors. Under normal market conditions, this lag is generally not meaningful. However, as discussed below, the lag in reporting will be more important to understand given recent market conditions.

Private Equity

Private Equity returned 0.4% and 2.4% for Retirement and Endowment, respectively, trailing the benchmark return of 3.1%. Although the one-year returns are in line with our expectations, they trailed the policy benchmark. The market disruptions of Q1 2020 exacerbated differences in portfolio construction between the policy benchmark and our portfolios. The policy benchmark is weighted 82% buyout / 18% venture. The Endowment portfolio is weighted 57% buyout / 38% venture / 5% special situations while the Retirement Portfolio is weighted 67% buyout / 27% venture / 6% special situations. The special situations allocations hurt performance in both portfolios, but the larger overweight to venture in Endowment helped offset the drag of special situations. Retirement has a lower allocation to venture, thus underperformed the benchmark by a wider margin. The special situations allocations represent legacy investments from a prior strategic approach which is no longer in place. As this capital is returned, it will be reallocated to buyout and venture.

From a broader perspective, absolute returns in private equity were adversely affected by the initial impact of COVID-19 and the corresponding economic shutdown. As expected, investments in companies that operate in retail, energy, hospitality and transportation were impacted first. These industries represent approximately 17% of the private equity allocation.

The valuation impact of COVID-19 appeared first in companies with operations severely limited or halted entirely as a result of the stay at home orders. For example, two retail-focused fund investments detracted 1.5% from overall private equity returns in Retirement. In most cases, the fundamentals of the original investment thesis remain despite the

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COVID interruptions – it just may take longer than planned for the businesses to achieve their performance targets.

Another impact to performance came from public equity holdings within private equity portfolios (which happens from time to time if portfolio companies are taken public as part of an exit strategy). Due to lock-up periods or strategic business decisions, these public equity holdings can sometimes reside within the private equity portfolios for several years. As these holdings are marked to market daily, they will exhibit much higher levels of volatility as compared to private holdings. With the public equity selloff in Q1 2020, several of these public equity holdings experienced sharp losses on an unrealized basis. One public company holding in particular is one of the largest positions overall in the private equity portfolio. Since March 2020 selloff, this position has regained almost the entire value lost. Due to the lag in reporting for private equity, this particular recovery will not get booked until Q3 2020.

Looking forward, we expect the retail, hospitality and transportation industries to face challenges as the economic disruptions from COVID-19 persist. We continue to monitor the portfolio closely and will provide updates in our quarterly letters as we gain additional insight.

At times like this, it is important to remember that private equity is a long-term asset class and should be measured over long-term horizons. Private equity has delivered a ten-year annualized return of 11.0% in the Retirement and 11.4% in the Endowment, outperforming our own public equity return of 9.7%.

Private Debt

Private Debt returned (0.7%) and 0.1% in Retirement and Endowment, respectively, outperforming the benchmark which returned (2.0%). The outperformance relative to benchmark is largely attributed to investments in direct and asset-backed lending and other real estate related investments. While these investments performed well, investments in companies related to retail, energy, hospitality and transportation were impacted more severely by COVID-19 and the related economic shutdown. Investment in these companies represents approximately 23% of the Private Debt allocation. In most cases the fundamentals behind these investments remain, and managers still expect to realize gains on these investments as the economy recovers. We continue to monitor the portfolio closely and have confidence in the managers and strategies selected going forward.

Real Estate

Real estate returned 8.5% and 8.7% in Retirement and Endowment, respectively, outperforming its benchmark of 3.9%. The biggest contributor in FY 2020 was a strategic multi-family build-to-hold investment that has been layered into the portfolio over the last few years. It contributed 3.2% and 2.9% to the overall Retirement and Endowment real estate return. The build-to-hold strategy is a unique strategic partnership which allows us to realize gains from the development of class A multi-family properties in attractive markets. As these properties are stabilized (>90% leased), we benefit from normal property

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appreciation and rental income. The intent is to hold these properties over a longer-term time period relative to most typical real estate fund investments.

Since real estate reports on a one quarter lag, portfolio performance through June 30, 2020 was only exposed to the economic shut down for few weeks in March. As part of the one-quarter reporting lag, March 31, 2020 statements were booked into performance as of June 30, 2020. The June 30, 2020 statements (which will be booked as of September 30, 2020) are expected to show the first hits to property valuations resulting from the economic shutdown. We anticipate that retail properties, which represent approximately 15% of our overall exposure, will be the first to see valuation declines. We are also monitoring our funds with exposure to commercial office space, but see less of an immediate impact due to the longer-term nature of office lease agreements.

Multi-family and industrial assets make up approximately half of our real estate exposure. We expect these two property types to remain relatively stable. To date, rent collections in each property type have continued to exceed our original expectations. Multi-family and industrial assets make up approximately half of our real estate exposure. We expect these two property types to remain relatively stable. To date, rent collections in each property type have continued to exceed our original expectations.

General Pool Performance

The General Pool represents the working capital of all entities across the University system. As would be expected, the risk we are willing to take in the General Pool is lower than for the Retirement Plan or Endowment Pool. The General Pool is actually managed through three sub-portfolios:

- 1) Liquidity Portfolio – invested primarily in cash equivalents and U.S. Treasury securities. Represented approximately 33% of the overall General Pool balances at 6/30/20.
- 2) Core Portfolio – 80% is invested liquid Public Debt securities, with the remaining 20% in Private Debt portfolios.
- 3) Strategic Portfolio – invested for a longer-term investment horizon in balanced strategies designed to capture equity, credit and inflation market risks.

The following highlights performance of each General Pool component for FY 2020:

	<u>FY 2020</u>
Liquidity Portfolio	1.8%
Core Portfolio	1.5%
Strategic Portfolio	(6.0%)
Total General Pool	0.2%

The Liquidity Portfolio performed as expected, essentially earning the cash rate of interest. As short-term interest rates have once again approached 0%, our earning power within the Liquidity Portfolio will be significantly diminished going forward.

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The Core Portfolio was adversely impacted by the rush to cash (liquidity panic) that occurred in March 2020. During a liquidity panic, with many sellers and few buyers, prices of assets fall – regardless of the quality of the underlying asset. In speaking with our investment managers at the time, we remained confident that we would be able to recover much of what was “lost” in March due largely to mark-to-market adjustments for unrealized losses. Subsequent performance within Core Portfolio strategies has verified that level of manager confidence. Following a decline of 6.9% in March, the Core Portfolio returned a positive 5.4% in Q2 2020. As noted above, extending that recovery period into July 2020, the four-month return was 7.0%.

The Strategic Portfolio was subject to beta market movements, as intended, with losses in March on equities and commodities overwhelming the gains in March from bonds. From a risk perspective, which is particularly important to the General Pool, the balanced nature of the Strategic Portfolio meant less volatility than a portfolio mix dominated by equity risk.

Despite the turbulent markets in Q1 2020, the General Pool and its inherent risk management structure performed exactly as intended. Our liquidity remained extraordinarily robust throughout the market challenges, anchored by \$900 million in cash equivalents – held primarily in US Treasury Bills (Liquidity Portfolio). Since experiencing largely mark-to-market losses on the risk seeking components (Core and Strategic) of the General Pool in March, we have seen a complete recovery in the subsequent period through July 31, 2020:

	<u>March 2020</u>	<u>April to July 2020</u>
Core Portfolio	(6.9%)	7.0%
Strategic Portfolio	(7.8%)	9.7%
Total General Pool	(4.7%)	5.1%

Following a thoughtful and deliberate restructuring of our manager allocations within the risk balanced allocations in Retirement and Endowment, we saw an opportunity to gain similar improvements within the Strategic Portfolio. We began this restructuring in fall 2020 with an expectation to have it completed by late summer 2020. While the existing Strategic Portfolio performed as expected through the events of FY 2020, the new structure of managers being implemented within the Strategic Portfolio would have performed even better. Nonetheless, we have strong confidence that these recent changes will be meaningfully additive going forward.

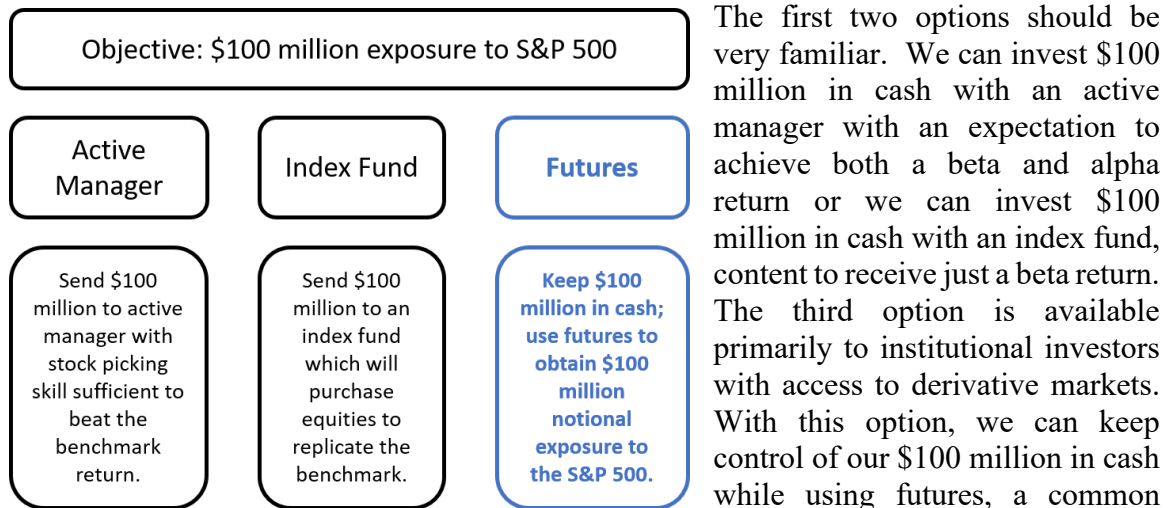
Understanding a Portable Alpha Program

Portable Alpha is a general concept that has existed within institutional portfolios in various forms for more than 20 years. It is rooted in the acknowledgement that investment portfolio total returns are driven by two distinct components – beta and alpha. Simplistically, beta results from owning some broad representation of a given market, usually as tracked by a benchmark or index. Alpha represents investing skill that generates returns independent of a given market benchmark or index. Using a public equity manager as an example, one might invest with an active equity manager based on a belief that the manager’s stock picking skill (alpha) will enable the manager to outperform the benchmark (beta). In this case, as with most traditional investment vehicles, the beta and alpha are packaged together in the same product.

The fundamental core belief of a Portable Alpha program is that beta and alpha can be separately sourced and more efficiently managed.

The Mechanics of a Portable Alpha Program

Let’s start with a foundational example which illustrates three different options to obtain market exposure (beta), in this case a \$100 million investment in the S&P 500.



The first two options should be very familiar. We can invest \$100 million in cash with an active manager with an expectation to achieve both a beta and alpha return or we can invest \$100 million in cash with an index fund, content to receive just a beta return. The third option is available primarily to institutional investors with access to derivative markets. With this option, we can keep control of our \$100 million in cash while using futures, a common

derivative instrument, to obtaining \$100 million in notional exposure¹ to the S&P 500 index. If we stopped here, the choice of the index fund or futures implementation would both deliver the same S&P 500 beta return.

¹ The notional amount of a derivatives instrument represents the market exposure upon which returns are exchanged. As an example, holding S&P 500 futures contracts with a notional amount of \$100 million means we gain exposure to the S&P 500 index without having to expend \$100 million in capital to purchase the underlying stocks. With a futures implementation, we simply exchange cash based on the S&P 500 index returns. As an example, if the S&P 500 dropped 1% we would have to pay the counterparty \$1 million on \$100 million in notional exposure; conversely, if the S&P 500 gained 1%, we would receive \$1 million from the counterparty.

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With the futures implementation, we maintain control of our \$100 million in cash while still getting the \$100 million notional return of the S&P 500. Retaining the cash is what allows us to source alpha, through another manager, separately from the market beta. Within the implementation of our own portable alpha program, we would use up to 70% (\$70 million in this example) of the cash to fund separate investments in carefully selected alpha managers (generally in the form of hedge fund vehicles). The remaining 30% (\$30 million in this example) would continue to be held in cash for purposes of covering the daily mark-to-market settlements on the futures implementation.

Alpha Manager Selection

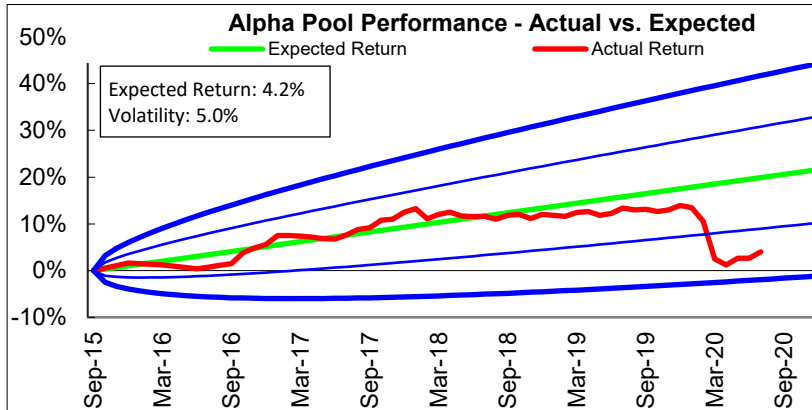
To properly manage risk in a portable alpha program, alpha managers have to meet very specific criteria. The primary focus and challenge is to identify alpha managers that deliver return streams with very low correlations (no discernible relationship) to market betas. We look for managers with market beta correlations of 0.2 or less². Further, we will only partner with alpha managers that are well established and highly institutionalized, have satisfactory liquidity terms, and robust risk management systems. Many alpha managers meeting our criteria are closed to new investors, so identifying new managers requires patience and skill in manager selection.

Successful alpha managers are, by definition, highly skilled. From a risk management perspective, highly skilled alpha managers are essential to the operation of a portable alpha program. With respect to pricing power, the demand in the marketplace currently exceeds the supply of highly skilled alpha manager capacity. For this reason, alpha managers charge higher fees than traditional managers. The magnitude of the higher alpha manager fees is somewhat mitigated by the very low, index-like fees of the market beta exposures obtained using the derivatives. All modeling, reporting and analysis of the alpha program and underlying alpha managers is always presented on a net of fee basis.

² Correlations are very important with respect to both risk management and value for fees. An alpha portfolio with higher correlations to market betas (closer to 1.0) will add risk to the total portfolio as the alpha exposures would simply magnify the risk that already existed in the total portfolio. An alpha portfolio with low correlations to market betas (closer to 0.0) is diversifying to existing exposures in the total portfolio, actually helping to reduce overall portfolio risk through benefits of diversification. With respect to value for fees, if we're paying higher fees for alpha, we need to be confident that we're actually getting alpha. In very general terms, if an alpha manager were highly correlated to public equities (closer to 1.0), it would suggest that the alpha manager's returns could be explained largely by the returns of public equities. If that were the case, it would suggest that the alpha manager was charging high fees while delivering low cost beta returns.

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Generating alpha is difficult and even the most seasoned, successful managers will go through periods of underperformance, sometimes incurring losses. It's important to



remember that whenever we talk about an expected return, we're referring to the midpoint of a fairly wide range of possible outcomes over a longer time horizon. The cone chart to the left presents the alpha portfolio's cumulative actual return (red line) relative

to the modeled expected return (green line). The thin blue lines represent one standard deviation of the expected return, meaning that 68% of all possible outcomes should fall within the thin blue lines. By definition, this means that 32% of possible outcomes could fall outside the bounds of the thin blue lines. 5% of possible outcomes could fall outside the thick blue lines, which represent two standard deviations. This all suggests that, as investors, we have to be prepared to endure periods of uncomfortable performance. Our alpha managers, whom we believe to be highly skilled, have navigated successfully through drawdowns in the past, and we maintain confidence that they will do so going forward as well.

Risk Management

A common concern with portable alpha programs, beyond their complexity, is the concept of "leverage" and a potential magnification of portfolio risk if not well managed. There is no explicit "borrowing" involved in the funding of the alpha portfolio – we are using our own cash, made available to us because of the capital efficiency of futures or other derivative instruments used to obtain our market beta. We maintain complete control over these derivative exposures, with the ability to reduce or eliminate the exposures in 24 hours or less. A portable alpha program allows an investor the ability to obtain total exposures greater than amount of capital invested, which can also result in additional risk. However, a well-designed portable alpha program with prudent risk management practices can often reduce overall portfolio risk through greater portfolio diversification.

From a practical perspective, one key component to successfully managing the day-to-day risk of a portable alpha program is the amount of cash set aside to fund the mark-to-market settlement demands of the derivative instruments used to implement the market betas. In our own case, based on extensive modeling and analysis, as noted above, we currently keep approximately 30% of the cash set aside for this purpose. In a real-world test, we are pleased to report that we maintained our 30% cash margin throughout March 2020 and had no liquidity issues throughout the COVID-19 market crisis.

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Reasons to Maintain a Portable Alpha Program

Alpha within a portfolio is extraordinarily valuable, no matter how it is sourced. This is because of the additional return potential and lower overall risk resulting from the benefits of diversification. A thoughtfully designed portable alpha program significantly increases the odds of obtaining alpha as compared to the alternative of expecting excess returns from active managers in traditional market beta implementations as described above. In the modeling performed as part of the 2017 asset allocation studies for the Retirement Plan and Endowment Pool, the portable alpha program was modeled to deliver a 2.00% annualized return, net of fees. Sized at 20% of capital, that equates to an additional 0.40% return, net of fees for each portfolio in total. Based on current portfolio balances, averaged out over a market cycle, that equates to annual investment income, net of fees, of approximately \$7 million and \$15 million in Endowment and Retirement, respectively. This incremental return can make a big difference over time on many levels. Using the Retirement Plan as an example, if our assumed actuarial return were lowered by 0.40% (to 6.80% instead of the current 7.20%), our net pension liability would increase by approximately \$225 million, resulting in approximately \$19 million in additional required contributions annually by the University.

Investment Manager Activity (through August 2020)

Per requirements of CRR 140.010 (D)(1), the investment staff will report any investment manager hires or terminations to the Board on a quarterly basis. The following is the latest activity since the time of the last quarterly Board update:

<u>Manager</u>	<u>Asset Class</u>	<u>Action</u>	<u>(\$millions)</u>	<u>Investment</u>	
				<u>Portfolio</u>	<u>Description</u>
Crow Holdings Realty IX	Real Estate	Hire	\$30	R, E	Value Real Estate
Winton	Portable Alpha	Fire	\$47	R, E	Quantitative Fund
Two Sigma Absolute Return	Portable Alpha	Hire	\$50	R, E	Multi Strategy
Garda FIRVO	Portable Alpha	Hire	\$90	R, E	Fixed Income Relative Value
DCVC Bio II	Private Equity	Hire	\$10	R	Venture Capital
Two Sigma Risk Premia	Risk Balanced	Hire	\$81	G	Quantitative Fund
Okapi Ventures IV	Private Equity	Hire	\$4	R	Venture Capital
Bridgewater All-Weather 12%	Risk Balanced	Hire	\$130	G	Risk Balanced Strategy
Bridgewater Optimal	Risk Balanced	Fire	\$135	G	Risk Balanced Strategy



August 20, 2020

To the Honorable David L. Steelman, Chair, Finance Committee
The Honorable Darryl M. Chatman
The Honorable Greg E. Hoberock
The Honorable Michael A. Williams

University of Missouri Board of Curators
316 University Hall
Columbia, Missouri 65211-3020

Verus is pleased to provide the University of Missouri Board of Curators with an overview of the market environment, an update on performance, and a summary of work done during the fiscal year ended June 30, 2020.

Market Environment

During the latter half of calendar year 2019, global economies generally exhibited moderate and positive economic growth, inflation remained mild, central bank policies were accommodative to further growth, labor markets had fully recovered from the Global Financial Crisis, and economic surprises were few. Risk assets delivered robust performance during the second half of the year.

Investors' main concerns in the market appeared to be around troubled U.S.-Chinese relations, the resulting trade conflict which could interrupt economic progress and corporate profits, and even the potential for military conflict. However, the relationship between the two superpowers was seemingly on a more conciliatory track. A series of meetings between the U.S. and Chinese officials culminated in a "phase one" deal addressing agricultural trade, intellectual property protections, and some loose agreements on how China would manage its currency.

In early 2020, the calm and relatively stable environment began to shift. A novel coronavirus, and the disease it causes (COVID-19), began spreading through Wuhan, the capital of China's Hubei province. Containment efforts were ineffective, and the virus continued to spread. By the end of July, the virus had infected over 17 million people in 213 countries and territories and resulted in over 660,000 deaths. The sudden impact of this global pandemic on economic activity and markets was unprecedented.

One of the most immediate effects of the forced closure of businesses around the world was an unparalleled shock to the global labor market. In the United States, approximately 10 million

workers applied for unemployment benefits in the last two weeks of March alone. The unemployment rate rose from a 50-year low of 3.5% in February to 14.7% in April—the worst level since the Great Depression.

Investor sentiment, which had been strong in the second half of 2019, fell severely in March and April as equity markets sold-off and workers (most prominently within the leisure and hospitality sectors) were told not to come to work. Consumers exercised a notable degree of fiscal conservatism, paying down their credit card bills and paring back their spending. Retail sales generally plunged and then recovered. Household savings rates jumped as high as 33% as spending slowed and government support replaced lost income.

U.S. real GDP contracted sharply during the second quarter, falling at a 32.9% annualized rate, and was down 9.5% over the twelve-month period ended on June 30th. The slowdown consisted of decreased consumer spending, exports, inventory investment, fixed investment, as well as state and local government expenditures. Federal government spending partly offset the deceleration. While significant, this shock to the economy was in line with revised forecasts.

The size and pace of the shutdowns resulted in central bank intervention on a massive scale. The U.S. Federal Reserve Bank cut its target range for overnight loans between banks to near-zero and dusted off a variety of liquidity facilities left over from the Global Financial Crisis to help calm markets. The Federal Reserve's balance sheet swelled from around \$4.7 trillion to \$7.2 trillion between the end of March and the beginning of June as the New York Fed's trading desk purchased massive amounts of U.S. Treasuries and mortgage-backed securities. Additionally, the Fed opened facilities allowing it to buy corporate debt through exchange traded funds.

The European Central Bank elected not to push rates further into negative territory as the pandemic hit. Instead, the ECB put together a €750 billion asset purchase program, which was eventually boosted in June to €1.35 trillion. The package will allow the ECB to keep borrowing costs low by buying bonds across jurisdictions until June 2021, or until it believes the crisis is over.

U.S. Equity

U.S. stocks led risk assets higher during the first half of the fiscal year, with the S&P 500 Index returning 10.9% over the six months ending in December. As COVID-19 began to course through the U.S. in the first quarter of calendar-year 2020, the index plunged 33.8% between February 19th and March 23rd before rebounding strongly in the second quarter. Due to the nature of the crisis, investors piled into mega-cap technology stocks, which powered the rise in both the S&P 500 and NASDAQ 100 indices. By the end of the fiscal year on June 30th the S&P 500 had reached 3,100—placing the index within 10% of the February high water mark of 3,386.

After this roller-coaster ride of historical proportions, the S&P 500 Index finished the fiscal year with a respectable 7.5% full-period return, outperforming both developed and emerging market equities (in U.S. dollar terms).

International Equity

By contrast, international developed market equities lagged behind US stocks during the first half of the fiscal year, with the MSCI World ex US Index posting a 6.9% return. The index then fell further than did the S&P 500 during the first quarter of 2020, and rebounded less strongly in the second quarter, thus finishing the fiscal year in negative territory (-5.4%, in dollar terms).

Similarly, the MSCI Emerging Markets Index returned -3.4% over the full fiscal year. China (MSCI China Index +13.1%) supported emerging market equity performance substantially, likely due to having moved into the recovery phase relatively quickly. Additionally, massive intervention from the People's Bank of China and the tech-concentration of the Chinese equity universe provided further support. More broadly, the Asian segment of the emerging markets complex (MSCI EM Asia +4.9%) diverged materially from the Latin American component (MSCI EM Latin America -32.5%). While some of the divergence was driven by differences in sector composition, Latin American emerging markets faced much more significant currency depreciation relative to the dollar—an important story during the first half of the year. The J.P. Morgan Emerging Market Currency Index, a basket of ten emerging market currencies, depreciated roughly -14% relative to the dollar, presenting material headwinds for U.S. investors in emerging market equities.

Fixed Income

Bonds rallied for much of the fiscal year, and ten-year Treasury yields fell from 2.01% to 0.66%, establishing fresh all-time closing lows of 0.54% along the way. Holding duration in portfolios provided a significant downside ballast during the crisis. The Bloomberg Barclays Long Duration Treasury Index returned 25.4%, topping the fixed income performance table over the one-year period. The rally in European sovereign bonds was more muted, as yields had less room to fall and the ECB preferred not to push their main deposit rate below -0.50%. Japanese government bonds largely moved sideways as the Bank of Japan left its yield curve control policy unchanged and continued to manage 10-year Japanese government bond yields within 20 basis points of its 0.00% target.

Credit spreads jumped considerably in the first quarter of 2020, leading to poor performance in credit over the quarter. On March 23rd, the option-adjusted spreads of the Bloomberg Barclays Aggregate Corporate and Corporate High Yield indices topped out at 3.73% and 11.00%, respectively. From a sector perspective, stress in the energy market exacerbated the blowout in spreads as concerns over the crude oil outlook worked their way into debt pricing. In the second quarter, however, as corporate credit facilities announced by the Fed in March became

operational, spreads fell—back down to 6.26% for high yield credit and 1.50% for investment grade credit—resulting in a performance comeback. Over the fiscal year, investment-grade credit posted performance of 9.5% while high-yield credit underperformed, returning 0.0%.

Local-currency denominated emerging market debt (J.P. Morgan GBI-EM Global Diversified Index -2.8%) underperformed risky U.S. credit, while dollar-denominated emerging market debt (J.P. Morgan EMBI Global Diversified Index +0.8%) fared slightly better.

Outlook

As noted above, U.S. Treasury yields moved closer to zero in 2020, and this has reignited an ongoing discussion around the extent to which this dynamic will affect the pricing of risk assets. As expected, aggressive monetary actions lifted equities and compressed credit spreads. However, corporate earnings have fallen materially as a direct response from COVID. If earnings do not recover to prior levels within a reasonable time period, investors may begin to question current elevated multiples.

The generationally low interest rate environment will also dampen future expected returns as the cash returns is an important component of embedded risk premiums. This means investors will have to accept greater volatility in their investments to earn the same expected results that have been experienced in past periods. These concepts will be further explored during our pending asset-liability studies for the University of Missouri System.

Plan Performance¹

Total return over the fiscal year was slightly positive for the Retirement Plan at 0.6% (net of fees), and a slightly more positive for the Endowment Pool at 1.2% (net).

These results underperformed their respective policy benchmarks by 250 bps for the Retirement Plan and 180 bps for the Endowment Pool. The primary factor behind the underperformance relative to policy is the alpha program which primarily consists of hedge funds designed to outperform cash rates. The unique nature of this year's crisis combined with an unprecedented response from policymakers created a particularly challenging environment for hedge fund strategies. The negative impact of which was experienced by many institutional investors during this fiscal year.

Notwithstanding the adverse results of the alpha program, the beta exposures designed to minimize losses during adverse environments performed in line with expectations during the fiscal year. The beta exposures protected asset values relative to more aggressively invested peers during Q3 of the fiscal year while lagging their results during Q4 when risk assets surged. Public equity, private debt, risk-balanced, and real estate all outperformed their respective benchmarks while private equity, sovereign bonds, and commodities lagged.

The long-term (10-year) results of both portfolios remain in line with University objectives, with the Retirement Plan earning 7.3% (net) and the Endowment Pool returning 7.9% (net). These results are consistent current 7.2% discount rate for the Retirement Plan and the real return objectives of the Endowment Pool.

Plan Activity

Verus collaborated with System staff on a number of projects during the fiscal year. These included reviews of the Commodities, Private Markets, and the Portable Alpha programs. We helped to modestly restructure the alpha program to capitalize upon greater conviction opportunities and implement strategic investments within private markets. Verus also collaborated to help design an investment strategy and dimension the risks associated in the implementation of an improved dividend policy for the University's General Pool.

Our ongoing work also involved the early steps of the asset-liability study, which is particularly timely given the significant changes in market conditions and the recent closure of the Retirement plan to new membership. The closure of a defined benefit plan usually leads to a gradual evolution of the risk level and liquidity structure of the associated pension fund. We look forward to completing the asset-liability study in the 2021 fiscal year.

We at Verus value our relationship with the University of Missouri and we appreciate the privilege of working with the Board and staff in designing policies and supporting decisions aimed at meeting the University's investment objectives. We remain confident in the direction of the portfolios given the University's unique objectives, its fiscal strength, and its well-designed investment strategies. We look forward to continuing our partnership as we navigate ever-changing capital markets.

Sincerely,



Jeffrey J. MacLean
Chief Executive Officer

cc: Members of the University of Missouri Board of Curators

¹ Rates of return are net of fees and based on calculations made by the System's custodian, Northern Trust, and are presented using a time weighted rate of return methodology based upon fair value.

University of Missouri System
Board of Curators
Finance Committee

FY2020 Investment Performance Review
UM

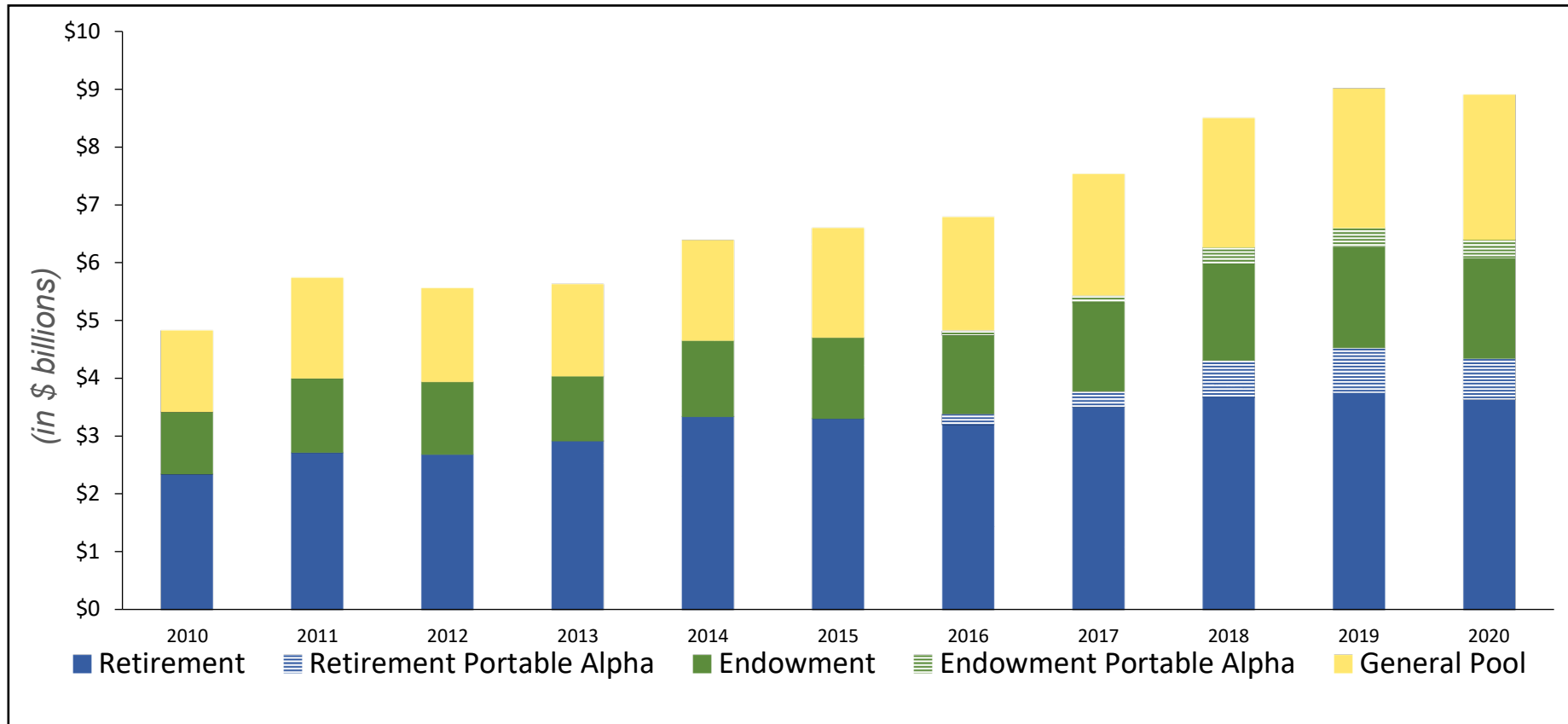


General Investment Consultant

- Verus: Founded in 1986; 87 employees; 30 shareholders; 154 clients with \$401 billion in assets under advisement; offices in Seattle, San Francisco, Los Angeles and Pittsburgh.
- The University's consulting team continues under the leadership of Verus Chief Executive Officer Jeffrey MacLean.

Investment Office

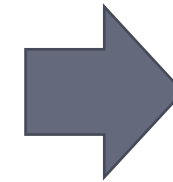
The Investment Office of the University of Missouri System is responsible for the management and oversight of the University's Retirement Plan, Endowment Pool and General Pool investment portfolios, in accordance with the University's Collected Rules and Regulations.



Overall Focus of Asset Allocation

(approved by the Board of Curators – September 2017)

- Reduced public equity allocation
- Reduced credit risk exposure
- Increased US TIPs and US Treasuries
- Expanded portable alpha program



Improved portfolio balance and reduction in risk



Peer Risk – Our portfolios may underperform relative to peers in times of strong economic growth / sustained public equity bull markets.

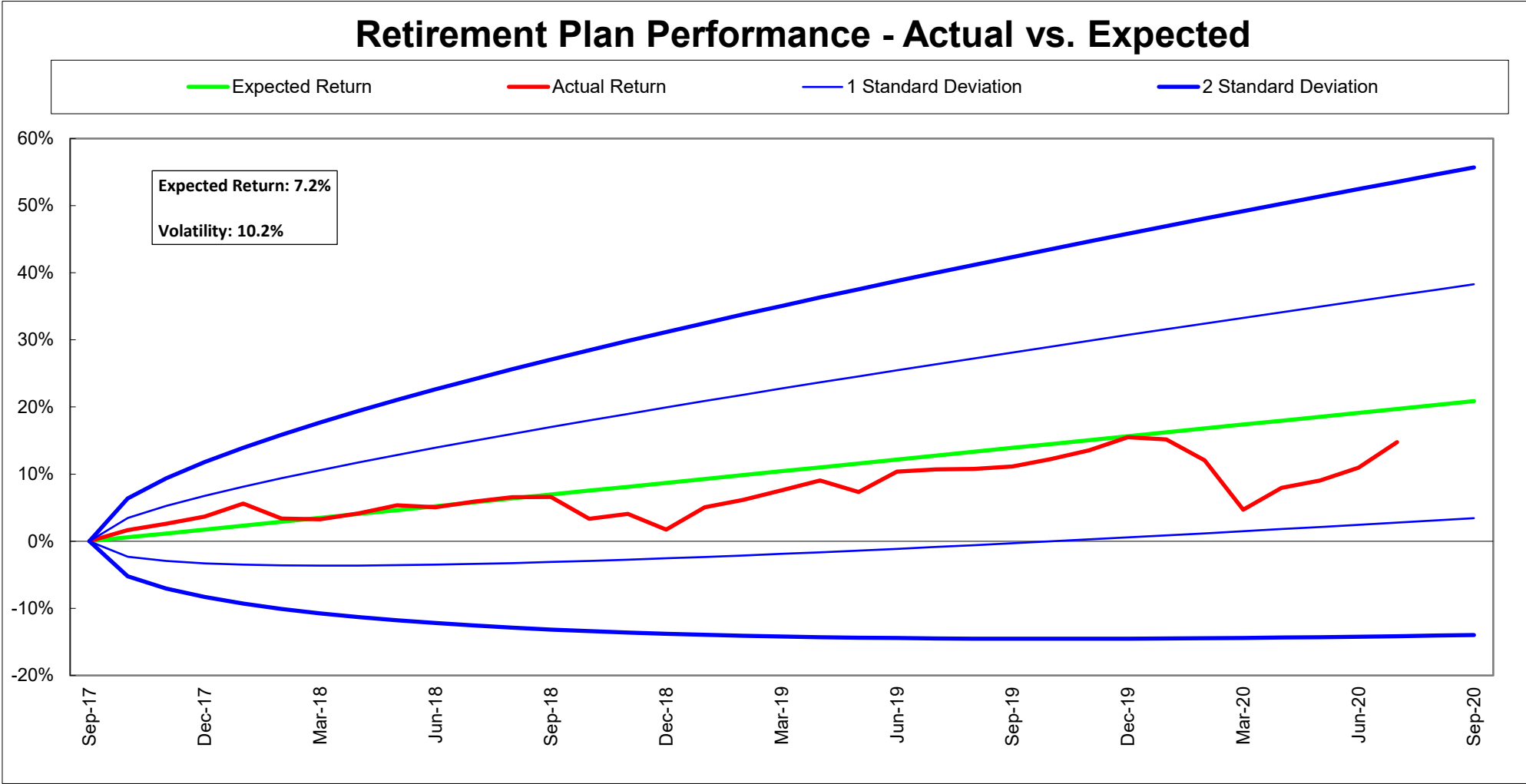
Tale of Two Quarters

	Q1 2020	Q2 2020
Global Equities - MSCI ACWI	(21.4%)	19.2%
Retirement Plan*	(10.2%)	6.5%
Median Peer	(13.8%)	13.2%
Performance Relative to Peers	Top Decile	Bottom Decile

**Results for Endowment Pool significantly similar*

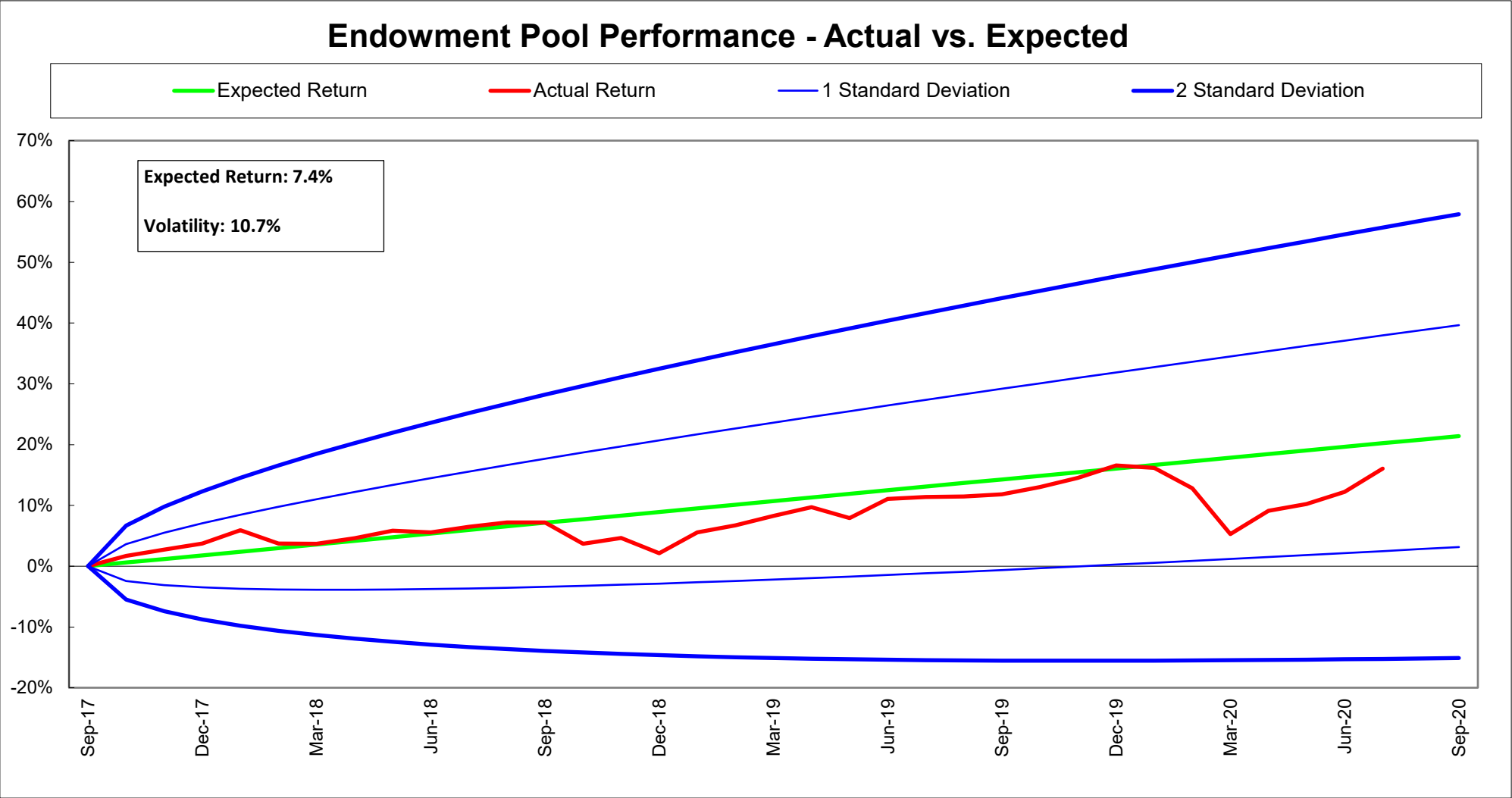
In the context of our asset allocation policies, the results of both quarters relative to peers would be considered consistent with expectations. The unusual, nearly unprecedented feature of this event is that these two extreme quarters occurred back to back. The Federal Reserve's rapid and massive response reflat the financial markets, providing cover to market participant's risk taking (the "Fed Put").

Progress Toward Investment Objectives



*Through July 31, 2020

Progress Toward Investment Objectives



*Through July 31, 2020

Summary of FY20 Activity

(As of June 30, 2020 – in \$ thousands)

	Beginning Balance	Contributions or Gifts	Benefits or Distributions	Investment Income	Ending Balance
Retirement Plan	\$3,749,000	\$135,000	(\$266,000)	\$12,000	\$3,630,000
Endowment Pool	\$1,743,000	\$47,000	(\$80,000)	\$22,000	\$1,732,000

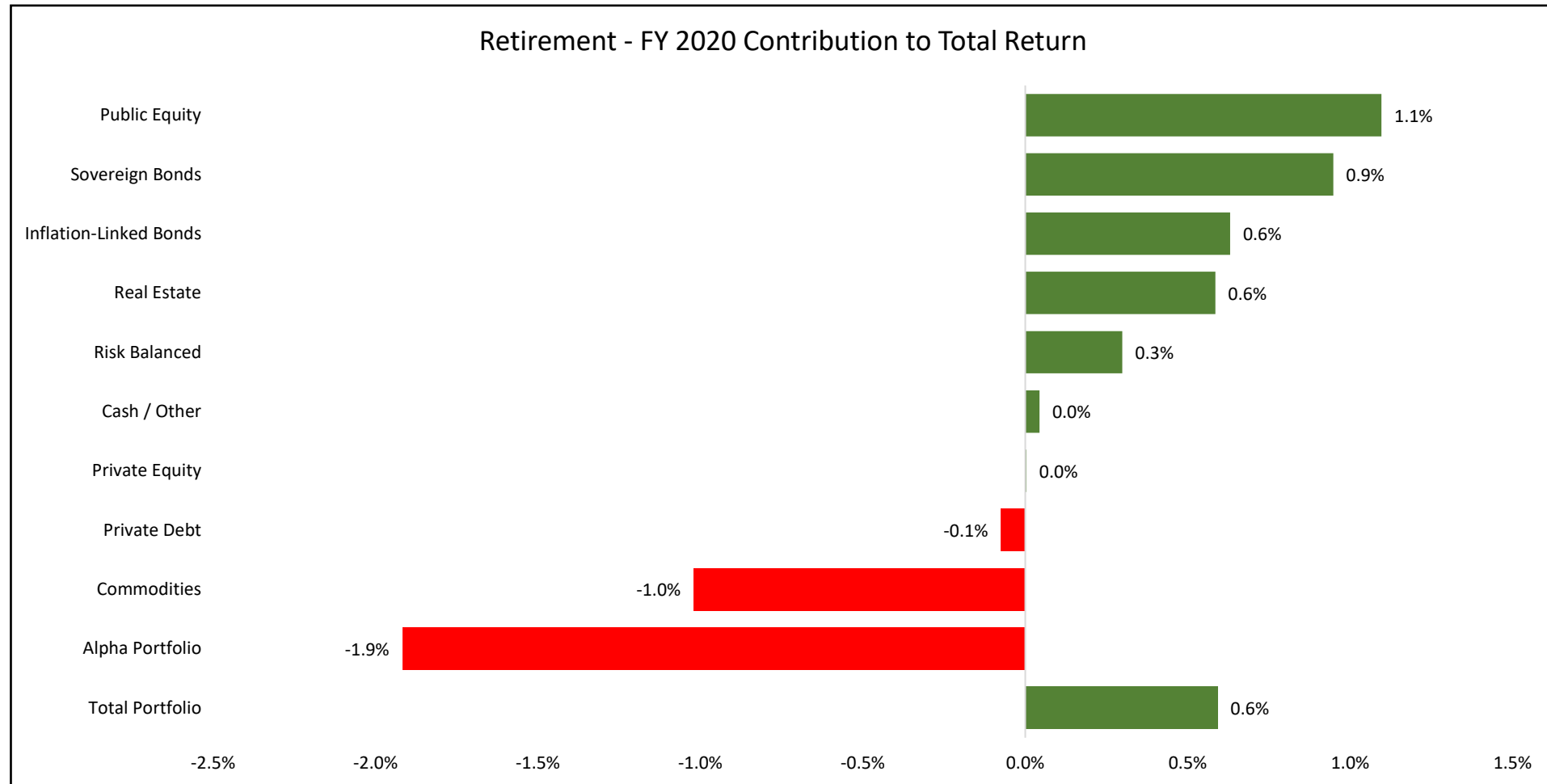
The spending policy for the Endowment Pool is based on a 28-quarter market value average, which provides stability in distributions even in times of market volatility.

One Year Returns by Asset Sector

(as of June 30, 2020)

	Retirement Plan			Endowment Pool		
Asset Sector	Actual	Benchmark	Variance	Actual	Benchmark	Variance
Public Equity	3.1%	2.1%	1.0%	2.8%	2.1%	0.7%
Private Equity	0.4%	3.1%	(2.7%)	2.4%	3.1%	(0.7%)
Sovereign Bonds	7.9%	10.4%	(2.5%)	7.8%	10.4%	(2.6%)
Inflation-Linked Bonds	4.2%	5.7%	(1.5%)	4.2%	5.7%	(1.5%)
Private Debt	(0.7%)	(2.0%)	1.3%	0.1%	(2.0%)	2.1%
Risk Balanced	3.1%	(3.0%)	6.1%	3.3%	(3.0%)	6.3%
Commodities	(18.8%)	(17.4%)	(1.4%)	(18.3%)	(17.4%)	(0.9%)
Real Estate	8.5%	3.9%	4.6%	8.7%	3.9%	4.8%
Total Beta Portfolio	2.5%	3.1%	(0.6%)	2.9%	2.9%	0.0%
Alpha Portfolio	(9.2%)	-	(9.2%)	(8.8%)	-	(8.8%)
Total Portfolio	0.6%	3.1%	(2.5%)	1.2%	2.9%	(1.7%)

One Year Contribution to Total Return



**Results for Endowment Pool significantly similar*

Longer-Term Returns

(as of June 30, 2020)

	Retirement Plan		Endowment Pool	
	Actual	Benchmark	Actual	Benchmark
5 Year	5.2%	5.4%	5.9%	5.8%
7 Year	6.1%	6.4%	6.8%	6.9%
10 Year	7.3%	7.6%	7.9%	8.1%

Most recent one year benchmark underperformance of 2.5% and 1.7% in Retirement and Endowment, respectively, has adversely impacted these longer-term results. Performance to benchmark will normalize over time.

General Pool - Portfolio Returns

(Year Ended June 30, 2020)

	Mix 6/30/20	March 2020	April – June 2020	One Year	July 2020
Liquidity Portfolio	33%	0.3%	0.0%	1.8%	0.0%
Core Portfolio	49%	(6.9%)	5.4%	1.5%	1.5%
Strategic Portfolio	18%	(7.8%)	5.7%	(6.0%)	3.8%
Total General Pool	100%	(4.7%)	3.7%	0.2%	1.41%

All aspects of the General Pool performed within expectations, including the inherent risk management mechanisms. March 2020 losses were largely attributable to unrealized losses which have since largely reversed. Liquidity remained robust throughout the COVID-19 market crisis. The larger concern going forward is the drag on earnings potential due to Liquidity Portfolio expected returns in light of near 0% cash rates.

Retirement Plan Guidance – Plan Year End

Actuarial calculations utilize an investment return assumption of 7.20%, measured each year at September 30th

Quarterly Performance for the Year Ended June 30, 2020		Estimated Performance for the 10 Months Ended July 31, 2019	
September 30, 2019	0.8%		
December 31, 2019	4.5%	December 31, 2019	4.5%
March 31, 2020	(10.2%)	March 31, 2020	(10.2%)
June 30, 2020	6.5%	June 30, 2020	6.5%
Annualized Return	0.6%	July 31, 2020	3.9%
		10 Months through July 31, 2019	3.7%

Initiatives – Fall 2020

Asset Allocation Modeling - Retirement and Endowment

- Review risk tolerances for each portfolio, including portfolio risk positioning relative to peer public pensions and endowments
- Review investment return assumptions and corresponding impact on pension contribution requirements

Peer benchmarking of fees/costs, inclusive of investment management fees, legal, consulting and internal staffing.

Questions?

FY 2020 Financial Status Report
UM

At the September 15 Finance Committee Meeting of the Board of Curators, Vice President Ryan Rapp will present the annual financial status report, reflecting on the University's performance for Fiscal Year 2020. The report will include an update on the University's overall financial position along with a breakdown of performance across business units. The report contained within remains preliminary and unaudited with outstanding items remaining in the valuation of investments and benefit liabilities. The Board will receive copies of the financial statements for the University when complete in October.

UNIVERSITY WEATHERS FIRST YEAR OF PANDEMIC

COVID-19 presented the University with significant operational changes and related financial impact. The University's leadership team focused on mitigating the impact on financial performance while maintaining the University's mission.

The pandemic created revenue disruption across nearly every major operating funding source. Prior to the pandemic, the University projected operating revenues to grow slightly over prior fiscal year. This growth was primarily driven by Healthcare revenues. Beginning in March, operating revenues significantly declined as the University depopulated campus and canceled elective healthcare procedures. From March through June auxiliary enterprises and patient medical services declined by \$37M and \$42M, respectively, compared to the same period the prior year. The auxiliary enterprise decline was a result of loss sales due to the depopulation of campus and student refunds for housing and activity fees. During this same period the State withheld \$55M in appropriations to the University.

Table 1: Change in revenue driven by Pandemic

	July - December		January - June	
	YoY Change		YoY Change	
Auxiliary Enterprises	\$5M	2%	\$(38)M	-24%
Patient Medical Services Net	\$43M	7%	\$(34)M	-5%
State Appropriations	\$5M	2%	\$(49)M	-24%
Total	\$53M	5%	\$(121)M	-12%

In response to the adverse financial impact on the University, the following actions were put into place as of March 27, 2020.

- A hiring and promotion freeze
- A freeze on raises, including merit raises
- Temporary salary reductions for some administrators, faculty and staff
- A freeze on non-essential capital spending and real estate purchases
- Limits on travel and food purchases

September 24, 2020

Table 2: Change in expenses after onset of Pandemic

	July - December YoY Change		January - June YoY Change	
Academic Enterprise:				
Salaries and Wages	\$21M	4%	\$10M	2%
Benefits	\$8M	5%	\$8M	4%
Supplies Services and Other	\$12M	2%	\$(70)M	-24%
Total	\$41M	4%	\$(52)M	-5%
Healthcare Enterprise:				
Salaries and Wages	\$8M	5%	\$2M	1%
Benefits	\$3M	6%	\$2M	3%
Supplies Services and Other	\$14M	6%	\$4M	2%
Total	\$25M	5%	\$8M	2%

These actions taken by the University were a necessary first step to manage through the crisis. The four universities decreased 4th quarter non-personnel spending by 28% when compared to prior fiscal year.

Initially focused on depopulating campus and maintaining pay, the majority of the focus on staffing has shifted towards right sizing personnel spend as the new revenue realities become clear. Early actions focused primarily on dealing with the one-time impacts of the shutdown, with furloughs and temporary pay reductions utilized to buy time in decision making and preserve the human capital resources necessary to bring students back to campus in the fall. Most of these actions were executed in the latter part of FY2020 and the early part of FY2021, slowing the University's ability to realize cost savings.

Table 3: Staffing Actions since onset of Pandemic

	MU	UMKC	UMSL	S&T	System	MUHC	Total
Vacancy Elimination	510	47	15	69	29	50	720
Layoff	151	38	57	34	24	64	368
Short-Term Furlough	1,791	119	46	48	92	1,623	3,719
Long-Term Furlough	259	9	107	30	3	8	416
Temporary Pay Decrease	1,485	955	793	13	52	902	4,200

Note: Short-term furloughs represent less than one week of unpaid time. Long-term furloughs are unpaid time which is longer than a week however employees are able to use vacation/personal balance until it runs out.

These actions impacted a large subset of the 27,500 employees that work for the University and resulted in 368 of permanent layoffs to create savings. Throughout the remainder of the FY2021, the University will continue to focus on the size of the workforce and make adjustments its workforce to deal with the lasting impacts of the pandemic. The University will also look to change the programs that maintain pay following separations, as these programs resulted in a draw down on reserves that will not be sustainable for another fiscal year. The plans for a possible second disruption are outlined in the “Downside Risk Still Remains” section below.

STRONG BALANCE SHEET HELPS WEATHER STORM

The University’s one-time actions coupled with the government support from the CARES Act and spring debt issuance allowed the University to maintain a stable spendable cash balance. Cash and Investment balances are the key to a healthy balance sheet in higher education. Higher education institutions have a relatively long business cycle driven by the length of time to degree and relatively firm salary commitments. Within these constraints, significant liquid resources allow institutions to adapt to changes in the operating environment, as highlighted by the recent pandemic.

Figure 1: Trend in Cash and Investments

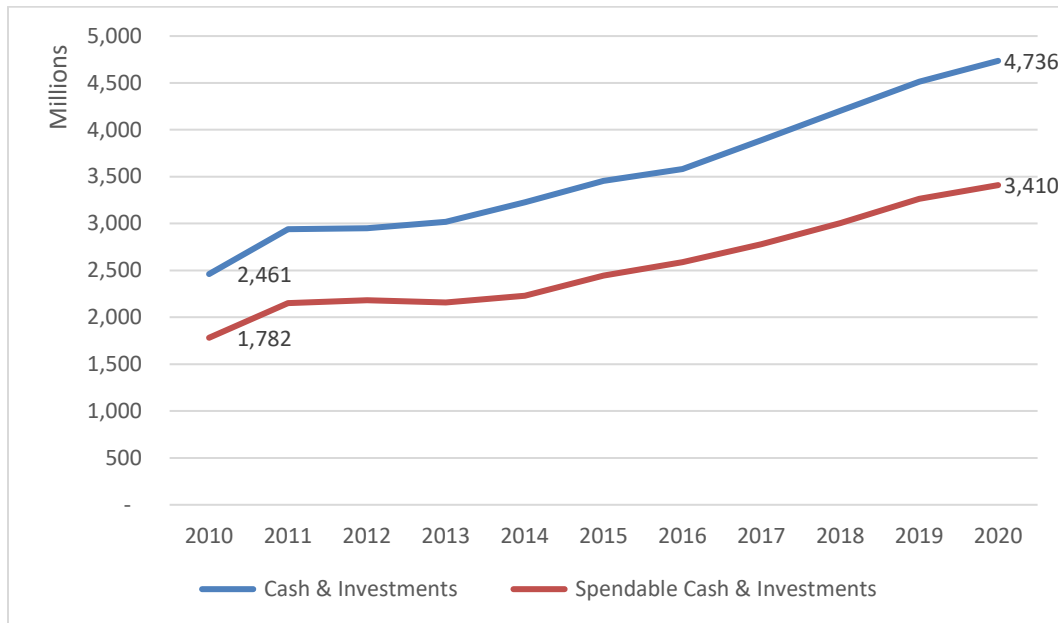


Figure 1 demonstrates the trend in both cash and investments and spendable cash and investments. Permanently endowed gifts represent the difference between total cash and investments and spendable cash and investments. Spendable cash and investments represents usable reserves, as endowment balances are permanently restricted and generally cannot be used for operating needs. Many of the ratios that follow utilize spendable cash and investments for this reason.

The University grew spendable cash and investments by \$146 million in FY2020, with the majority of this growth accounted for with the University’s March debt issuance to finance the Precision Health Initiative and additional working capital. The additional debt amounted to \$124 million in growth in cash for FY2020 much of which will be spent on Precision Health over the coming year. In addition, the University received another \$48 million from the CARES act that further replaced cash spending that increased from the pandemic. In addition to the \$48M covered by the CARES act, the academic units spent \$86 million in cash reserves during the pandemic to fund operations. This level of spending will not be sustainable if a second revenue disruption occurs.

Another key element of the balance sheet is capital assets and the related debt that funds those assets. Capital assets represent the long-term infrastructure of the institution and are recorded at historical cost and depreciated over their expected useful lives.

Figure 2: Capital Assets and Debt 10-year History

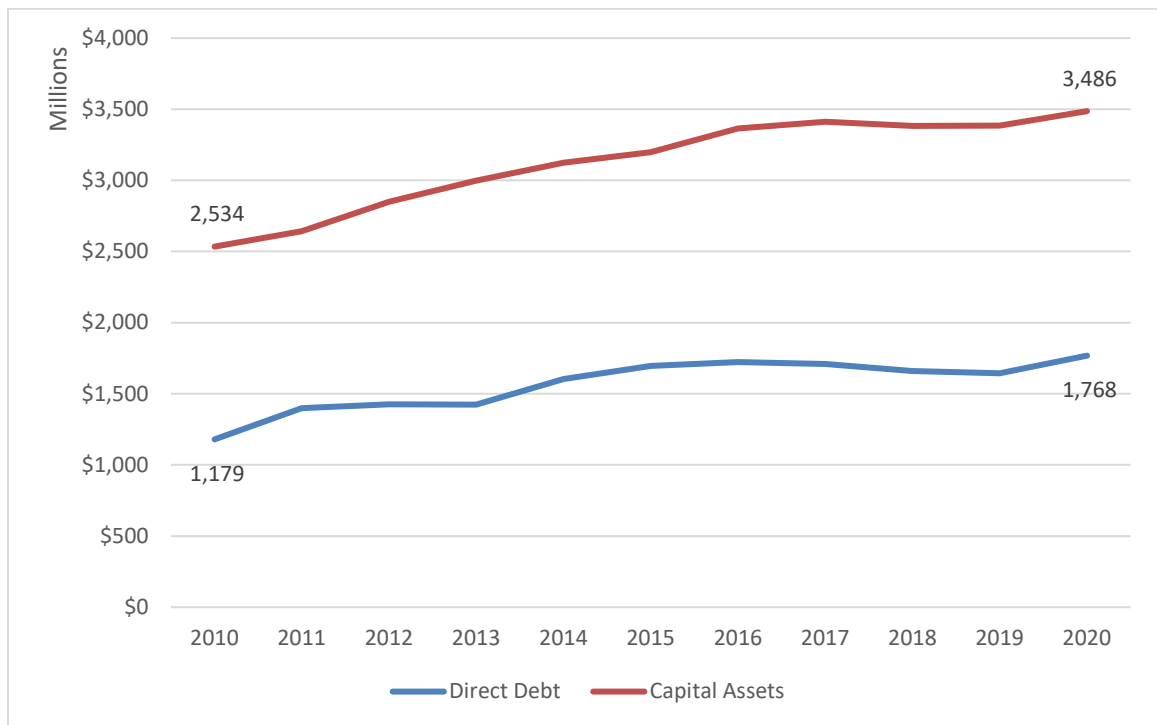
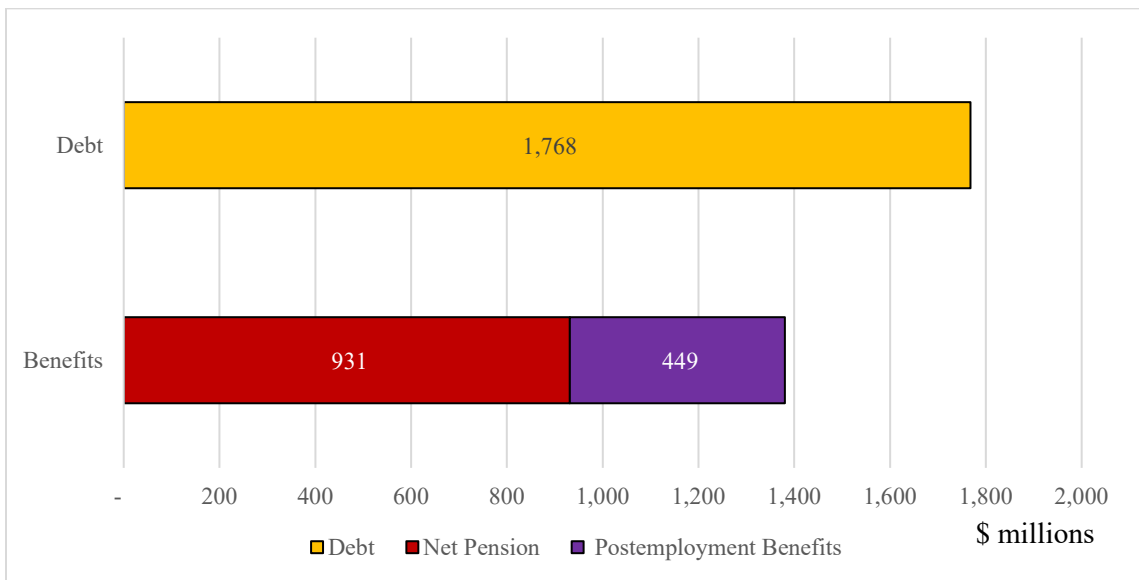


Figure 2 demonstrates capital assets have not grown since FY2016 and related debt growth stopped a year earlier in FY2015. In 2020, both debt and capital assets grew slightly with the addition of the Precision Health Institute. The flattening of both debt and capital investment over the past five years is contrary to the industry trend noted Moody’s annual report. The report notes higher education capital assets grew by an average of 4.5% annually from 2014 to 2018 and related debt grew by 3.7% annually over the same period. For the University, these growth numbers were 2.0% for capital assets and 0.9% for debt on slowed growth in building of capital assets and issuance of debt. This trend slightly increased as the University issued \$590 million in System Facilities Revenue Bonds this spring. \$175 million of the bond proceeds represent new money to be used to finance the

Precision Health Institute and provide flexibility in liquidity through the crisis. The remainder of the bond proceeds refunded all or a portion of System Facilities Revenue Bonds, Series 2009B, 2011, and 2014A and refinancing all of the outstanding Commercial Paper Notes.

Benefit-related liabilities represent a major commitment on the University's balance sheet. These liabilities are not new. However, their inclusion on the financial statements is relatively new, only coming within the past five years. The commitments to future payments in the form of post-employment pensions and benefits represent a significant future commitment for public universities.

Figure 3: Benefit Liabilities



Note: As of mailing date, the University has not finalized the rollforward of the pension liability to 6/30, so numbers represent the liability as of 10/1/2019. The final amount reported on the balance sheet will differ slightly from the presentation in figure 3, as the actuarial report was not finalized as of the date of the mailing.

As demonstrated in Figure 3, the University's pension and post-employment benefits represent significant commitments; pension and post-employment net liabilities are only 20% less than the total amount of bonds outstanding.. This is similar to the industry average, as many higher education institutions have similar outstanding commitments. In order to curb the growth of these commitments, the University took significant action and closed both its pension and post-employment benefit plans. However, these liabilities will remain significant into the future as pension commitments represent commitments to pay employees throughout their lifespan. Even with the plan closure, the pension will remain a significant commitment over the coming decades.

Figure 4: Net Position by Type

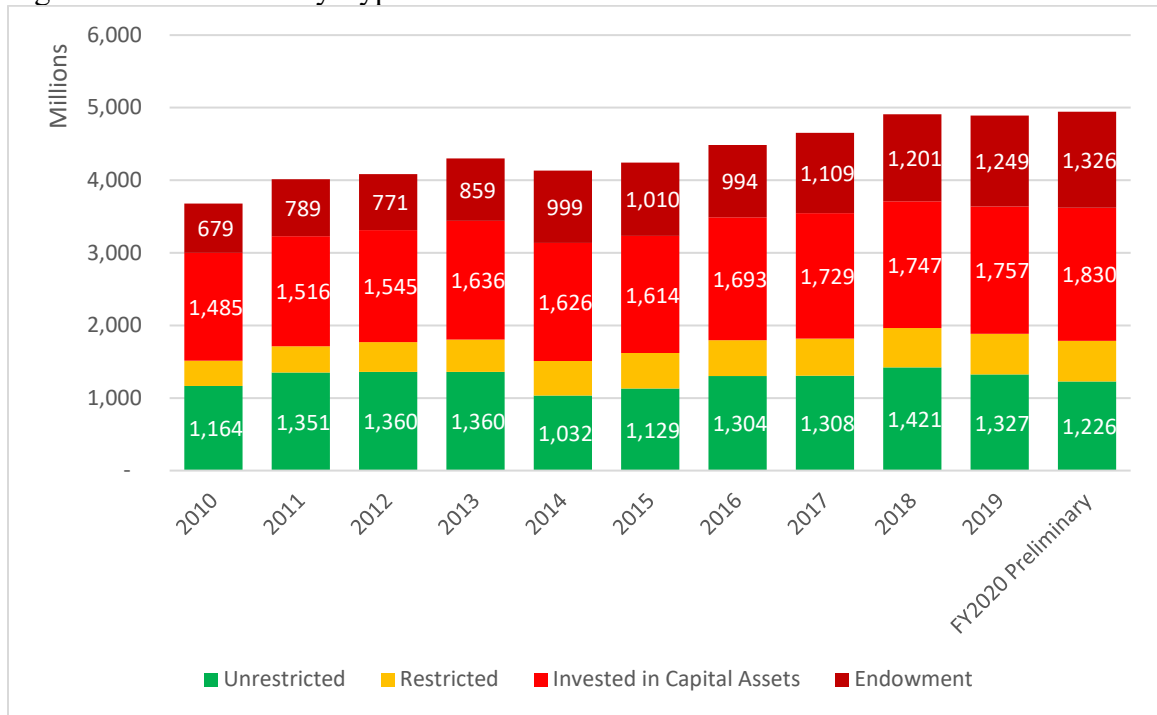


Figure 4 outlines the University’s net position (equity) by restriction type, as presented for governmental accounting purposes. The categories demonstrate that a significant portion of the University’s net position is inaccessible for operating purposes, such as \$1.3 billion in the endowment and \$1.8 billion invested in capital assets such as building, land and equipment. The University’s unrestricted net position declined for the second straight year, largely driven by the operating losses incurred from the pandemic.

New Accounting Standard

In FY 2020, the University implemented *Governmental Accounting Standards Board Statement No. 84 “Fiduciary Activities.”* The statement requires governmental entities to report fiduciary activity as part of the University’s financial statements if the University has control over the fiduciary’s assets as well as administrative oversight for funds benefiting individuals. Examples of fiduciary funds include related entities such as the MU Law School Foundation, MU Alumni Association, and the MU Medical School Foundation. This accounting standard impacts the Statement of Net Position by eliminating a \$96 million liability from “Funds Held for Others”. Each fiduciary fund is reclassified based on the nature of the operation. The majority of the reclassification increased “Nonexpendable Net Position” as many of the related entities hold large endowment balances.

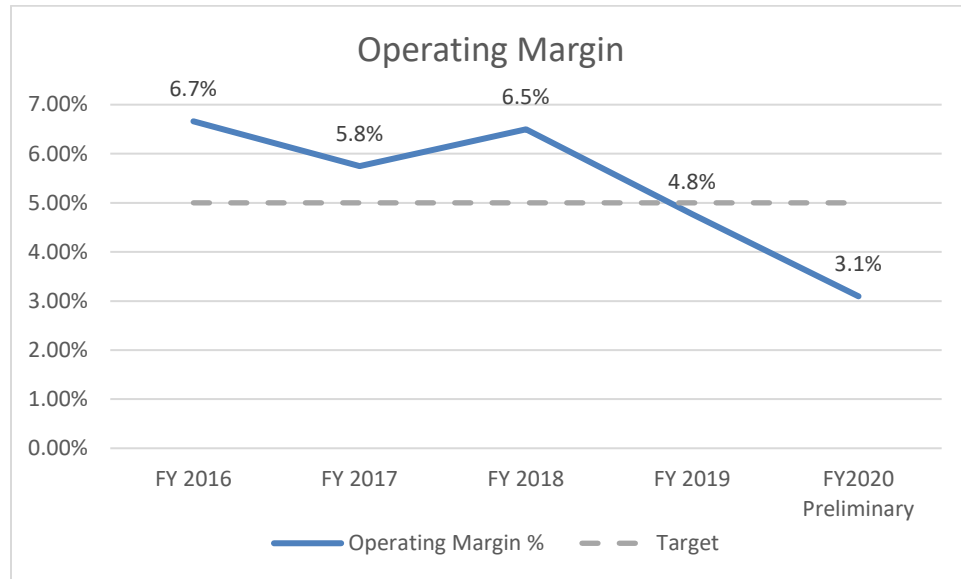
FINANCIAL PERFORMANCE BY UNIT

The financial performance metrics in this section represent the key metrics the University utilizes to monitor financial performance. These are the same metrics utilized by rating

agencies and are the same metrics which were presented to the Board as a part of the five-year financial plan and FY2021 operating budget.

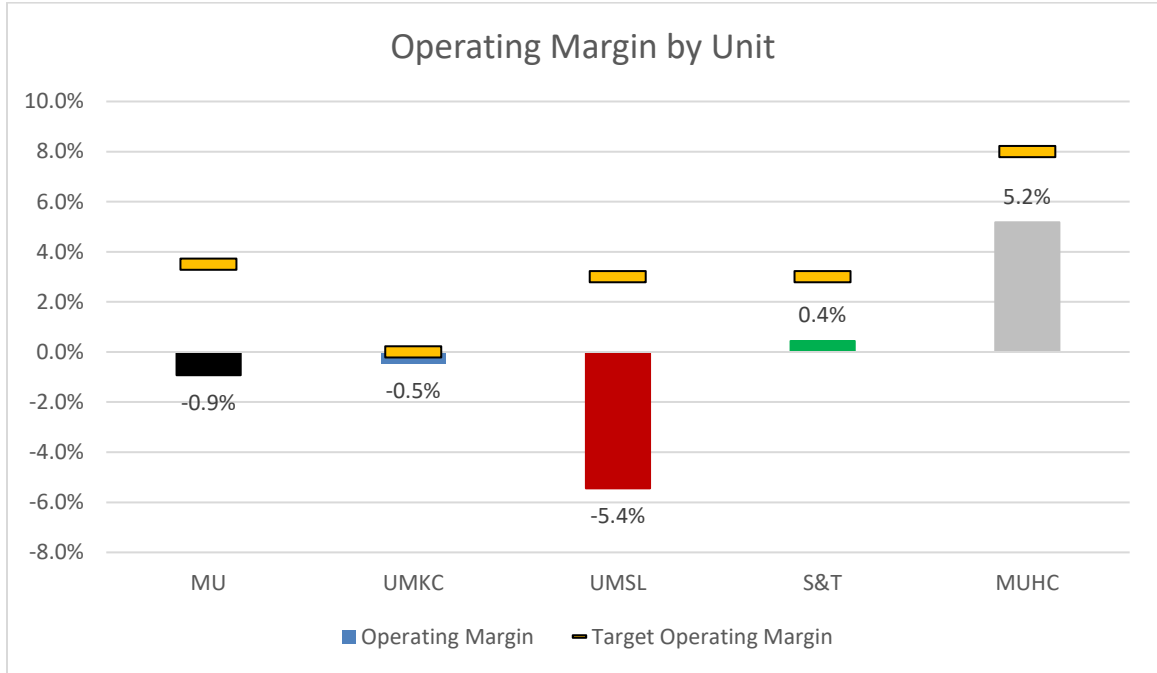
Operating Margin demonstrates management’s ability to adjust expenditures within revenues received in an annual period. Operating margin generally shows management’s ability to control financial performance within the annual planning cycle. A positive operating margin provides the University with resources to support operations and invest in future mission-based activities.

Figure 5: Operating Margin Trend – Consolidated



The University’s operating margin declined from 4.8% in FY2019 to 3.1% in FY2020. This decline is due to revenue disruption created by the pandemic, discussed further below. The mitigating actions put into place by the University and stabilization funding provided by the CARES Act prevented a steeper decline in operating margin.

Figure 6: Operating Margin by Business Unit



Together, MU and MU Healthcare represent 73% of the total revenues for the University of Missouri Enterprise. As such, their financial performance on operating margin drives the consolidated total.

MU’s operating margin declined in FY2020. MU and the other universities experienced a late withhold in state appropriations and loss in auxiliary revenues due to the depopulation of campus and student refunds for housing and activity fees. The expenses in the auxiliary operations such as housing, dining, and the rec center are capital intensive with a heavy debt burden, making cost difficult to move away from quickly. MU was successful in reducing non-personnel cost, cutting monthly expenses of \$23 million down to \$18 million per month over the last three months of FY2020.

MU Healthcare operating margin experienced a decline from prior fiscal year, but maintained a positive operating margin. In the months of March through May, MU Healthcare reported on average a \$12 million per month revenue decline but ended the year with strong volumes in June, as demand for elective procedures rebounded.

Highlights on operating margin from the other three business units include:

- **UMKC:** operating margin remained below breakeven but continued improvement over the prior year. UMKC was the only university to report a positive growth in net tuition and fees, which was attributed to rate increases in specific programs with market demand. Similar to MU, UMKC reduced non-personnel cost, cutting monthly expenses of \$9 million per month down to \$6 million per month over the last three months of FY2020.

- Missouri S&T: operating margin declined over the prior year due to enrollment declines and the pandemic. To start FY2020, S&T saw an enrollment decline of over 500 students. The FY2020 budget process identified savings to offset lost revenues, but these savings took some time to implement during the year. The addition of the pandemic further eroded S&T's margins to near a breakeven level. S&T was the only academic business unit that broke even in FY2020.
- UMSL: experienced a decline in operating margin driven by weak revenues coupled with slight growth in compensation expenses. Over the past 5 years, UMSL experienced consistent declines in enrollment, necessitating further expenditure reductions. Without an ability to turn around the consistent pattern of falling enrollments, UMSL will need to continue with deeper cost reductions.

Compensation accounts for over half of the total operating expense. Compensation increased over FY2019 in every unit but Missouri S&T. Missouri S&T's reductions were largely due to their response to an enrollment drop and addressed via the FY2020 budget process in the spring of 2019. Compensation reductions due to the pandemic did not begin until May and many of the actions taken were one-time in nature, such as furloughs or temporary pay decreases, as noted in Table 3 above. Many of the personnel actions did not have a material impact on FY2020. The University's leadership team will continue to evaluate the ongoing impact of the pandemic on revenues and respond with appropriate expense management as a part of the quarterly budget adjustment process.

Each business unit's operating margin performance missed target for FY2020. The onset of the pandemic had a significant impact on financial performance, quickly shutting off key sources of revenue. However, the pandemic masks trends in financial performance and the trajectory of each unit prior to the onset. Each business unit had a different financial footing and history of performance prior to the onset of the pandemic, but the pandemic accelerated the realization of environmental pressures on higher education. The following table demonstrates the movement of each unit's operating margin performance across time over the course of FY2020:

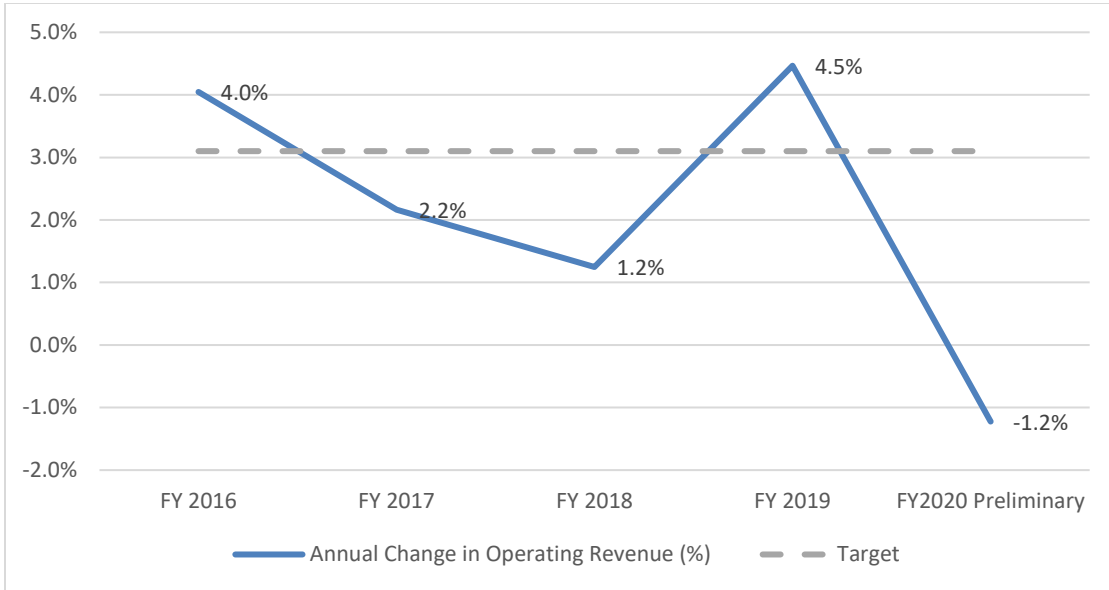
Table 4: Operating Margin Projections for FY20

	FY2019 Actual	FY2020 Budget	FY2020 Projections as of			Target
			December	March	Current	
MU	1.1%	2.4%	1.4%	-1.4%	-0.9%	3.5%
UMKC	-3.3%	-2.1%	-2.7%	-1.7%	-0.5%	0.0%
UMSL	-1.1%	3.4%	-0.9%	-2.4%	-5.4%	3.0%
S&T	5.3%	1.2%	4.3%	-1.4%	0.4%	3.0%
MUHC	8.4%	7.1%	6.8%	4.3%	5.2%	8.0%

Operating Revenue Growth serves as the foundation to future financial health of the University. Revenue growth above inflation provides additional funds to invest in

programs and facilities, enhancing the University’s long-term competitive position. Strong revenue growth allows organizations to expand and deliver upon a broader mission.

Figure 7: Operating Revenue Growth Trend



NOTE: Operating revenue growth has been adjusted for smoothing of investment income for the consolidated level, similar to the operating margin.

Prior to the pandemic, operating revenue growth remained close to the credit median average, with a stronger than median increase through FY2019. For FY2020, the University projected revenue growth of 1-2% based upon performance through the first six months of the year. The onset of the pandemic drove approximately \$170 million in losses of state appropriations, auxiliary revenues, and patient service revenues. These declines were partially offset by \$48 million in one-time funding from the federal government from the CARES Act. Going forward, the key drivers of revenue growth for the academic units will continue to be enrollment as the number of students primarily drives tuition and auxiliary services (housing, dining, parking, etc.) on campus along with new tuition pricing models and philanthropy.

Figure 8: Revenues by Business Unit

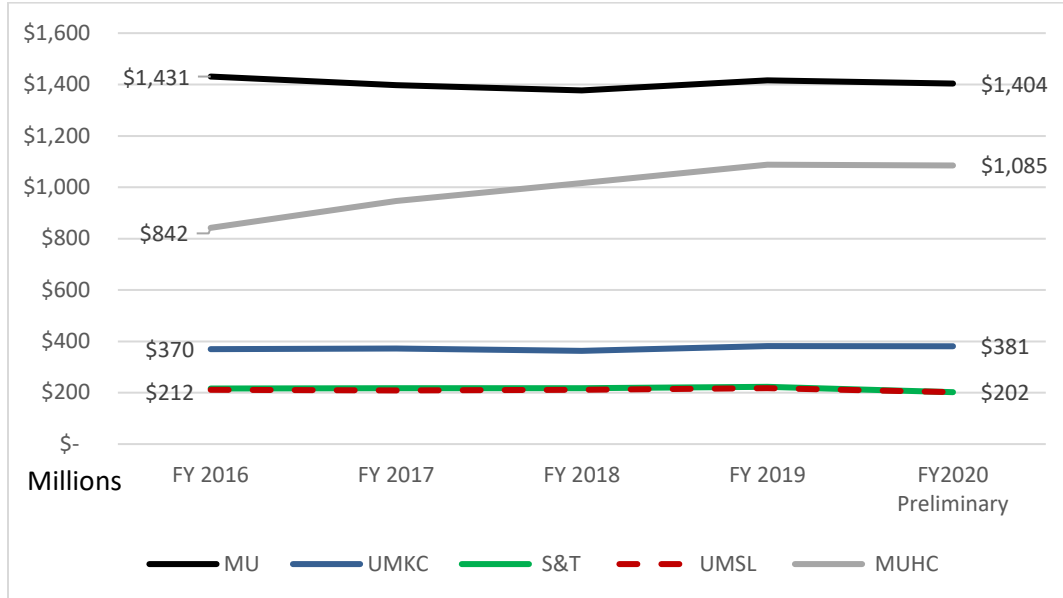
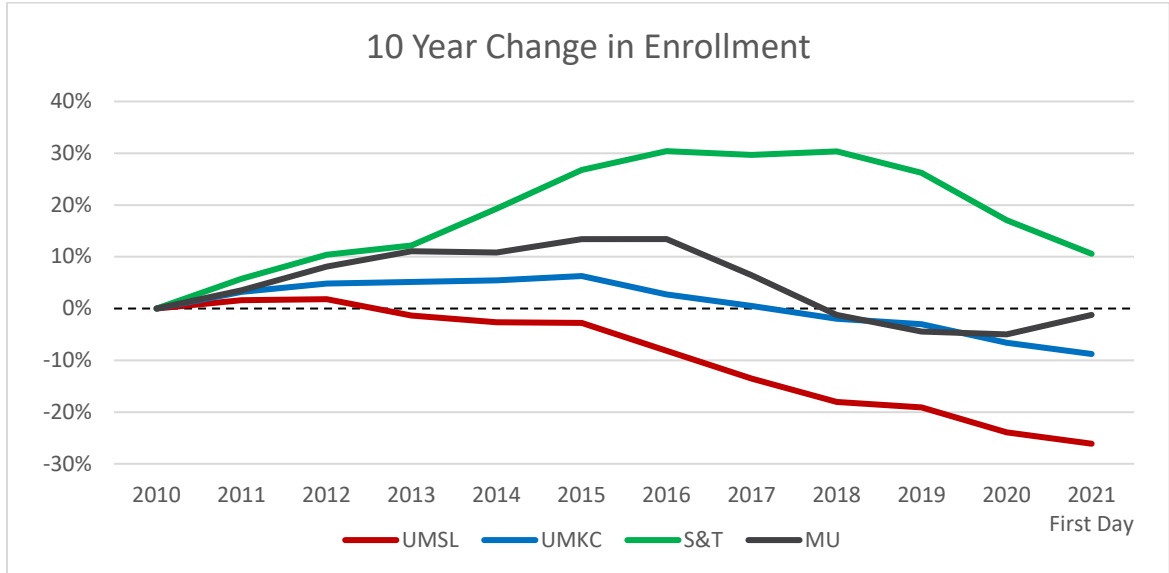


Figure 8 above demonstrates total operating revenues over the preceding five years by operating unit. MU Healthcare is the only unit which has experienced significant revenue growth. Prior to the pandemic MU Healthcare’s revenue growth was on pace to slow over prior year’s growth. MU and MU Healthcare are both significantly larger than the other three operating units and together account for nearly three quarters of the enterprise’s operating revenue. MU Healthcare is nearly three times larger than the next largest campus, and MU itself is 3.5 times larger than the next largest campus. This scale demonstrates MU and MU Healthcare are the primary drivers of the University’s consolidated financial performance. Revenue growth is the key long term indicator for financial health, without revenue growth, institutions remain in a cycle of cost cutting. The gap between the largest institutions in the system and the smaller institutions will likely continue to increase over the coming five years without significant change or unforeseen disruptions.

Figure 9: Change in Enrollment



Since FY2016, enrollments have declined across the University, with declines across all universities except MU which has started to see an upward trend to start FY2021 as it moves past the enrollment declines from November 2015. In total, the University’s enrollment across all four institutions is 7% lower to where it was in FY2010. Declining enrollments impact multiple revenue streams across the University, as payments from students do not just include tuition but impact residence halls, dining, bookstores, and other student service auxiliaries. The flattening enrollments presented in Figure 8 correlate with the flattening of revenue growth noted above in Figure 7, including the UMSL decline that started in FY2012. As student populations across campuses have declined, so have the related revenues paid by students. Turning around enrollments and student related revenues remains a large challenge for the University. Without additional students at the same or increased revenue per student, continued cost reductions will be necessary to maintain financial performance.

Looking forward, tuition strategies will be key to maintaining revenues for the academic units. The revenue outlook for the state remains highly uncertain and the state’s ability to provide support to higher education will be challenged by other spending programs as well. Each university will need to focus on building their brand and pricing their brand to the market. Tuition and fees continue to grow, but scholarships have been growing at a faster rate reducing the total amount of net tuition revenue received from students. Each university will need to examine scholarship strategies together with tuition to build a class profile that is distinct from others in the state that also provides the necessary program revenues. Programs and areas of support from state appropriations will need to be aligned with the state’s priorities and limited resources. The University will utilize the quarterly budget process to ensure this happens.

Figure 10: Revenues by Source

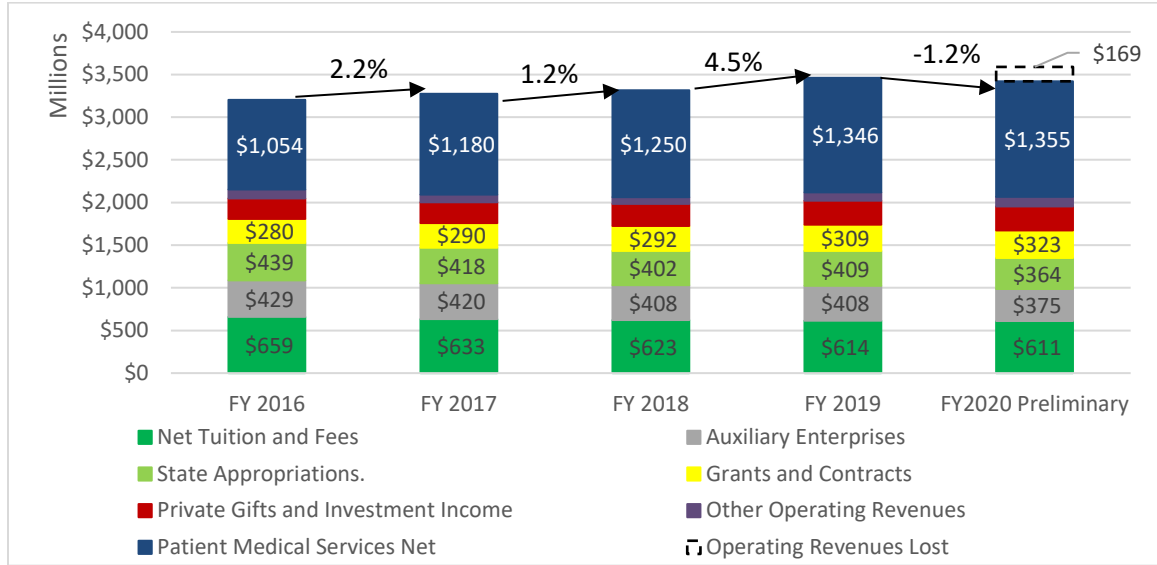
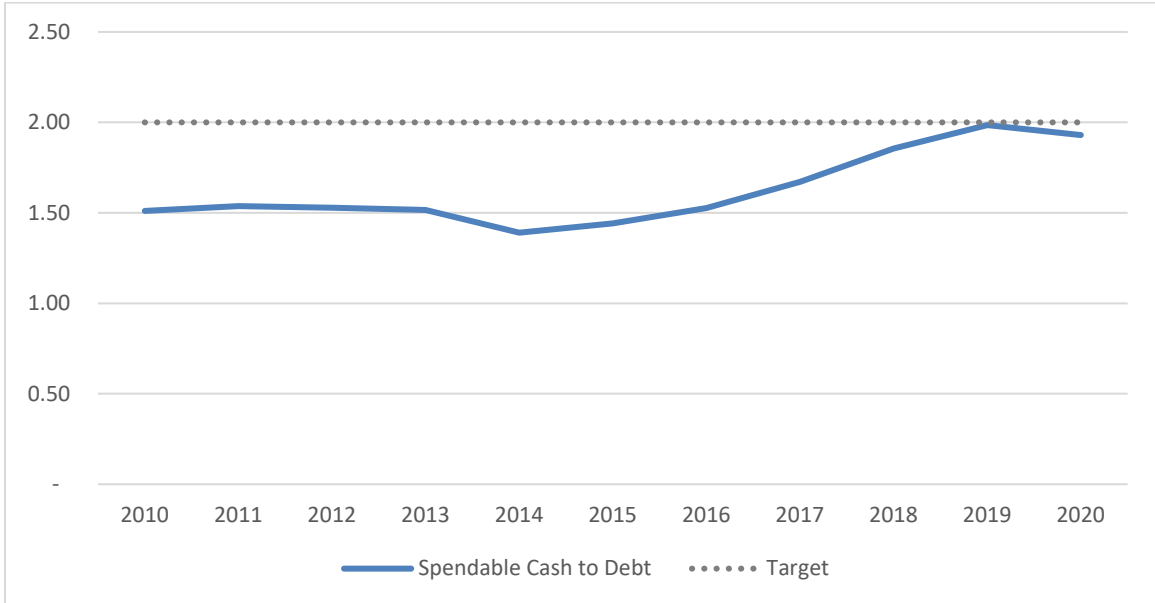


Figure 10 above demonstrates revenues by source over the past five years. FY2019 represents the only year where revenues grew in total faster than inflation. The past five years have presented a challenging picture for the academic enterprise, with flat revenues across all streams. The only area of significant growth for the institution has been the healthcare enterprise, which grew revenue by \$300 million since FY2016. The pandemic only accelerated the revenue disruption, with additional losses in auxiliaries and state appropriations. The one area of growth for the academic enterprise has been the continued growth in grants and contracts, primarily driven by externally funded research. The relative diversity of revenue streams provides a key strength for the System, as strength in one portion of the enterprise offsets weakness in another.

Spendable Cash and Investments to Debt shows the relative size of liquid assets compared to the outstanding debt of the organization. This metric moves over a longer time horizon, eroding when debt is issued and rebuilding as cash grows with positive operating margins. Spendable cash and investments to debt represents one measure of debt capacity.

Figure 11: Spendable Cash & Investments to Debt Trend



Spendable cash to debt declined over prior year due to the spring debt issuance and negative operating margins from the pandemic. Spendable cash to debt of 1.9 remains above the average of 1.5 from 2010-2016 when the University issued significant amounts of debt to fund the building of significant capital assets. The slight decline in FY2020 from the debt issue is largely due to the Precision Health Initiative, the University’s cornerstone strategic initiative to improve its reputation and standing as a research institution.

Figure 12: Spendable Cash to Debt by Business Unit

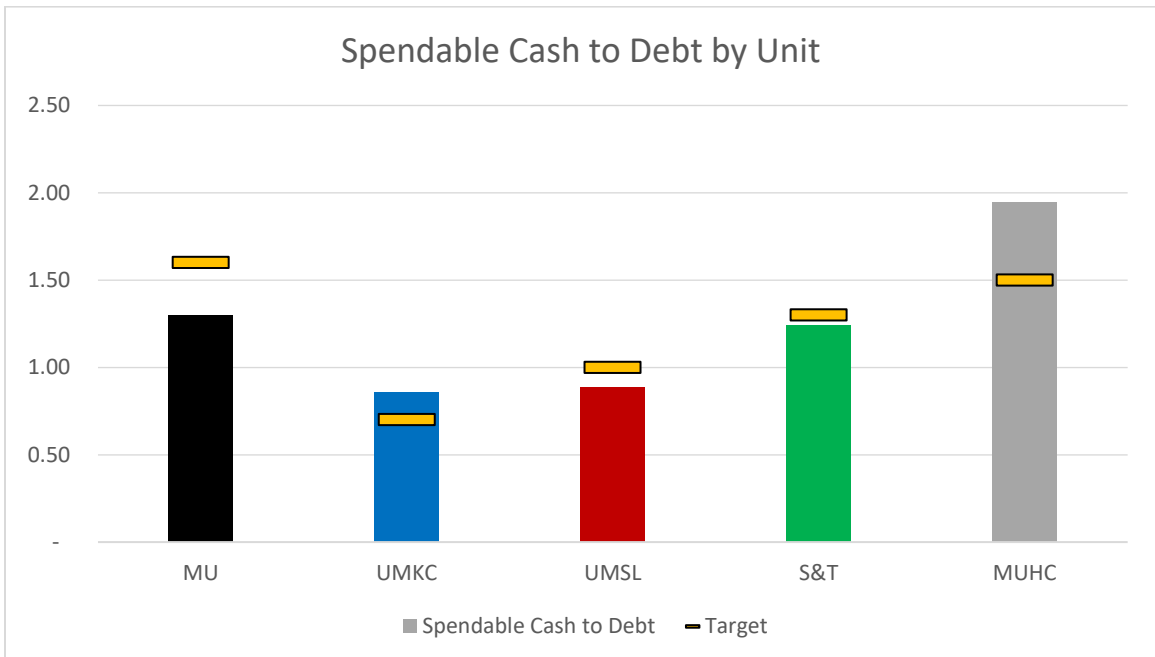
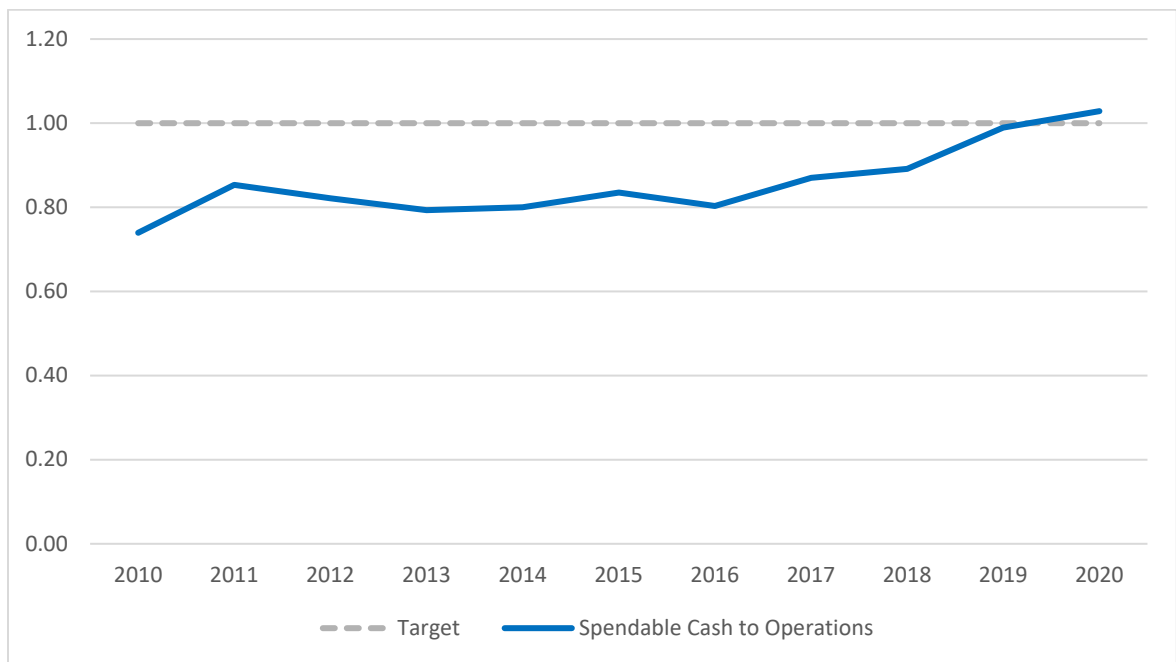


Figure 12 demonstrates spendable cash to debt varies significantly by business unit. The two largest units (MU and MU Health) are the two with the strongest position on this ratio. MU's ratio declined from 1.48 in the prior year to 1.30 in FY2020 due to the issuance of debt to fund the Precision Health Institute. The urban campuses maintain a ratio below 1.0, as debt issuance and building projects over the past two decades have increased their leverage without a corresponding recovery in spendable cash and investments. UMKC's ratio improved significantly in FY2020, as the university received insurance proceeds for Oak Place apartments and a cash estate gift to fund a building built on debt. The urban universities will need several years of positive cash flows coupled with the amortization of debt to improve this ratio in the future.

Spendable Cash to Operations shows the relative size of cash balances to the operating expenses of the organization. This metric shows the organization's capacity to adapt to unexpected changes in revenue streams or unexpected increases in cost. The cash to operations measure grew in FY2020 as the University flattened the expense base in response to the pandemic and increased cash balances with CARES funding and the issuance of debt for capital projects and liquidity.

Figure 13: Spendable Cash to Operations Trend



Spendable cash provides the University with time to implement actions that reduce expenditures. However, the liquidity portion of the debt financing cannot be maintained into perpetuity and further spend down of reserves to respond to the pandemic will impair the University's competitive position in the future. Additionally, the strength of MU, MU Healthcare and S&T underwrite the overall strength of the enterprise's balance sheet, and that strength will not shield UMSL and UMKC from the need for more aggressive action.

Figure 14: Spendable Cash to Operations by Business Unit

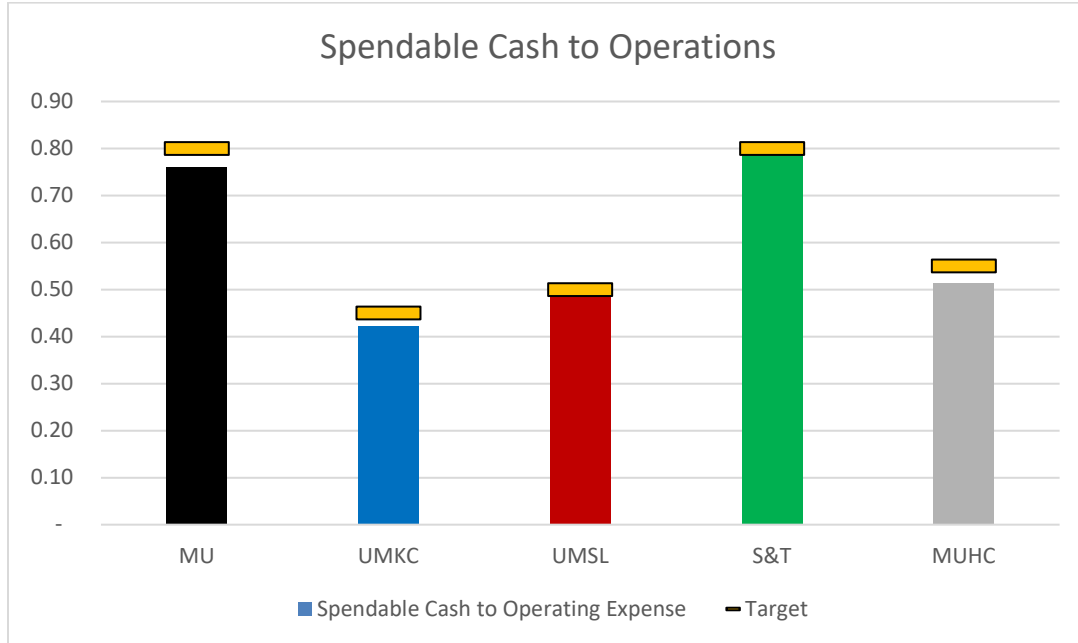


Figure 14 demonstrates the relative performance of the business units on the spendable cash to operations metric. Whereas MU Healthcare is comparable to MU on cash to debt, MU Healthcare falls lower when the cash balance is compared to the size of the operation. Their target on this metric is also lower to reflect the nature of healthcare industry compared to higher education. UMKC remains well below target on this metric as well, reflecting years of low operating cash flow margins. UMKC needs several years of positive cash flows to replenish cash balances before making further investments. UMKC has little ability to absorb disruption to revenue with cash reserves.

QUARTERLY UPDATE PROCESS

The University will provide a quarterly update to the board on the FY2021 budget and any related updates on the use of the revenue and expense contingencies in the budget. Related to the FY2021 budget, each University realized a reduction in state appropriations due to the withholding announced in July. This withhold could be released if conditions improve. Each University has booked the withhold against the revenue contingency, effectively realizing a budgeted, expected decrease in revenues.

Each campus also began classes in August, making enrollments clearer against plans. MU saw growth in enrollment, with the other three universities experiencing a decline:

Table 5: Opening Day Enrollment by University

	FY2020	FY2021	Change	
MU	29,677	30,849	1,172	3.9%
UMKC	12,556	12,266	(290)	(2.3%)
UMSL	9,812	9,527	(285)	(2.9%)
S&T	7,978	7,533	(445)	(5.6%)
Total	60,023	60,175	152	0.3%

Enrollments generally trended close to budgeted numbers. For campuses that built an enrollment contingency, there are no plans to release the contingency in additional spend at this point in time. In a normal year, revenues would become more predictable for the universities now that opening day enrollment is known. However, with the pandemic continuing, there remains a possibility that student demand patterns could change, leading to a further loss of revenues especially in auxiliary enterprises. As such, each university plans to maintain a revenue contingency for tuition through to the next quarter.

Each university also continues to work to make lasting adjustments to expense structures as a result of the pandemic. With the uncertainty in revenues, the expense contingencies remain in place. The universities continue to evaluate administrative and other organizational structures to eliminate cost over the long term, as revenues will likely remain depressed for several years as a result of the pandemic. While furloughs and other temporary measures were a necessary step to manage current cost, each university must continue to work to ensure the changes in cost structure remain permanent in the future to respond to likely lower revenues.

RISK OF REVENUE DISRUPTION REMAINS

The risk of a virus resurgence and additional revenue losses over budgets remains. Revenue loss may occur without a campus closure, if students do not feel safe on campus or the student experience does not meet expectations, students may choose to take classes from home. While this likely maintains some level of tuition, a loss of campus population or a change in consumption patterns will impact auxiliary operations like bookstores, recreation centers, parking, and residential life. Excluding the hospital and related healthcare operations, the University budgeted nearly \$400 million in auxiliary revenues for FY2021, with many of those operations depending on a presence of both students and staff on campus for operation.

To help prepare for these potential risks, each university identified potential unbudgeted negative changes from the pandemic. The risks identified a potential \$120M-\$320M additional decline in revenue above a budgeted revenue decline of \$120M. The \$440M in potential revenue loss is comparable to the worst-case scenario loss of \$500M presented to the board in April. A significant negative event in FY2021 is still possible even absent a shut down, the University only needs to experience a significant shift in student consumption as a result of the pandemic.

Based on the experience from last spring, the University was successful in reducing non-personnel spend, but less successful in reducing spend on personnel. The University attempted to maintain jobs and pay through the shutdown. Each university used their reserves to fund personnel costs for FY2020, and two campuses (UMKC and UMSL) were thin on reserve levels to begin with. Additionally, the one-time money from the CARES Act further bolstered the University's cash position, providing funding for both students and lost revenues experienced by each university. The unexpected nature of the shutdown in the spring and related federal stimulus bought the universities time to weather the storm for FY2020.

While beneficial to employees, the decision did come at a cost as every university lost money for FY2020. For FY2021, the University will not be able to take the same approach as FY2020. As personnel costs represent 60% of total cost, any significant revenue reduction cannot be balanced without personnel action. The campus leadership teams identified payroll continuation policies as a key to reducing expenses in FY2021. The pace of change will also need to vary by university, as UMSL and UMKC have smaller operating reserve bases to respond to any change in revenue. As such, their leadership teams will need to take swifter action to respond to additional disruptions in revenues. These are also the only two universities with temporary across the board pay decreases, reflecting this reality.

Projected Performance - Key Financial Metrics - PRELIMINARY

	Target	Consolidated	MU	S&T	UMKC	UMSL	MU Healthcare
Operating Margin - Total Operating Revenues less Total Operating Expenses divided by Total Operating Revenues Demonstrates management's ability to manage expenditures within revenues.	5.00%	↓ 3.10% ●	↓ -0.93% ●	↓ 0.44% ●	↑ -0.46% ●	↓ -5.44% ●	↓ 5.18% ●
Operating Revenue Growth - Change in Total Operating Revenues from prior year divided by Total Operating Revenues from prior year Demonstrates growth of operation. Core of long-term financial health.	3.10%	↓ -1.22% ●	↓ -0.85% ●	↓ -9.34% ●	↓ -0.18% ●	↓ -7.10% ●	↓ -0.25% ●
Cash to Debt - Total Spendable Cash divided by Total Debt Outstanding Shows the relative size of debt burden against available liquid sources to fund debt.	2.00	↓ 1.93 ●	↓ 1.30 ●	↓ 1.24 ●	↑ 0.85 ●	↓ 0.89 ●	↑ 1.95 ●
Cash to Operations - Total Spendable Cash divided by Operating Expenses Shows the amount of cash available to weather unexpected disruptions in revenue or expense.	1.00	↑ 1.03 ●	↓ 0.76 ●	↓ 0.79 ●	↑ 0.42 ●	↓ 0.50 ●	↓ 0.51 ●

Arrows indicate trend over prior year performance, higher is better on all ratios. Dots indicate if projected metric is over /at target (green) or under target (red). All ratios from Moody's Higher Education Scorecard.

Summary of Current Ratings

Rating Agency	Rating	UM Outlook	Industry Outlook
Moody's	AA1	Stable	Negative
Standard & Poor's	AA+	Stable	Negative

University of Missouri System - UNAUDITED - PRELIMINARY
Statement of Net Position
For the Year Ended June 30, 2020 and June 30, 2019 (in thousands)

Line No.		FY 2020	FY 2019	\$ Change	% Change
Assets					
Current Assets					
1	Cash and Cash Equivalents	\$ 585,822	\$ 538,680	\$ 47,142	8.8%
2	Short-Term Investments	54,827	55,510	\$ (683)	-1.2%
3	Investment of Cash Collateral	1,261	3,616	(2,355)	-65.1%
4	Accounts Receivable, Net	377,739	351,959	25,780	7.3%
5	Pledges Receivable, Net	23,483	21,846	1,637	7.5%
6	Investment Settlements Receivable	351,165	279,696	71,469	25.6%
7	Notes Receivable, Net	7,854	8,489	(635)	-7.5%
8	Due (To) From Component Unit	(9,415)	(8,855)	(560)	6.3%
9	Inventories	37,721	36,674	1,047	2.9%
10	Prepaid Expenses and Other Current Assets	19,937	38,286	(18,349)	-47.9%
11	Total Current Assets	1,450,393	1,325,901	124,492	9.4%
Noncurrent Assets					
12	Pledges Receivable, Net	40,125	40,677	(552)	-1.4%
13	Notes Receivable, Net	52,306	64,638	(12,332)	-19.1%
15	Other Assets	7,254	8,826	(1,572)	-17.8%
14	Long-Term Investments	4,094,922	3,919,023	175,899	4.5%
16	Capital Assets, Net	3,485,414	3,384,061	101,353	3.0%
17	Total Noncurrent Assets	7,680,022	7,417,225	262,797	3.5%
18	Deferred Outflow of Resources	329,000	335,808	(6,808)	-2.0%
19	Total Assets and Deferred Outflow of Resources	\$ 9,459,416	\$ 9,078,934	\$ 380,482	4.2%
Liabilities					
Current Liabilities					
25	Accounts Payable	146,790	182,879	\$ (36,089)	-19.7%
26	Accrued Liabilities	173,683	169,392	4,291	2.5%
27	Deferred Revenue Current	87,701	94,957	(7,256)	-7.6%
28	Funds Held for Others	-	92,981	(92,981)	-100.0%
29	Investment Settlements Payable	674,260	455,975	218,285	47.9%
30	Collateral Held for Securities Lending	1,261	3,616	(2,355)	-65.1%
31	Commercial Paper and Current Portion of Long-Term	6,968	395,882	(388,914)	-98.2%
32	Long-Term Debt Subject to Remarketing Agreement	78,755	82,540	(3,785)	-4.6%
33	Total Current Liabilities	1,169,418	1,478,222	(308,804)	-20.9%

University of Missouri System - UNAUDITED - PRELIMINARY
Statement of Net Position
For the Year Ended June 30, 2020 and June 30, 2019 (in thousands)

Line No.		FY 2020	FY 2019	\$ Change	% Change
	Liabilities, Continued				
	Noncurrent Liabilities				
34	Long-Term Debt	1,682,270	1,166,062	516,208	44.3%
35	Deferred Revenue	3,718	15,119	(11,401)	-75.4%
36	Asset Retirement Obligation	62,433	62,433	(0)	0.0%
37	Derivative Instrument Liability	45,959	35,542	10,417	29.3%
38	Other Postemployment Benefits Liability	449,104	453,640	(4,536)	-1.0%
39	Net Pension Liability	931,232	814,210	117,022	14.4%
40	Other Noncurrent Liabilities	86,210	79,990	6,220	7.8%
41	Total Noncurrent Liabilities	3,260,924	2,626,996	633,928	24.1%
41	Deferred Inflow of Resources	83,126	83,480	(354)	-0.4%
	Total Liabilities and Deferred				
42	Inflow of Resources	\$ 4,513,469	\$ 4,188,698	\$ 324,771	7.8%
	Net Position				
43	Net Investment in Capital Assets	1,830,455	1,756,882	73,573	4.2%
	Restricted				
	Nonexpendable -				
44	Endowment	1,325,641	1,248,860	76,781	6.1%
	Expendable -				
45	Scholarship, Research, Instruction and Other	442,176	406,533	35,643	8.8%
46	Loans	80,131	85,038	(4,907)	-5.8%
47	Capital Projects	41,205	66,364	(25,159)	-37.9%
48	Unrestricted	1,226,338	1,326,559	(100,221)	-7.6%
49	Total Net Position	4,945,947	4,890,236	55,711	1.1%
	Total Liabilities, Deferred Inflow of				
50	Resources and Net Position	\$ 9,459,415	\$ 9,078,934	\$ 380,481	4.2%

All information contained herein is as of 9/8/20. The Office of Finance has not finalized investment income and related entries for benefits so the numbers contained herein represent a projection. A final version of financial statements will be completed in October and any comparisons to FY20 will represent audited versions. These financial statements exclude CRMC, which is presented as a blended component unit on the University's audited financial statements but maintains a separate credit.

University of Missouri System - UNAUDITED - PRELIMINARY

**Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP
For the Year Ending June 30, 2020 Compared to Year Ended June 30, 2019 (in thousands)**

Line No.		Actuals FY 2020	Actuals FY 2019	Change
Operating Revenues				
1	Tuition and Fees	\$ 873,177	\$ 857,456	\$ 15,721
2	Less Scholarship Allowances	374,716	333,682	41,034
3	Net Tuition and Fees	498,461	523,774	(25,313)
4	Federal Pell Grants	54,480	56,595	(2,115)
5	Government Scholarship Funding	29,038	33,551	(4,513)
6	CARES Act Funding	29,040	-	29,040
7	Grants and Contracts	323,468	309,500	13,968
8	Auxiliary Enterprises	374,964	408,320	(33,356)
9	Patient Medical Services Net	1,355,093	1,345,638	9,455
10	Other Operating Revenues	84,346	69,763	14,583
11	State Appropriations	364,412	408,797	(44,385)
12	Federal Appropriations	27,108	27,026	82
13	Private Gifts	70,454	85,809	(15,355)
14	Spendable Investment Income (Moody's)	210,100	194,567	15,533
15	Total Operating Revenues	3,420,964	3,463,340	(42,375)
Operating Expenses				
16	Salaries and Wages	1,588,331	1,547,032	41,299
17	Benefits	481,673	461,479	20,194
18	Supplies, Services and Other Operating Expenses	974,843	1,020,750	(45,907)
19	Depreciation	207,216	203,860	3,356
20	Interest Expense	63,009	65,058	(2,049)
21	Total Operating Expenses	3,315,072	3,298,179	16,892
22	Net Operating Income	105,892	165,162	(59,268)
23	Net Operating Margin	3.1%	4.8%	-1.7%
Nonoperating Revenues (Expenses)				
24	Investment Income (Losses), Net of Fees	18,767	194,426	(175,659)
25	Spendable Investment Income (Moody's)	(210,100)	(194,567)	(15,533)
26	Other Nonoperating Revenues (Expenses)	42,419	210	42,209
27	State Capital Appropriations	-	-	-
28	Capital Gifts and Grants	40,648	67,106	(26,458)
29	Private Gifts for Endowment Purposes	47,047	30,524	16,523
30	Pension and OPEB Impact on Income Statement	(89,671)	(96,094)	6,423
31	Mandatory Transfers	-	-	-
32	Non-Mandatory Transfers	-	-	-
33	Net Nonoperating Revenues (Expenses)	(150,890)	1,605	(152,495)
34	Increase in Net Position	(44,998)	166,767	(211,763)
35	Net Position, Beginning of Year	4,890,236	4,725,967	164,269
36	Cumulative Effect of Change in Accounting Principle	100,709	(2,497)	103,206
37	Net Position, Beginning of Year, Adjusted	4,990,945	4,723,469	267,476
38	Net Position, End of Period	\$ 4,945,947	\$ 4,890,236	\$ 55,713

University of Missouri System - Columbia - UNAUDITED - PRELIMINARY
Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP
For the Year Ending June 30, 2020 Compared to Year Ended June 30, 2019 (in thousands)

Line No.		Acutals FY 2020	Acutals FY 2019	Change
Operating Revenues				
1	Tuition and Fees	\$ 432,603	\$ 419,279	\$ 13,324
2	Less Scholarship Allowances	200,028	171,671	28,356
3	Net Tuition and Fees	232,575	247,608	(15,032)
4	Federal Pell Grants	22,520	21,702	819
5	Government Scholarship Funding	14,894	18,955	(4,061)
6	CARES Act Funding	15,421	-	15,421
7	Grants and Contracts	219,370	210,471	8,899
8	Auxiliary Enterprises	258,060	274,339	(16,279)
9	Patient Medical Services Net	256,271	246,068	10,203
10	Other Operating Revenues	46,635	38,916	7,718
11	State Appropriations	188,295	208,149	(19,854)
12	Federal Appropriations	17,237	17,198	39
13	Private Gifts	38,095	43,752	(5,657)
14	Spendable Investment Income (Moody's)	94,453	88,646	5,807
15	Total Operating Revenues	1,403,826	1,415,804	(11,978)
Operating Expenses				
16	Salaries and Wages	814,590	785,164	29,426
17	Benefits	226,991	216,353	10,638
18	Supplies, Services and Other Operating Expenses	256,831	281,558	(24,727)
19	Depreciation	88,849	87,245	1,604
20	Interest Expense	29,582	29,432	150
21	Total Operating Expenses	1,416,842	1,399,751	17,091
22	Net Operating Income	(13,016)	16,053	(29,069)
23	Net Operating Margin	-0.9%	1.1%	-2.1%
Nonoperating Revenues (Expenses)				
24	Investment Income (Losses), Net of Fees	21,105	63,863	(42,757)
25	Spendable Investment Income (Moody's)	(94,453)	(88,646)	(5,807)
26	Other Nonoperating Revenues (Expenses)	12,529	967	11,562
27	State Capital Appropriations	-	-	-
28	Capital Gifts and Grants	14,304	24,304	(10,000)
29	Private Gifts for Endowment Purposes	40,368	22,141	18,227
30	Mandatory Transfers	(4,677)	61	(4,738)
31	Non-Mandatory Transfers	56,938	27,828	29,109
32	Net Nonoperating Revenues (Expenses)	46,114	50,517	(4,403)
33	Increase in Net Position	33,098	66,571	(33,472)
34	Net Position, Beginning of Year	2,932,281	2,868,042	64,238
35	Cumulative Effect of Change in Accounting Principle	80,197	(2,332)	82,529
36	Net Position, Beginning of Year, Adjusted	3,012,478	2,865,710	146,768
37	Net Position, End of Period	\$ 3,045,576	\$ 2,932,281	\$ 113,296

University of Missouri System - Hospital - UNAUDITED - PRELIMINARY
Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP
For the Year Ending June 30, 2020 Compared to Year Ended June 30, 2019 (in thousands)

Line No.		Actuals FY 2020	Actuals FY 2019	Change
Operating Revenues				
1	Tuition and Fees	\$ -	\$ -	\$ -
2	Less Scholarship Allowances	-	-	-
3	Net Tuition and Fees	-	-	-
4	Federal Pell Grants	-	-	-
5	Government Scholarship Funding	-	-	-
6	Grants and Contracts	137	159	(21)
7	Auxiliary Enterprises	23,255	23,631	(376)
8	Patient Medical Services Net	1,060,215	1,062,023	(1,809)
9	Other Operating Revenues	2	159	(157)
10	State Appropriations	-	-	-
11	Federal Appropriations	-	-	-
12	Private Gifts	1,564	1,878	(314)
13	Spendable Investment Income (Moody's)	-	-	-
14	Total Operating Revenues	1,085,173	1,087,849	(2,677)
Operating Expenses				
15	Salaries and Wages	333,810	323,980	9,831
16	Benefits	110,721	105,964	4,757
17	Supplies, Services and Other Operating Expenses	525,096	506,987	18,109
18	Depreciation	48,164	46,935	1,229
19	Interest Expense	11,190	12,134	(944)
20	Total Operating Expenses	1,028,980	995,999	32,981
21	Net Operating Income	56,192	91,850	(35,658)
22	Net Operating Margin	5.2%	8.4%	-3.3%
Nonoperating Revenues (Expenses)				
23	Investment Income (Losses), Net of Fees	(6,412)	1,715	(8,126)
24	Spendable Investment Income (Moody's)	-	-	-
25	Other Nonoperating Revenues (Expenses)	19,153	(1,040)	20,193
26	State Capital Appropriations	-	-	-
27	Capital Gifts and Grants	3,845	2,998	847
28	Private Gifts for Endowment Purposes	42	10	32
29	Mandatory Transfers	-	-	-
30	Non-Mandatory Transfers	(28,229)	(26,607)	(1,622)
31	Net Nonoperating Revenues (Expenses)	(11,600)	(22,923)	11,323
32	Increase in Net Position	44,592	68,927	(24,335)
33	Net Position, Beginning of Year	850,808	781,881	68,927
34	Cumulative Effect of Change in Accounting Principle	-	-	-
35	Net Position, Beginning of Year, Adjusted	850,808	781,881	68,927
36	Net Position, End of Period	\$ 895,400	\$ 850,808	\$ 44,592

Note: Income Statement presentation is based on the current Moody's Higher Education methodology which includes interest expense as part of operating expenses. Numbers presented to Health Affairs show interest expense as non-operating.

University of Missouri System - Kansas City - UNAUDITED - PRELIMINARY
Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GA
For the Year Ending June 30, 2020 Compared to Year Ended June 30, 2019 (in
thousands)

Line No.		Actuals FY 2020	Actuals FY 2019	Change
Operating Revenues				
1	Tuition and Fees	\$ 196,226	\$ 189,699	\$ 6,527
2	Less Scholarship Allowances	63,006	59,821	3,186
3	Net Tuition and Fees	133,219	129,879	3,341
4	Federal Pell Grants	12,949	13,599	(650)
5	Government Scholarship Funding	4,061	4,079	(18)
6	CARES Act Funding	5,897	-	5,897
7	Grants and Contracts	41,551	36,998	4,553
8	Auxiliary Enterprises	36,345	41,676	(5,331)
9	Patient Medical Services Net	38,567	37,515	1,052
10	Other Operating Revenues	14,190	11,861	2,329
11	State Appropriations	64,058	73,852	(9,794)
12	Federal Appropriations	-	-	-
13	Private Gifts	16,537	19,092	(2,555)
14	Spendable Investment Income (Moody's)	13,537	13,030	507
15	Total Operating Revenues	380,912	381,582	(670)
Operating Expenses				
16	Salaries and Wages	194,944	193,297	1,647
17	Benefits	57,109	55,606	1,503
18	Supplies, Services and Other Operating Expenses	97,421	110,872	(13,451)
19	Depreciation	24,597	25,166	(569)
20	Interest Expense	8,611	9,140	(529)
21	Total Operating Expenses	382,682	394,082	(11,400)
22	Net Operating Income	(1,770)	(12,500)	10,730
23	Net Operating Margin	-0.5%	-3.3%	2.8%
Nonoperating Revenues (Expenses)				
24	Investment Income (Losses), Net of Fees	7,371	12,622	(5,251)
25	Spendable Investment Income (Moody's)	(13,537)	(13,030)	(507)
26	Other Nonoperating Revenues (Expenses)	22,552	1,051	21,500
27	State Capital Appropriations	-	-	-
28	Capital Gifts and Grants	12,784	36,657	(23,872)
29	Private Gifts for Endowment Purposes	471	436	35
30	Mandatory Transfers	39	25	14
31	Non-Mandatory Transfers	6,917	1,375	5,543
32	Net Nonoperating Revenues (Expenses)	36,597	39,135	(2,538)
33	Increase in Net Position	34,828	26,635	8,192
34	Net Position, Beginning of Year	447,115	420,480	4,519
35	Cumulative Effect of Change in Accounting Principle	19,281	-	19,281
36	Net Position, Beginning of Year, Adjusted	466,395	420,480	23,800
37	Net Position, End of Period	\$ 501,223	\$ 447,115	\$ 31,992

University of Missouri System - Missouri S&T - UNAUDITED - PRELIMINARY
Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP
For the Year Ending June 30, 2020 Compared to Year Ended June 30, 2019 (in thousands)

Line No.		Acutals FY 2020	Acutals FY 2019	Change
Operating Revenues				
1	Tuition and Fees	\$ 128,227	\$ 132,300	\$ (4,073)
2	Less Scholarship Allowances	64,047	58,280.48	5,766
3	Net Tuition and Fees	64,180	74,019	(9,839)
4	Federal Pell Grants	6,412	7,310	(897)
5	Government Scholarship Funding	6,127	6,587	(460)
6	CARES Act Funding	3,921	-	3,921
7	Grants and Contracts	34,797	33,029	1,768
8	Auxiliary Enterprises	19,982	24,114	(4,132)
9	Patient Medical Services Net	-	-	-
10	Other Operating Revenues	4,216	5,102	(886)
11	State Appropriations	43,543	50,186	(6,642)
12	Federal Appropriations	-	-	-
13	Private Gifts	3,398	7,815	(4,417)
14	Spendable Investment Income (Moody's)	15,559	14,809	749
15	Total Operating Revenues	202,136	222,971	(20,835)
Operating Expenses				
16	Salaries and Wages	102,582	106,061	(3,479)
17	Benefits	30,385	30,532	(148)
18	Supplies, Services and Other Operating Expenses	44,245	51,609	(7,364)
19	Depreciation	18,970	17,540	1,430
20	Interest Expense	5,067	5,357	(290)
21	Total Operating Expenses	201,248	211,099	(9,851)
22	Net Operating Income	888	11,872	(10,984)
23	Net Operating Margin	0.4%	5.3%	-4.9%
Nonoperating Revenues (Expenses)				
24	Investment Income (Losses), Net of Fees	3,637	11,613	(7,976)
25	Spendable Investment Income (Moody's)	(15,559)	(14,809)	(749)
26	Other Nonoperating Revenues (Expenses)	1,664	(73)	1,737
27	State Capital Appropriations	-	-	-
28	Capital Gifts and Grants	6,009	2,037	3,972
29	Private Gifts for Endowment Purposes	4,118	5,120	(1,002)
30	Mandatory Transfers	10	12	(2)
31	Non-Mandatory Transfers	4,491	3,109	1,382
32	Net Nonoperating Revenues (Expenses)	4,369	7,008	(2,639)
33	Increase in Net Position	5,256	18,880	(13,624)
34	Net Position, Beginning of Year	520,944	502,229	28,992
35	Cumulative Effect of Change in Accounting Principle	357	(165)	(980)
36	Net Position, Beginning of Year, Adjusted	521,301	502,064	28,012
37	Net Position, End of Period	\$ 526,557	\$ 520,944	\$ 14,388

University of Missouri System - St. Louis - UNAUDITED -PRELIMINARY
Simplified View Statement of Revenues, Expenses, and Changes in Net Position non-G
For the Year Ending June 30, 2020 Compared to Year Ended June 30, 2019 (in
thousands)

Line No.		Acutals FY 2020	Acutals FY 2019	Change
Operating Revenues				
1	Tuition and Fees	\$ 116,122	\$ 116,178	\$ (56)
2	Less Scholarship Allowances	47,452	43,758	3,694
3	Net Tuition and Fees	68,670	72,420	(3,750)
4	Federal Pell Grants	12,598	13,984	(1,386)
5	Government Scholarship Funding	3,956	3,930	26
6	CARES Act Funding	3,801	-	3,801
7	Grants and Contracts	27,101	28,707	(1,606)
8	Auxiliary Enterprises	15,175	18,456	(3,281)
9	Patient Medical Services Net	40	32	8
10	Other Operating Revenues	2,166	2,690	(524)
11	State Appropriations	48,436	55,817	(7,381)
12	Federal Appropriations	-	-	-
13	Private Gifts	10,749	12,601	(1,853)
14	Spendable Investment Income (Moody's)	9,577	9,090	487
15	Total Operating Revenues	202,269	217,726	(15,456)
Operating Expenses				
16	Salaries and Wages	107,866	105,659	2,208
17	Benefits	33,811	32,026	1,785
18	Supplies, Services and Other Operating Expenses	47,828	58,532	(10,703)
19	Depreciation	17,999	17,882	117
20	Interest Expense	5,776	5,985	(209)
21	Total Operating Expenses	213,281	220,083	(6,802)
22	Net Operating Income	(11,012)	(2,357)	(8,654)
23	Net Operating Margin	-5.4%	-1.1%	-4.4%
Nonoperating Revenues (Expenses)				
24	Investment Income (Losses), Net of Fees	3,512	6,378	(2,866)
25	Spendable Investment Income (Moody's)	(9,577)	(9,090)	(487)
26	Other Nonoperating Revenues (Expenses)	72	38	34
27	State Capital Appropriations	-	-	-
28	Capital Gifts and Grants	1,501	1,110	391
29	Private Gifts for Endowment Purposes	2,048	2,815	(768)
30	Mandatory Transfers	(94)	(139)	46
31	Non-Mandatory Transfers	1,563	1,994	(432)
32	Net Nonoperating Revenues (Expenses)	(976)	3,107	(4,082)
33	Increase in Net Position	(11,987)	750	(12,737)
34	Net Position, Beginning of Year	368,364	367,615	750
35	Cumulative Effect of Change in Accounting Principle	321	-	321
36	Net Position, Beginning of Year, Adjusted	368,685	367,615	1,070
37	Net Position, End of Period	\$ 356,698	\$ 368,364	\$ (11,666)

University of Missouri System - System Administration - UNAUDITED - PRELIMINARY
Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP
For the Year Projected Ending June 30, 2020 Compared to Year Ended June 30, 2019 (in
thousands)

Line No.		Acutals FY 2020	Acutals FY 2019	Change
Operating Revenues				
1	Tuition and Fees	\$ -	\$ -	-
2	Less Scholarship Allowances	154	118	36
3	Net Tuition and Fees	(154)	(118)	(36)
4	Federal Pell Grants	-	-	-
5	Government Scholarship Funding	-	-	-
6	Grants and Contracts	512	136	376
7	Auxiliary Enterprises	22,148	26,104	(3,956)
8	Patient Medical Services Net	-	-	-
9	Other Operating Revenues	5,887	11,288	(5,401)
10	State Appropriations	10,612	11,326	(714)
11	Federal Appropriations	-	-	-
12	Private Gifts	109	669	(560)
13	Spendable Investment Income (Moody's)	21,800	17,985	3,815
14	Total Operating Revenues	60,914	67,390	(6,476)
Operating Expenses				
15	Salaries and Wages	34,617	33,435	1,181
16	Benefits	11,336	11,192	144
17	Supplies, Services and Other Operating Expenses	2,520	20,179	(17,659)
18	Depreciation	3,871	4,326	(454)
19	Interest Expense	-	-	-
20	Total Operating Expenses	52,344	69,132	(16,789)
21	Net Operating Income	8,570	(1,743)	10,313
22	Net Operating Margin	14.1%	-2.6%	16.7%
Nonoperating Revenues (Expenses)				
23	Investment Income (Losses), Net of Fees	11,935	43,132	(31,197)
24	Spendable Investment Income (Moody's)	(21,800)	(17,985)	(3,815)
25	Other Nonoperating Revenues (Expenses)	(31)	(637)	606
26	State Capital Appropriations	-	-	-
27	Capital Gifts and Grants	-	-	-
28	Private Gifts for Endowment Purposes	-	-	-
29	Mandatory Transfers	-	-	-
30	Non-Mandatory Transfers	(38,348)	63,270	(101,618)
31	Net Nonoperating Revenues (Expenses)	(48,245)	87,779	(136,024)
32	Increase in Net Position	(39,675)	86,037	(125,711)
33	Net Position, Beginning of Year	253,143	167,106	86,037
34	Cumulative Effect of Change in Accounting Principle	633	-	633
35	Net Position, Beginning of Year, Adjusted	253,776	167,106	86,670
36	Net Position, End of Period	\$ 214,102	\$ 253,143	\$ (39,041)

University of Missouri University-wide - UNAUDITED - PRELIMINARY
Simplified View Statement of Revenues, Expenses, and Changes in Net Position - non-GAAP
For the Year Ending June 30, 2020 Compared to Year Ended June 30, 2019 (in thousands)

Line No.		Actuals FY 2020	Actuals FY 2019	Change
Operating Revenues				
1	Tuition and Fees	\$ -	\$ -	\$ -
2	Less Scholarship Allowances	29	34	(4)
3	Net Tuition and Fees	(29)	(34)	4
4	Federal Pell Grants	-	-	-
5	Government Scholarship Funding	-	-	-
6	Grants and Contracts	-	-	-
7	Auxiliary Enterprises	-	-	-
8	Patient Medical Services Net	-	-	-
9	Other Operating Revenues	11,251	(253)	11,503
10	State Appropriations	9,467	9,467	(0)
11	Federal Appropriations	9,871	9,828	43
12	Private Gifts	2	2	1
13	Spendable Investment Income (Moody's)	55,173	51,006	4,167
14	Total Operating Revenues	85,735	70,016	15,719
Operating Expenses				
15	Salaries and Wages	(77)	(564)	487
16	Benefits	11,321	9,806	1,514
17	Supplies, Services and Other Operating Expenses	455	(14,458)	14,912
18	Depreciation	4,766	4,766	(0)
19	Interest Expense	2,783	3,010	(227)
20	Total Operating Expenses	19,248	2,561	16,687
21	Net Operating Income	66,487	67,455	(968)
22	Net Operating Margin	77.5%	96.3%	-18.8%
Nonoperating Revenues (Expenses)				
23	Investment Income (Losses), Net of Fees	(22,381)	55,103	(77,484)
24	Spendable Investment Income (Moody's)	(55,173)	(51,006)	(4,167)
25	Other Nonoperating Revenues (Expenses)	(13,519)	(94)	(13,425)
26	State Capital Appropriations	-	-	-
27	Capital Gifts and Grants	2,205	-	2,205
28	Private Gifts for Endowment Purposes	1	2	(1)
29	Pension and OPEB Impact on Income Statement	(89,671)	(96,094)	6,423
30	Mandatory Transfers	4,722	41	4,680
31	Non-Mandatory Transfers	(8,669)	(76,440)	67,771
32	Net Nonoperating Revenues (Expenses)	(182,486)	(168,488)	(13,998)
33	Increase in Net Position	(115,999)	(101,033)	(14,966)
34	Net Position, Beginning of Year	(482,419)	(381,386)	(101,033)
35	Cumulative Effect of Change in Accounting Principle	(79)	-	(79)
36	Net Position, Beginning of Year, Adjusted	(482,498)	(381,386)	(101,112)
37	Net Position, End of Period	\$ (598,497)	\$ (482,419)	\$ (116,078)

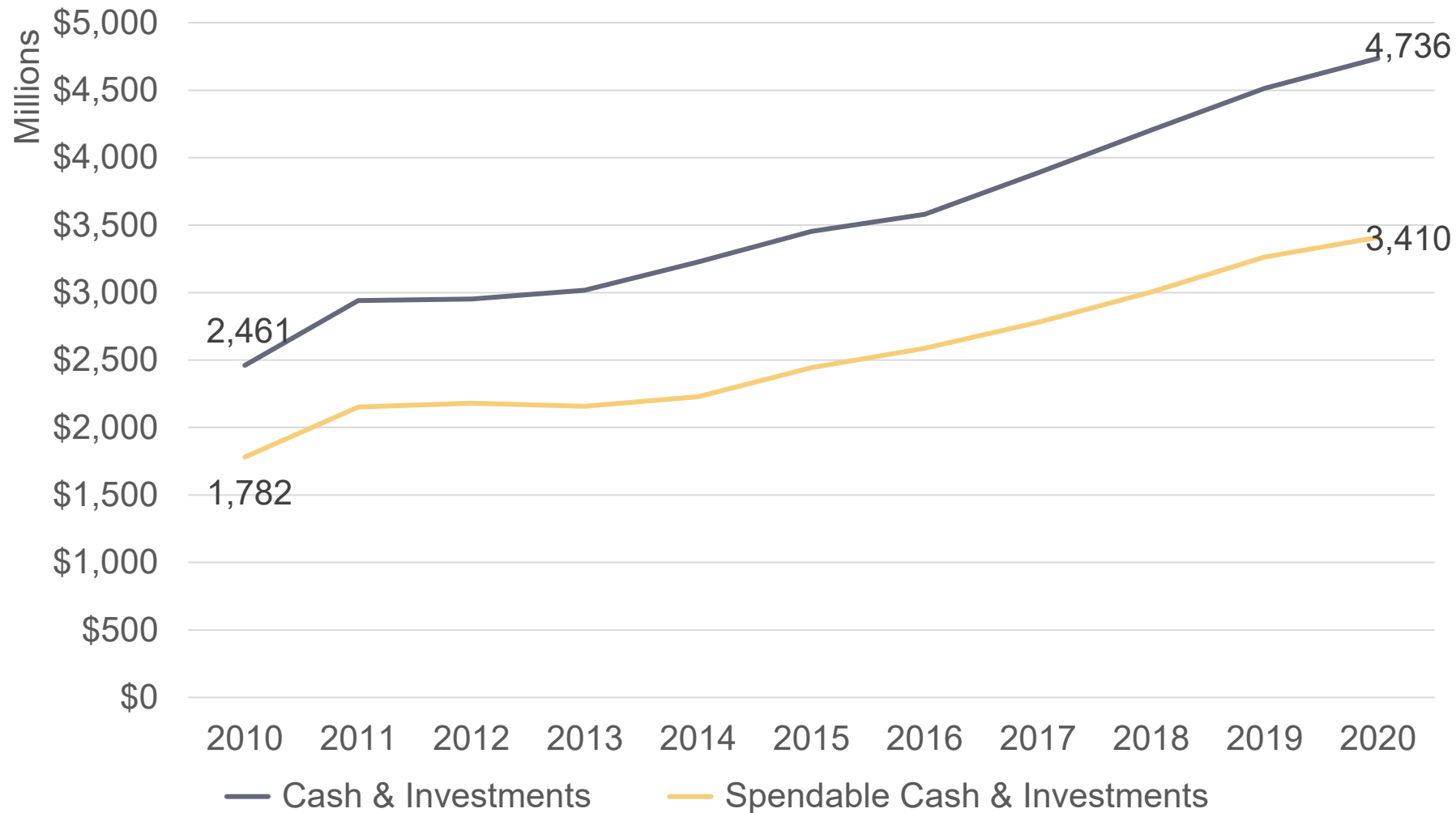
FY 2020 Financial Status Report

University of Missouri Board of Curators
September 24, 2020

Key Highlights

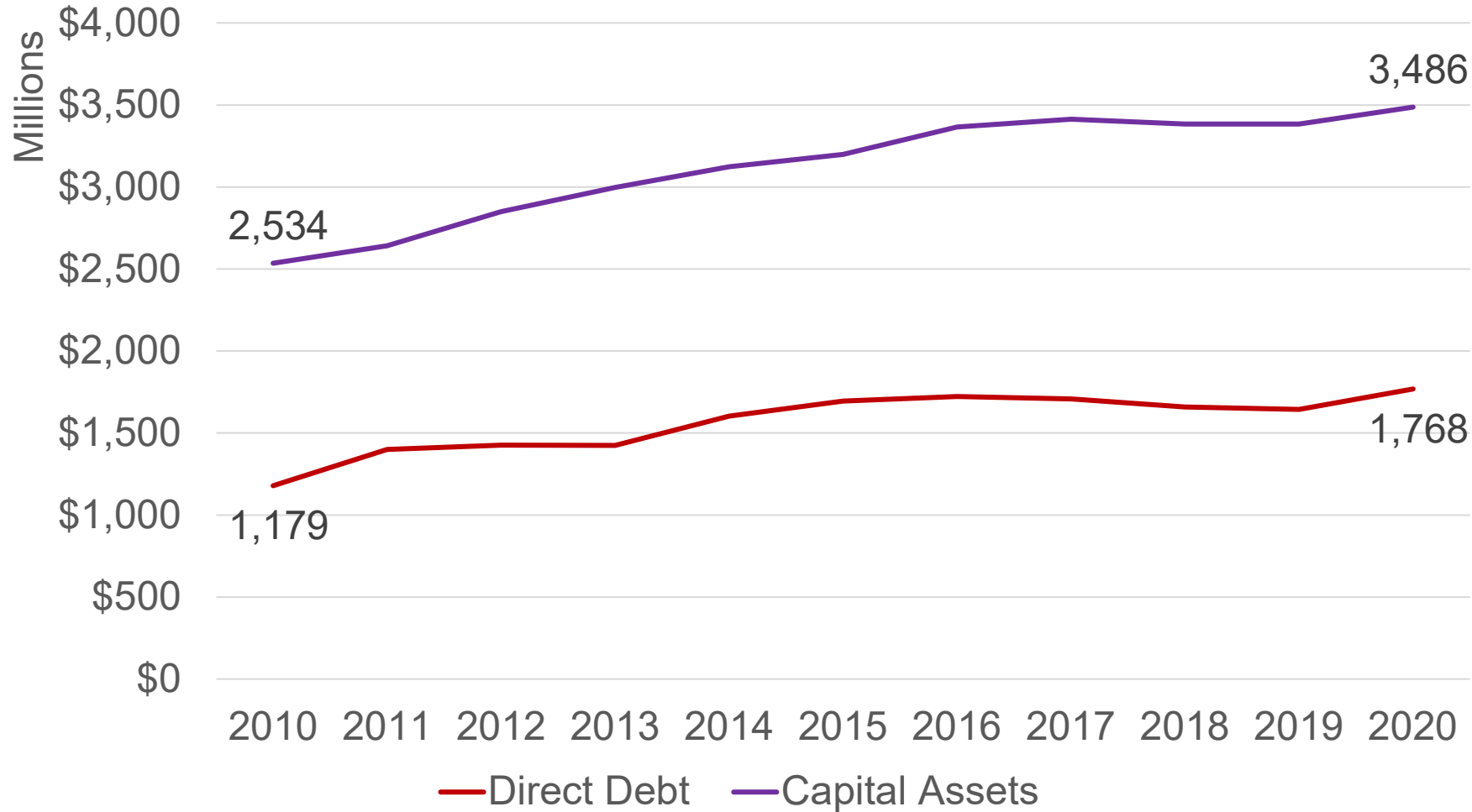
- Balance sheet strength helps weather pandemic
 - Liquidity well positioned after debt issuance and CARES act funding
 - Academic units spent reserves in FY2020 to maintain operations
- Strength of individual institutions varies
 - Healthcare has seen a rebound in revenues
 - MU and S&T have stronger reserve position to weather storm, but still need to make changes
 - UMSL and UMKC have lower reserve balances and will need to take more rapid action
- Key to future success remains shifting focus away from “allocation” and towards “earnings”

Cash Balances remain strong



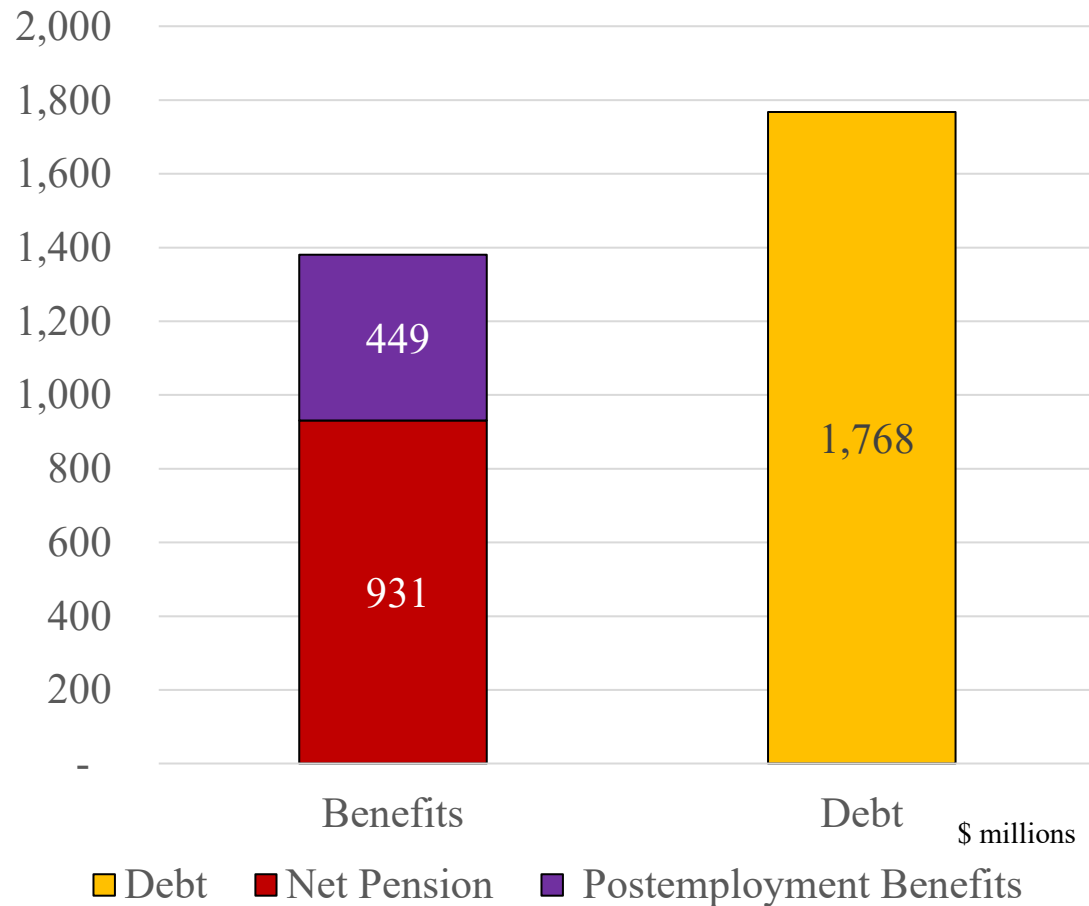
- Spendable Cash (investments outside the endowment) grew by \$111M in FY21
- \$124M of growth relates to debt issue for PHI – will be spent
- Academic units drew down on \$113M in reserves from pandemic

PHI investment increases capital assets and related debt



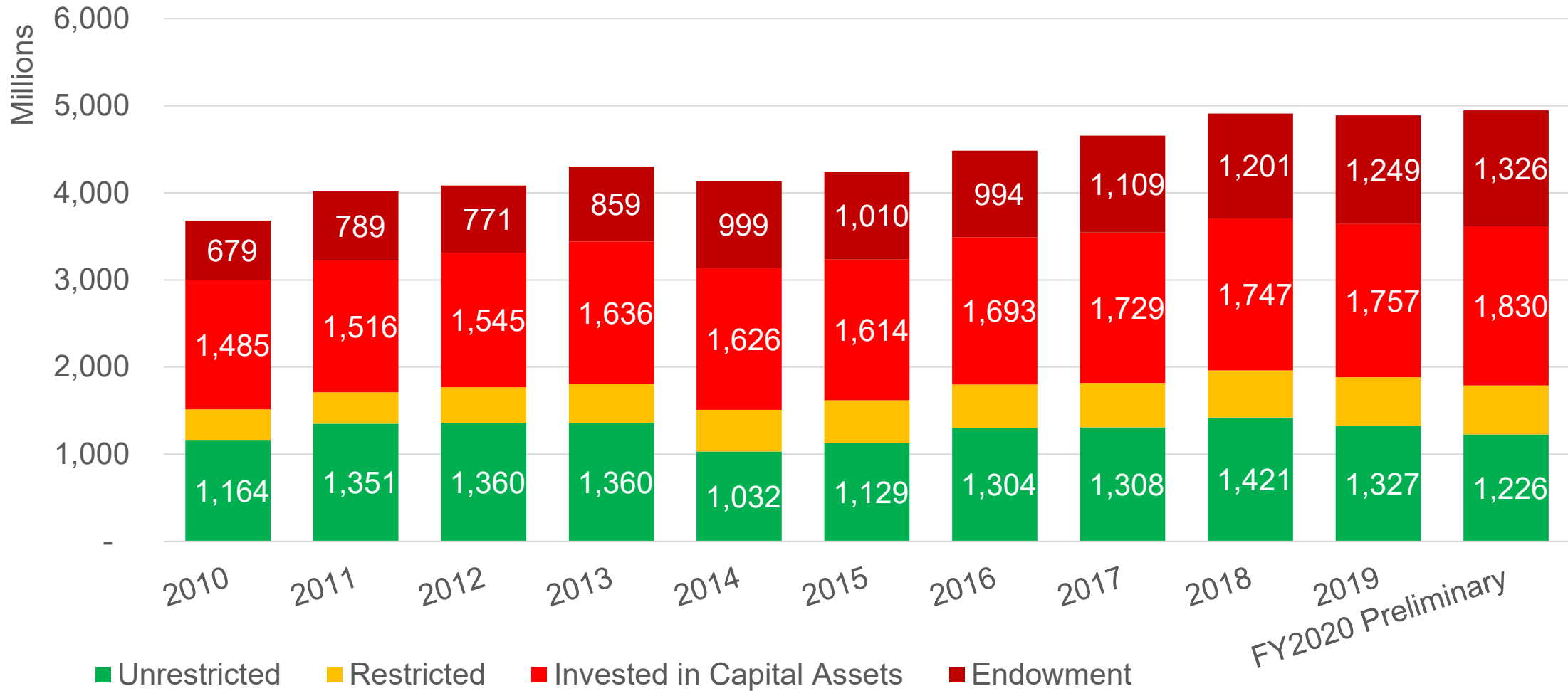
- Capital assets increase with the PHI initiative and related building
- Increase in debt to fund the building and solidify liquidity

Benefit liabilities remain significant



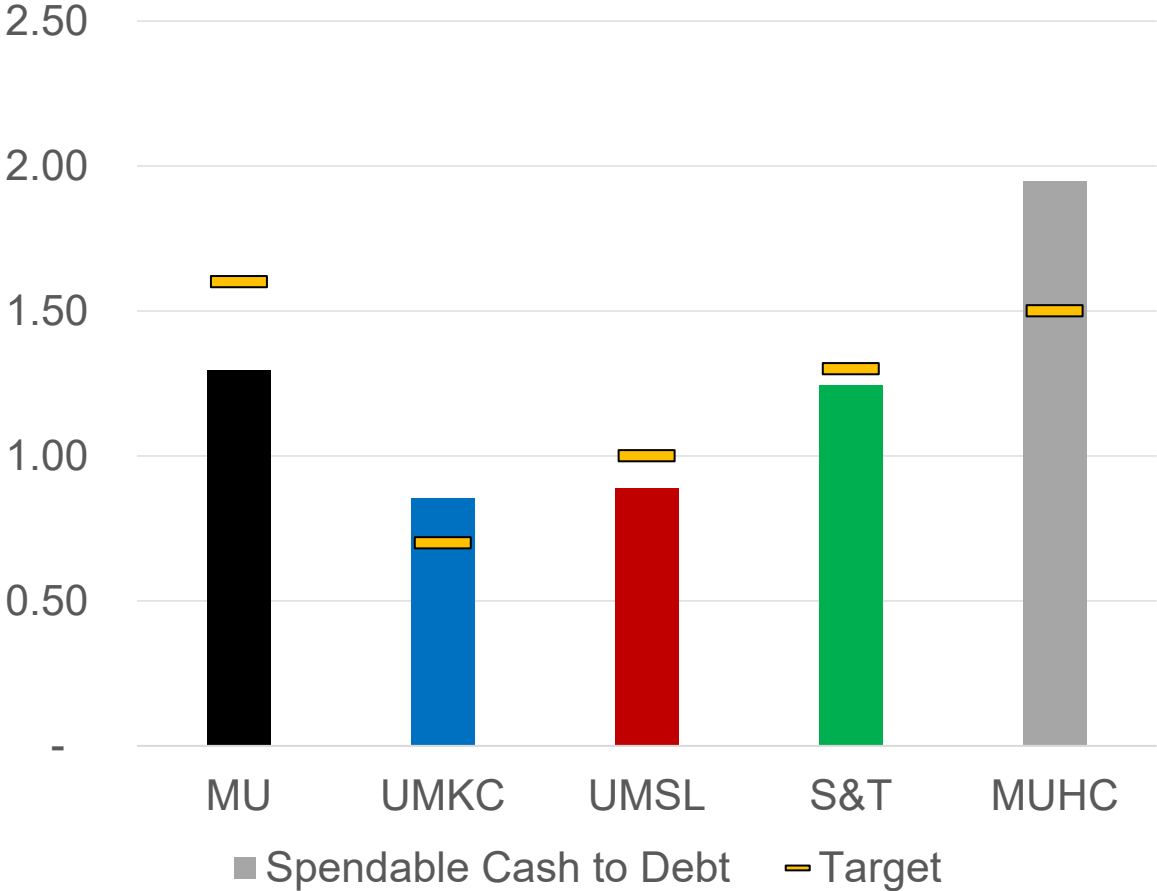
- Nationally, pension and post-employment benefits continue to grow faster than direct debt
- Plan is 80% funded, with \$3.8 billion in investments for \$4.7 billion liability.
- Pension is sensitive to investment returns, with a 1% miss on assumed return of 7.2% impacting the liability by \$500M over plan lifespan
- \$4.7 billion total liability will continue to grow for more than a decade even with plan closure

The majority of net position is restricted

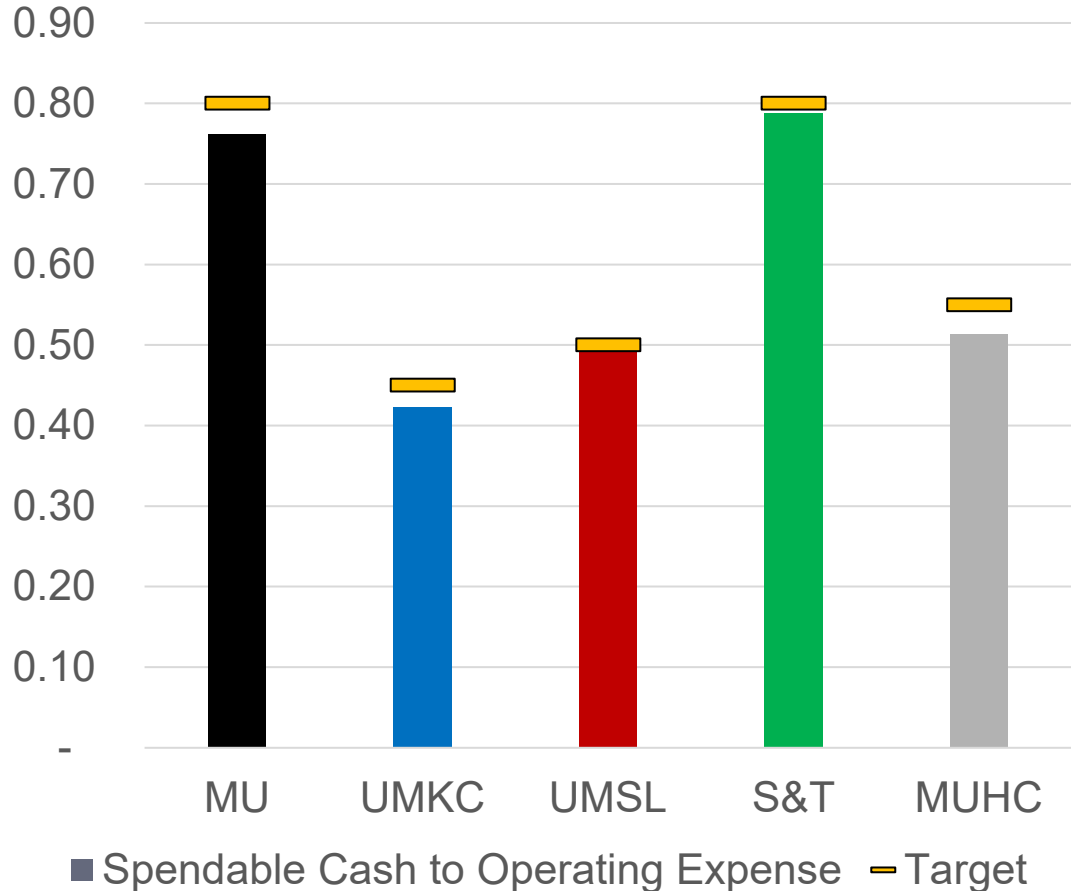


Balance sheet strength varies by unit

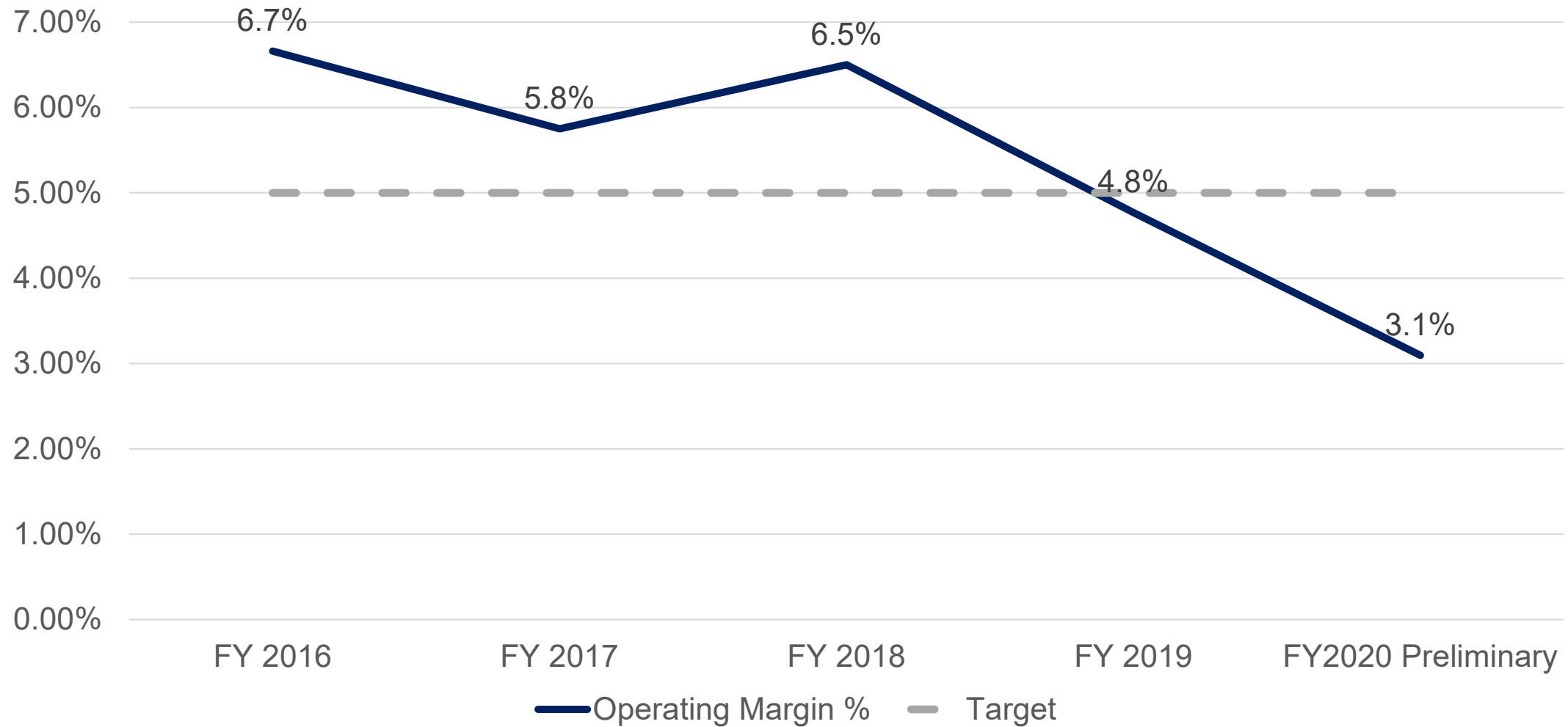
Spendable Cash to Debt by Unit



Spendable Cash to Operations

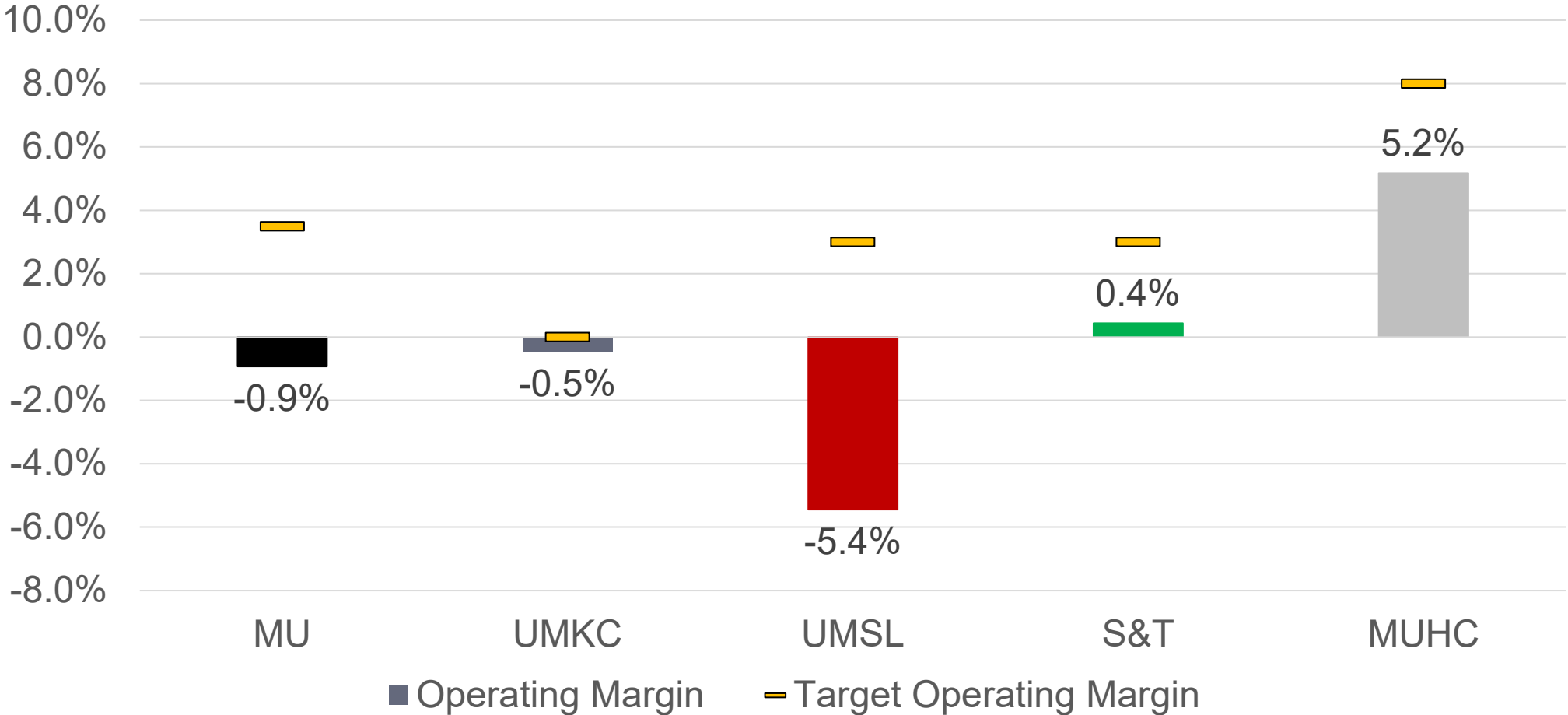


Operating margin fell

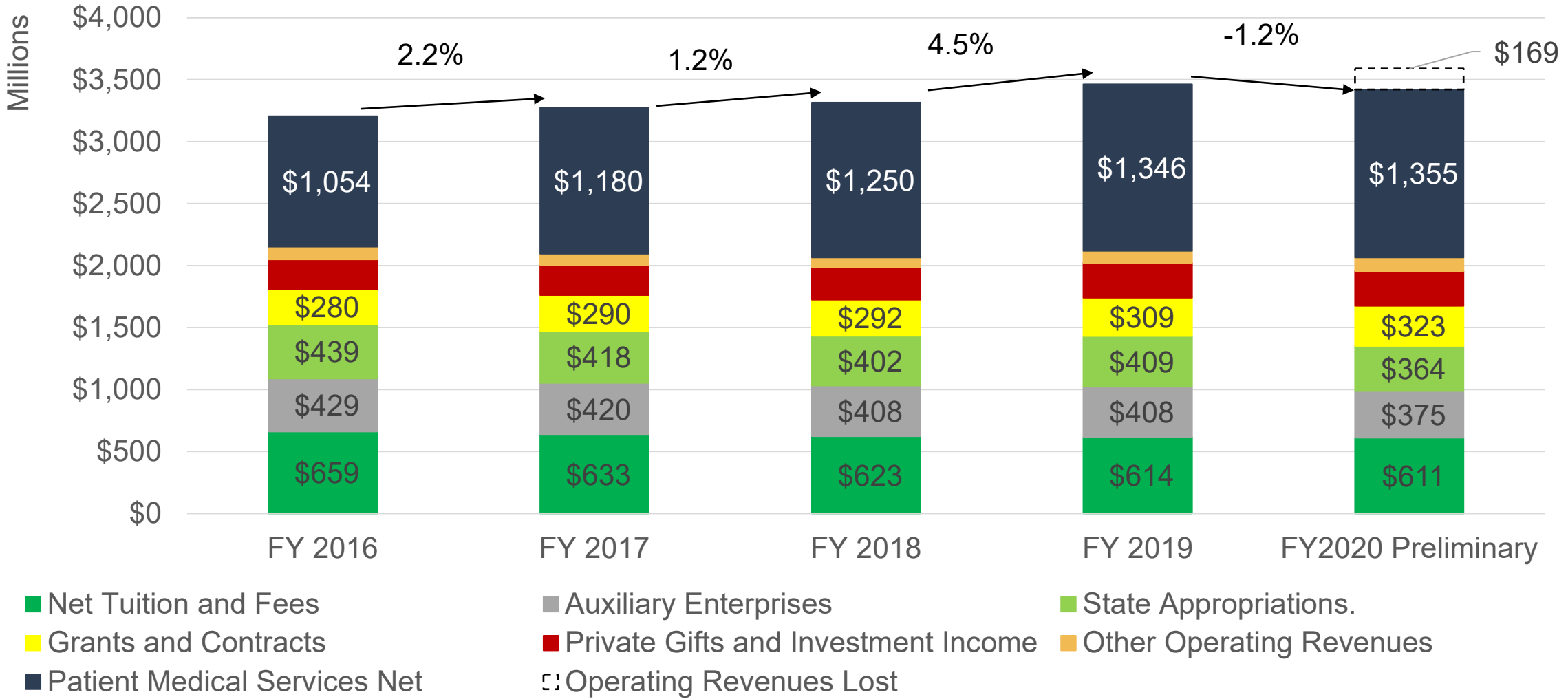


Academic units underperformed with pandemic

Operating Margin by Unit



Revenue growth challenged outside healthcare



Work Still Remains

- UM will continue to update budgets quarterly throughout the coming year
- Each University continues to evaluate the lasting revenue impact from the pandemic
- Expense management activities will continue – including structural changes where necessary
- Additional personnel actions are likely as more becomes known, many actions to date have been temporary in nature

Questions?

Financial Policies and Governance UM

The University of Missouri System was built upon the assumption that state and taxpayer resources would be the primary source of funding for Missouri's public research universities. The President's role, with oversight from the Board, was to help distribute these taxpayer funded resources in the most efficient manner possible, taking into account the needs of individual campuses and the needs of the State. The funding model for public higher education has shifted to one where students pay the majority of the cost of their education instead of the taxpayer.

Along with the consolidation of the role of the UM System President and the Chancellor of the University of Missouri, the Curators also established the Council of Chancellors (CoC). Each chancellor will be provided more autonomy over their campus and expanded participation in decision-making on UM System matters. Greater autonomy and responsibility will also result in greater accountability of the chancellors to meet their mission and to achieve expected financial performance. Over the next 2 months (by the November, 2020 Board of Curators meeting), the chancellors will develop a plan for governance as stipulated in the Board of Curators resolution of July 28, 2020. In the next sections, draft concepts are provided in response to the queries from members of the Board. The draft concepts are purposefully open-ended to encourage Board discussion and allow for further direction and definition.

The shift in the role of the President and the UM system will also result in changes in the model and expectation of financial performance for each university. Under the prior model UM System Administration, as a separate financial entity, could provide a backstop to the individual universities if one ran into significant hardship. UM carried large reserve balances to potentially backstop a struggling campus outside of MU, although in recent years the Health System became large enough in relation to reserves where this backstop would not be effective. The financial management focus remained upon a President being accountable for overall financial performance and holding individual campuses and chancellors accountable for their contributions to that performance.

At the September Board Meeting, Vice President Rapp will lead a discussion with the Finance Committee on the desired policy updates necessary to reflect this reality. Areas of discussion with questions and draft responses are provided below:

Tuition

- *Should campuses have freedom on rate setting (within the bounds of statute)?*
- *How should the market play into tuition rates?*

With greater autonomy and responsibility comes greater accountability. Each chancellor will have the ability to set tuition rates at levels deemed market competitive for their students, within the bounds of the Missouri Higher Education Student Funding Act (HESFA). This would include allowing each University the ability to seek a tuition

September 24, 2020

increase waiver from Missouri Department of Higher Education. Tuition and fee approval remain an approval right of the Board and will follow the standard calendar with approval in the spring of each year. Each chancellor will have freedom to design their relevant tuition strategy under applicable state statute with final approval by the Board of Curators.

Resource Allocation from the System

- *How will UM set state advocacy priorities in the new model?*
- *How will strategic resource generation from investments (“central bank dividend”) fund mission enhancement?*
- *Will core state appropriations continue to be maintained for each University in a pro-rata manner?*

Instead of flowing through the Missouri Compacts Program, each chancellor will receive pro-rata share of investment earnings from the University’s general pool investments. To utilize the dividend, each chancellor must first meet their financial performance targets. Each chancellor must submit a plan to the Board for approval for the strategic use of the dividend, and this will be the source of future strategic funding for each campus.

The historical role of the President was to allocate (with Board approval) state appropriations to best serve the mission and to achieve excellence at the 4 universities of the UM System. This role is well served when core appropriations grow faster than inflation, as they largely did in the period from 1965-2000. However, since 2000, the paradigm has shifted in public higher education and the state continues to fund a smaller share of each university’s budget. The role of System as an allocator must shift to reflect this reality. Excluding line-items approved by the legislature and increases based on performance against criteria defined by the legislature, the System has not received a core increase since 2009. Over this time, cuts have been distributed as their pro-rata share across the campuses. The President distributed performance funding differentially through a strategic funding process in 2014 and 2015. On a forward basis, the System will maintain the pro-rata share of appropriations with any change to the relative share requiring Board approval. The annual request for appropriations will be reviewed by the Council of Chancellors prior to presentation to the Board for vote as a part of the appropriations request process. The institutions will still agree to a strategy on priorities and advocate as a single group for the appropriation priorities approved by the board.

Financial Accountability and Performance

- *How will financial accountability become a larger responsibility for chancellors?*
- *What levers should be utilized to help future boards manage financial performance?*
- *How will the credit worthiness of each campus and capital projects be evaluated?*

The UM System will still provide many of the services necessary in managing a balance sheet (banking, debt issuance, investment management, etc.), but each chancellor will be responsible for achieving the mission and delivering the financial performance to ensure

September 24, 2020

continued operation. It is expected each University will meet a set of established financial performance metrics. The financial performance metrics would be approved by the Board. The financial performance metrics will also define red-line thresholds that cannot be crossed. The Chancellor will be responsible for financial performance of their University. Should one university's under-performance require transfer of assets or other support from the universities that have met their performance expectations such collateralization/capitalization will occur only with the approval of the Board of Curators and within the context of the financial performance metrics and thresholds established in policy.

Examination of the performance across all universities and the related impact on borrowing costs and investment earnings will be required to implement this policy well and a period of transition will be necessary. New models of allocation of dividends, debt capacity, and capital among universities must increase transparency. The UM System Finance team will also explore implementing revised financing policies, potentially adjusting both the rates of interest and returns on invested capital. This will be important in capital investment decisions requested by the chancellors and approved by the Board of Curators. The rate and allocation differentials will serve to ensure that one university does not overconsume resources and assets of the other universities. Interest rates and other funding mechanisms will seek to reflect market differentials, and any savings from the collective financial strength of the enterprise will be shared amongst those entities considered additive to the enterprise's creditworthiness. The financial health of the system will only be maintained so long as the sum of the institutions remains greater than the sum of the parts and the financial policies of the System will be revised to reflect the same.

The Board retains approval rights of key financial decisions, including:

- Capital projects
- Debt issuance
- Operating Budgets

These processes should be enhanced with the establishment of financial performance thresholds that must be met prior to Board approval. The Board should consider codifying the formal establishment of financial performance targets for each university in a board approved policy. The financial performance expectations should serve as a gate to prevent projects or the issuance of debt from proceeding without performance against policy expectations.

Based on the discussion and feedback from the Finance Committee and full board at the September meeting, the University's leadership team will take the Board's feedback and draft updates to current governing policies to reflect the desired changes.

September 24, 2020

**ACADEMIC, STUDENT
AFFAIRS, RESEARCH AND
ECONOMIC DEVELOPMENT
COMMITTEE**

ACADEMIC, STUDENT AFFAIRS, RESEARCH AND ECONOMIC DEVELOPMENT COMMITTEE

Darryl M. Chatman, Chair

Greg E. Hoberock

Jeff L. Layman

Phil H. Snowden

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

I. Scope

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

II. Executive Liaison

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

III. Ex Officio Member

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

IV. Responsibilities

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

1. Selection of Curators’ Distinguished Professors;
2. Approval and review of new degree programs;
3. Intercollegiate athletics, as specifically outlined in Section 270.060 of the Collected Rules and Regulations with a commitment to the academic success, and physical and social development of student-athletes;
4. Changes to university-level admissions requirements, academic standards, student services, and graduation requirements;
5. Quarterly and annual reports providing information on academic programs that have been added, deactivated, or deleted; and
6. Highlight successful research and economic development efforts and partnerships; linking research and commercialization from the University with business and industry across the state and around the world. Additional matters customarily addressed by the academic, student affairs, research & economic development committee of a governing board for an institution of higher education.

Approved by the Board of Curators: April 9, 2020

University of Missouri



Board of Curators

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

**Wednesday, September 16, 2020
10:30 A.M.**

This Committee Meeting is being held in conjunction with the September 24, 2020 Board of Curators Meeting.

Originating:

From remote locations via conference telephone and Zoom webinar.

Please click the link below to join the webinar:

<https://umsystem.zoom.us/j/92081758249>

Or Telephone:

Dial US: +1 646 876 9923

Webinar ID: 92081758249

AGENDA

PUBLIC SESSION – 10:30 A.M.

Call to Order – Chair Chatman

Roll Call of the Committee

Action

1. New Degree Program, MA in Defense and Strategic Studies, MU (Steve Graham)
2. New Degree Program, MS in Supply Chain Analytics, UMSL (Steve Graham)
3. Naming Opportunity, MU (Steve Graham)

Recess

Executive Summary

M.A. in Defense & Strategic Studies

This proposal is for a 30-credit, online Master of Arts degree program in Defense and Strategic Studies at the University of Missouri-Columbia. The program will be housed within the Department of Political Science and will fit with the university mission in a variety of ways. It will build new connections between Mizzou and the US military, increase the University of Missouri's presence in online education, and provide a service to the people of Missouri and beyond. It will also expand student enrollment in the department and the University as a whole. The program is unique in the University of Missouri system and the state of Missouri more broadly.

Defense and Strategic Studies is an important area of study centered on understanding political and military strategy, concerned with topics such as military power and effectiveness, intelligence, diplomacy, and deterrence. The proposed MA program meets a current and expanding need of US military officers and the civilian workforce in industries, government agencies, and think tanks who drive and operate US national security programs and policy. The proposed degree is useful for military officers because they need to earn a master's degree for promotion to higher ranks, and strategic studies is a field that is substantively beneficial to their careers as they increasingly have to concern themselves with international politics and strategy in the execution of their jobs. Similarly, civilians working in the national security sector will also find the program useful for expanding their theoretical and empirical knowledge base important for their positions.

Burning Glass and other market analysis suggests that there is strong demand for the program. A major part of the demand is driven by United States military officers—more than 1,200 students every year—seeking a civilian master's degree in concert with their professional military education, such as the Army's Command and General Staff College. In addition, there is strong demand in the civilian job market for Strategic Studies master's degree recipients, with nearly 2,700 job postings currently available. The number of jobs in the area is expected to continue growing, adding close to 50,000 positions over the next ten years. This program has been geared to take advantage of these market opportunities, providing students with a quality University of Missouri education that meets their needs.

The budget and financial projections for the MA in Defense and Strategic Studies are strong. They show that the proposed program is financially feasible, and is projected to be net-revenue positive in the first year. It is designed to be self-supporting by offering the degree online to a broad audience. Although multiple current political science faculty have expertise in the area, they are also needed for supporting existing programs in addition to the proposed one. The Political Science department will arrange faculty teaching assignments to ensure proper coverage to launch the program, but we anticipate hiring a tenure-track assistant professor to start in year four of the program so that we will be able to teach the required number of courses for the Strategic Studies program while continuing to offer the courses needed for the existing undergraduate and graduate programs.

No. 1

Recommended Action – MA Defense & Strategic Studies, University of Missouri – Columbia

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

that the University of Missouri, Columbia be authorized to submit the attached proposal for a MA Defense & Strategic Studies to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee:	YES	NO
Curator Chatman		
Curator Hoberock		
Curator Layman		
Curator Snowden		

Roll call vote of Board:	YES	NO
Curator Brncic		
Curator Chatman		
Curator Graham		
Curator Hoberock		
Curator Layman		
Curator Snowden		
Curator Steelman		
Curator Wenneker		
Curator Williams		

The motion _____.

Master of Arts in
Defense and Strategic Studies
University of Missouri – Columbia

New Degree Proposal | September 2020

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Executive Summary

This proposal is for a 30-credit, online Master of Arts degree program in Defense and Strategic Studies at the University of Missouri-Columbia. The program will be housed within the Department of Political Science and will fit with the university mission in a variety of ways. It will build new connections between Mizzou and the US military, increase the University of Missouri's presence in online education, and provide a service to the people of Missouri and beyond. It will also expand student enrollment in the department and the University as a whole. The program is unique in the University of Missouri system and the state of Missouri more broadly.

Defense and Strategic Studies is an important area of study centered on understanding political and military strategy, concerned with topics such as military power and effectiveness, intelligence, diplomacy, and deterrence. The proposed MA program meets a current and expanding need of US military officers and the civilian workforce in industries, government agencies, and think tanks who drive and operate US national security programs and policy. The proposed degree is useful for military officers because they need to earn a master's degree for promotion to higher ranks, and strategic studies is a field that is substantively beneficial to their careers as they increasingly have to concern themselves with international politics and strategy in the execution of their jobs. Similarly, civilians working in the national security sector will also find the program useful for expanding their theoretical and empirical knowledge base important for their positions.

Burning Glass and other market analysis suggests that there is strong demand for the program. A major part of the demand is driven by United States military officers—more than 1,200 students every year—seeking a civilian master's degree in concert with their professional military education, such as the Army's Command and General Staff College. In addition, there is strong demand in the civilian job market for Strategic Studies master's degree recipients, with nearly 2,700 job postings currently available. The number of jobs in the area is expected to continue growing, adding close to 50,000 positions over the next ten years. This program has been geared to take advantage of these market opportunities, providing students with a quality University of Missouri education that meets their needs.

The budget and financial projections for the MA in Defense and Strategic Studies are strong. They show that the proposed program is financially feasible, and is projected to be net-revenue positive in the first year. It is designed to be self-supporting by offering the degree online to a broad audience. Although multiple current political science faculty have expertise in the area, they are also needed for supporting existing programs in addition to the proposed one. The Political Science department will arrange faculty teaching assignments to ensure proper coverage to launch the program, but we anticipate hiring a tenure-track assistant professor to start in year four of the program so that we will be able to teach the required number of courses for the Strategic Studies program while continuing to offer the courses needed for the existing undergraduate and graduate programs.

1. Introduction

Strategic Studies is an important area of study centered on understanding political and military strategy. From classical thinkers such as Sun Tzu and Carl von Clausewitz to more modern strategists, strategic studies has been concerned with understanding topics such as military power and effectiveness, intelligence, diplomacy, and deterrence. These subjects are continually important for understanding international politics and security in an increasingly complex world.

We propose to provide graduate education in this vital area by creating an online MA in Defense and Strategic Studies, to be housed within the Department of Political Science. This program will build new connections between the University of Missouri and the United States armed forces, increase Mizzou's presence in online education, and provide a service to the people of Missouri and beyond. It will also expand student enrollment in the department and the University as a whole.

The MA in Defense and Strategic Studies program is targeted toward US military officers and the civilian workforce in industries, government agencies, and think tanks related to international relations and national security. The proposed degree is useful for military officers because they need to earn a master's degree in order to get promoted to higher ranks, and strategic studies is a field that is not only of interest to a typical military officer, but it is also substantively beneficial to their careers as they increasingly have to concern themselves with international politics and strategy in the execution of their jobs. Similarly, civilians working in the national security sector will also find the program useful for expanding their theoretical and empirical knowledge base, which will in turn increase their technical competence in their positions.

The MA in Defense and Strategic Studies program will require 30 credit hours, and it will be offered entirely online. Full-time students with transfer credit for military schooling should be able to complete the program in one year, while part-time students will be able to complete the program in two years. A series of 8000-level courses within the political science department will serve as the core of the program, while 7000-level courses will be offered as electives. Most of the 7000-level courses will be created from existing 4000-level courses, while most 8000-level courses will be created from existing 9000-level courses.

The first steps toward the creation of a program in Defense and Strategic Studies at the University of Missouri were undertaken in Spring 2012, with the creation of an undergraduate minor. A few students have taken the minor each year since then, but the best path toward bringing new students to the university in order to study strategic studies is to have an MA degree in the field. An MA degree is also more valuable to the targeted military and civilian markets because they will already have undergraduate degrees.

The faculty of the Department of Political Science voted to support the MA in Defense and Strategic Studies program in October 2018. The appropriate faculty committees of the College of Arts and Science also reviewed the program, and Patricia Okker, Dean of the College of Arts and Science, endorsed the program in February 2019. The Graduate Faculty Senate, Provost, and Chancellor all approved the preliminary proposal for the program in May 2019.

The Director of the Strategic Studies program is Stephen Quackenbush, Associate Professor of Political Science. Administrative and other program expenses will be fully paid for by the revenues drawn in by the program itself.

2. Fit with University Mission and Other Academic Programs

2.A. Alignment with Mission and Goals

The University of Missouri mission statement is: “Our distinct mission, as Missouri's only state-supported member of the Association of American Universities, is to provide all Missourians the benefits of a world-class research university. We are stewards and builders of a priceless state resource, a unique physical infrastructure and scholarly environment in which our tightly interlocked missions of teaching, research, service and economic development work together on behalf of all citizens. Students work side by side with some of the world's best faculty to advance the arts and humanities, the sciences and the professions. Scholarship and teaching are daily driven by a commitment to public service — the obligation to produce and disseminate knowledge that will improve the quality of life in the state, the nation and the world.”

The MA in Defense and Strategic Studies fulfills this mission in a variety of ways.

- It is a unique program in the state of Missouri, in keeping with MU's status as the premier state-supported institution.
- With its focus on serving the military and national defense communities, a commitment to public service is at the heart of the MA in Defense and Strategic Studies.
- The US military is a major contributor to the economy of Missouri. There are over 43,000 military personnel in the state, and defense spending in the state accounts for more than \$10 billion, or close to 4% of the state GDP. A 2013 estimate showed that the military accounts for nearly \$40 billion in total economic impact and added 275,350 direct and indirect jobs.¹ Missouri is home to two major military bases, Fort Leonard Wood and Whiteman Air Force Base, while Scott Air Force Base, Illinois, is in the St. Louis metropolitan area, and Fort Leavenworth, Kansas is in the greater Kansas City area. In addition, the National Geospatial-Intelligence Agency has a

¹ See estimates from the National Conference of State Legislatures at <http://www.ncsl.org/research/military-and-veterans-affairs/military-s-impact-on-state-economies.aspx>.

major facility in St. Louis, and the National Nuclear Security Administration has a major facility in Kansas City.

- The program will enliven the intellectual environment in the department and provide additional revenue to the university. This will enhance the teaching and research missions not only in the Department of Political Science, but also in undergraduate interdisciplinary programs such as Peace Studies and International Studies.

The campus strategic plan identifies a number of opportunities for building the flagship university of the future. Among those, two are particularly relevant for the MA in Defense and Strategic Studies program. Most obviously, the MA in Defense and Strategic Studies would contribute to the plan for growth of online and distance education. The proposed program would not just be a new degree program, but it would be a new online program. Furthermore, it would bring new distance students to the University of Missouri who would be unlikely to attend otherwise. The campus strategic plan also calls for developing expanded partnerships with industry and the state government. This program would contribute to that mission as well, and would expand it to developing partnerships with the federal government, not just the state government.

The proposed degree program also directly addresses the university's goal to provide excellent service to current and former members of the military. As Dr. Jeni Hart, Dean of the Graduate School, writes in her letter of support, the program "is uniquely positioned to support MU's status as a Purple Heart University and is aligned with MU's priorities to better serve active military personnel and veterans." Similarly, Robert Ross, Director of the Student Veterans Resource and Support Center, writes that one of the priorities of the Chancellor's Military and Veterans Standing Committee is identifying "degree programs that attract veterans and military service members." Not only does the proposed program do that, it also "represents an enhancement of Mizzou's reputation as a veteran and military friendly campus."

Finally, the MA in Defense and Strategic Studies will contribute to priorities of the College of Arts and Science and the Department of Political Science to expand enrollment and enhance graduate education, as highlighted by the letters of support from Dr. Patricia Okker, Dean of the College of Arts and Science, and Dr. Lael Keiser, Director of the Truman School of Public Affairs and Interim Chair of the Department of Political Science. It is expected that every student in the program will be a new student at the University of Missouri, rather than competing with other programs at the university. Furthermore, as a new graduate program, it will help strengthen graduate education in the department, and could lead to additional students seeking a PhD in the department after completion of the MA in Defense and Strategic Studies.

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

The proposed MA in Defense and Strategic Studies program does not duplicate any other program in the UM System.

As for institutions in Missouri but outside the University of Missouri system, Missouri State University has the most similar program, with an MA in Defense and Strategic Studies. However, their program is a classroom-based program only offered at their Washington, DC area campus. The structure of their program is also quite different.

Webster University does offer a somewhat similar program that is completely online. However, it is an MA in International Relations, rather than Strategic Studies, and so therefore it is a very different degree program because it does not offer the focus of the MA in Defense and Strategic Studies.

By being online, the proposed program can reach an audience across the country, so it is important to consider competition beyond the state of Missouri as well. The primary national competitors to the MA in Defense and Strategic Studies program fall into two categories.

The first category is programs that offer courses at military bases, particularly those that offer Intermediate Level Education (ILE) programs. A key example of this is the MA in Security Studies program at Kansas State University. In their program, Kansas State offers courses at Fort Leavenworth, Kansas, to military officers who are enrolled in the Command and General Staff School there. Thus, they are targeting a similar audience as the proposed program, as explained in detail in section 3.A.1. However, by being online, the proposed program will be able to reach a much broader audience, including those military students who are enrolled in ILE programs at locations other than Fort Leavenworth.

The second category of primary competition is purely online programs that are similar to the proposed MA in Defense and Strategic Studies. Burning Glass analysis reveals 36 such programs. Some, such as the MA in International Security Studies at the University of Arizona and the Master of Defense and Strategic Studies at the University of Texas at El Paso, are from public institutions. Others, such as the MA in Defense and Strategic Studies at Norwich University and the MA in International Relations at American University, are from private universities.

There are also programs at the American Military University, which is a for-profit, online-only university that specifically targets military personnel and is very popular with them. Of particular relevance, they offer an MA in National Security Studies and an MA in International Relations and Global Security. Although these programs do not appear in the Burning Glass analysis, they are quite popular among military officers.

We believe the proposed MA in Defense and Strategic Studies offers several advantages over competing programs, and we will aim to highlight these advantages in our marketing campaign. First, the focus on strategic studies provides better preparation for military officers and civilians working in positions relating to national strategy and security policy than more generic international relations programs. Second, the strength of the University of Missouri and our faculty provide an advantage over programs at lesser-known universities. Conversations with multiple current and former military officers indicates that well-known universities, such as Mizzou, are generally preferred. The third key advantage of the proposed program is that it has a shorter time to degree completion. This is particularly important for military officers, who will be able to complete the program in one year alongside their ILE schooling. Even part-time students can complete the program within two years. Fourth, the proposed program offers a very competitive tuition rate compared with others, and it is significantly lower than several of the main competitors such as American University. Given all of these advantages that the proposed program offers, we believe that it will be able to compete effectively with existing programs around the country.

Collaboration

Although there are currently no specific plans to collaborate with other programs either within the University of Missouri system or externally, collaboration could be feasible in several ways. We have had preliminary discussions with Keith Payne, Head of the Department of Defense and Strategic Studies at Missouri State University (based in Fairfax, Virginia) to provide MA in Defense and Strategic Studies graduates a seamless transition to their proposed Doctor of Defense and Strategic Studies program, if desired by the student.

Further, as an online program, it would be feasible for faculty at other universities such as University of Missouri-Kansas City, University of Missouri-St. Louis, Washington University, or Missouri State University to teach courses in the program. There is also potential for faculty within other departments at the University of Missouri to teach courses in the program.

3. Business-Related Criteria and Justification

3.A. Market Analysis

3.A.1. Need for Program

There are two primary audiences for the MA in Defense and Strategic Studies program, each of which produces enough demand to demonstrate need for the program.

The first target audience for the program is US military officers, particularly those in the ranks Major (Lieutenant Commander in the Navy) and Lieutenant Colonel (Commander in the Navy). Across the four branches of the US military, there are

about 44,000 officers at the rank of Major/Lieutenant Commander (O-4), about 27,000 officers at the rank of Lieutenant Colonel/Commander (O-5), and about 11,000 officers at the rank of Colonel/Captain (O-6).² These ranks are collectively known as field-grade officers, and they are the primary time in an officer's career to pursue a master's degree. A master's degree is very important for promotion to O-5, and is essential for promotion to O-6. In total, about 42% of active duty officers have an advanced degree.³ Furthermore, that percentage has increased over time, from 33.6% in 2004 to 41.6% in 2017.

During their time as a Major/Lieutenant Commander, officers attend a segment of professional military education called Intermediate Level Education (ILE). Each branch of service has their own program, although officers can attend the training from another branch.

- The Army's primary ILE program is Command and General Staff College (CGSC), based at Fort Leavenworth, Kansas. It serves about 1,200 resident and 5,000 nonresident students annually.
- The ILE program in the Navy is the College of Naval Command and Staff at the US Naval War College in Newport, Rhode Island. It is about half the size of the Army program, with about 700 resident and 2,500 nonresident students annually.
- For the Air Force, the primary program is the Air Command and Staff College at the Air University in Maxwell Air Force Base, Alabama. It has about 500 resident and 9,000 nonresident students annually.
- The Marine Corps ILE program is the Command and Staff College of the Marine Corps University at Quantico, Virginia. It has about 300 resident and 1,000 nonresident students annually.
- Finally, there is also a Department of Defense program called the Joint Forces Staff College. It is a part of the National Defense University and is located in Norfolk, Virginia. It has about 1,000 resident and 200 nonresident students annually.

Each class of these resident schools goes from August through June, and there are approximately 3,700 students who attend these schools each year. About one third of these resident students enroll in civilian master's degree programs each year, which is about 1,200 students per year. Others either get a master's degree through their military school (such as the Master of Military Art and Science offered by the Command and General Staff College) or forego a master's degree at that time.

In addition, there are about 17,000 students each year who go through nonresident versions of these ILE schools. While a smaller percentage of these officers pursue a master's degree simultaneously, there is still a large market. Further, they could pursue a master's degree following the completion of their ILE course.

² Military personnel figures are available at https://www.dmdc.osd.mil/appj/dwp/dwp_reports.jsp.

³ US Department of Defense, "2017 Demographics: Profile of the Military Community." Available at <http://download.militaryonesource.mil/12038/MOS/Reports/2017-Demographics-Report.pdf>. Accessed 3 September 2019.

The second target audience is the civilian workforce in industries, government agencies, and think tanks related to international relations and national security. Mizzou Online conducted market research analyses in August 2018 and again in January 2020 to examine the viability of the proposed degree program. In each case, their analysis focuses on the demand for an MA in Defense and Strategic Studies within this civilian audience.⁴

Civilian jobs related to the degree program include positions such as Military Analyst, Intelligence Officer, Project Manager, Strategic Planner, Policy Analyst, and Research Associate. Burning Glass analyses show that there is strong demand for Strategic Studies master's degree recipients within the civilian workforce, with nearly 2,700 job postings currently available (up from 1,900 in August 2018). Furthermore, the number of jobs in the area is expected to continue growing, adding close to 50,000 positions over the next ten years. Further, these jobs offer competitive salaries; the overall average salary is \$90,741, with an average entry-level salary of nearly \$74,000.

These jobs are located primarily in major metropolitan areas across the country, with Washington, DC and New York having the largest concentrations of positions. Within Missouri and surrounding states, the largest number of positions are in the Chicago, Fayetteville, Kansas City, and Knoxville areas. Of course, that does not count the military market in those states, which is quite significant as discussed previously.

The case for the proposed MA in Defense and Strategic Studies at the University of Missouri is very strong, which has been recognized by a variety of people. Letters of support are provided in the Appendix and are briefly summarized here.

- Dr. Richard E. Berkebile, Associate Professor of Joint, Interagency, and Multinational Operations at the United States Army Command and General Staff College, strongly supports the proposed program. He argues that “the offerings are both robust and pertinent to the contemporary international security environment” and that “the current generation of midlevel professionals desires online education.”
- Dr. Jeni Hart, Dean of the Graduate School at the University of Missouri, also offers “strong support” for the proposed program. She highlights the program’s “potential to build new relationships between MU and the US military.” Further, she argues that the “program will undoubtedly provide students with an outstanding education and preparation for their careers.”

⁴ Their Burning Glass analysis focuses on Classification of Instructional Programs (CIP) codes International Relations and Affairs (45.0901), National Security Policy Studies (45.0902), International/Global Studies (30.2001), and Peace Studies and Conflict Resolution (30.0501). They could not examine the CIP code for Strategic Studies, General (28.0601), however, because it is not valid for IPEDS reporting. Burning Glass analyses necessarily focus on civilian jobs because military job information is not available in the same way.

- Dr. Lael Keiser, Director of the Truman School of Public Affairs and Interim Chair of the Department of Political Science at the University of Missouri, describes how the “Department of Political Science is committed to supporting the [MA in Defense and Strategic Studies] degree both in providing resources for the launch, instruction by full-time faculty members, and staff support.” She also discusses how the Department of Political Science is currently working on forming a combined unit with the Truman School of Public Affairs. Further, “the proposed Strategic Studies degree fits squarely within the mission and vision of the Political Science Department at MU, as well as the planned combined unit.”
- Lieutenant Commander Matthew T. Knuth, of the US Navy Russia Strategy, Policy, and Engagement Branch at the Pentagon, points out that master’s degree programs are essential for military officers because they serve “as the key foundation for broadening their intellectual horizons before assuming duties in their senior officer” positions. Lieutenant Commander Knuth earned an MA in Political Science at the University of Missouri, studying under Professor Quackenbush. He points out that he “utilize[s] various concepts and tools learned in [his] MA program on a daily basis.”
- Dr. Patricia Okker, Dean of the College of Arts and Science at the University of Missouri, writes that the program has been reviewed by appropriate faculty committees within the college and she is delighted to recommend it for approval.
- Robert Ross, Director of the Veterans Center at the University of Missouri focuses on the way the program will benefit military and veteran students. He points out that one key priority of the Chancellor’s Military and Veterans Standing Committee is “identifying and recommending degree programs that attract veterans and military service members, including programs that allow prospective students to maximize the value of their applicable military experience.”

3.A.2. Student Demand for Program

With more than 1,200 military officers each year enrolling in civilian master’s degree programs during their Intermediate Level Education, we need to attract only a small percentage of those students in order for the program to be viable. We set 20 students as the target for enrollment in the first year, which is less than two percent of the relevant military population. There is, of course, a broader civilian population that is also relevant.

As discussed earlier, we believe that the proposed MA in Defense and Strategic Studies has several advantages over competing programs around the country. At least initially, it will likely be easier to reach potential students with a geographic connection to Missouri. Fortunately, the closest ILE program—the Army’s Command and General Staff College—is not only located in the Kansas City metropolitan area, it is also the largest of the ILE programs. Given these comparative advantages and

with aggressive marketing, we believe that we can meet that target of 20 students in the first year and then increase enrollment by 10 new students each year until we reach the target of 50 students starting the program in year four.

Student enrollment projections are shown in Table 1a. To estimate total enrollment in the program for each fall semester, we make four key assumptions. First, we assume that students who are military officers with transfer credits for their ILE training will complete the program in one year.⁵ Therefore, they only appear in the number of the fall semester in which they begin the program. Second, we assume that civilian students will make up about twenty-five percent of each cohort. Since they will not have the transfer credit for ILE courses, they will take longer to complete the program and are therefore reflected in the fall total enrollment numbers both for the semester they start the program, and for the following fall. Third, we assume that all military students in the program will be full-time. Military officers taking resident ILE have a break from their non-school duties from July through June in order to focus on their education. Further, they are specifically given time each day in order to focus on getting a master’s degree. Thus, they have the time and incentive to be a full-time student and complete their degree within one year. Fourth, we assume that civilian students will pursue the program part-time, taking one course at a time.

Table 1a. Student Enrollment Projections (anticipated total number of students enrolled in program during the fall semester of given year).

Year	1	2	3	4	5
Full-Time	15	23	30	37	37
Part-Time	5	12	17	23	26
Total	20	35	47	60	63

For Table 1b, we assume that we will be able to meet our target of 20 students for the initial cohort, and increase that number by ten students each year until we reach our target of 50 students in year four. The target was set at 50 students entering each year because that is the most that is sustainable given current and expected faculty resources. If in the future it seems clear that demand is strong enough to warrant expanding the program beyond 50, we could do so. That would require us to teach multiple sections of the core courses in the program and develop additional elective courses.

We also assume that all of the students in the program are new students to the university. The MA in Defense and Strategic Studies is strictly online because the anticipated student population is military and professional students who live across the country. Thus, there is no reason to expect that any students will come to the program from other programs at the university.

⁵ Transfer credit for military officers with ILE training is discussed more fully in section 5.B. Students must have received a B or better to be eligible for transfer credit.

Table 1b. Student Enrollment Projections (anticipated number of students enrolled during the fall semester of given year who were new to campus).

Year	1	2	3	4	5
Full-Time	15	23	30	37	37
Part-Time	5	7	10	13	13
Total	20	30	40	50	50

As an online program that is focused on mid-career professionals, we expect that the MA in Defense and Strategic Studies will have a low attrition rate. Again, this assumption is driven by the fact that ILE students have a specific, year-long window of time within which to complete their master’s degree. Table 1c shows the projected number of degrees awarded each year for the first ten years of the program.

Table 1c. Projected Number of Degrees Awarded

Year	1	2	3	4	5	6	7	8	9	10
# of Degrees Awarded	15	28	34	47	50	50	50	50	50	50

3.B. Financial Projections

Financial projections for the MA in Defense and Strategic Studies are shown in Table 2. These projections are discussed thoroughly in the following sections on resources needed, revenue, net revenue, and financial viability. In addition to Table 2 we also considered alternative scenarios. Scenario 1 assumes that the program starts with half of the number of students and grows more slowly. Scenario 2 assumes the same enrollment levels as the primary scenario, but with the addition of funding from Mizzou Online.

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>	1,200				
<i>Library</i>					
<i>Consultants</i>	15,000				
<i>Other</i>	60,000	30,000			
Total one-time	76,200	30,000			
B. Recurring					
<i>Faculty</i>	22,500	37,500	37,500	117,091	126,365
<i>Staff</i>	20,000	20,400	20,808	21,224	21,649
<i>Benefits</i>	15,139	20,624	20,769	49,268	52,657
<i>Equipment</i>					
<i>Library</i>					
<i>Other</i>	32,000	17,000	17,000	17,000	17,000
Total recurring	89,639	95,524	96,077	204,582	217,488
Total expenses (A+B)	165,839	125,524	96,077	204,582	217,488
2. Revenue per year					
<i>Tuition/Fees</i>	190,300	334,200	456,234	591,795	630,499
<i>Institutional Resources</i>					
<i>State Aid -- CBHE</i>					
<i>State Aid -- Other</i>					
Total revenue	190,300	334,200	456,234	591,795	630,499
3. Net revenue (loss) per year	24,462	208,676	360,156	387,213	413,011
4. Cumulative revenue (loss)	24,462	233,138	593,294	980,507	1,393,517

Table 2 Supplemental questions:

1. What are the specific sources of funds to support the new proposed program?
The new proposed program will be supported by tuition funds, which will be generated by the program itself. We will also apply for funding from Mizzou Online to get the program up and running.
2. If the new program is being funded through the 'core institutional budget,' what amount of funds will be reallocated and from which areas? (i.e., if existing resources are being used, please provide details.)
The Department of Political Science will provide support to get the proposed program up and running. Beyond that, there no funds will need to be reallocated from other areas to support the program.
3. Are there any programs that will be deleted as a result of implementing this new program?
No programs will be deleted as a result of implementing this program.
4. If the program will be supported by external funds, have the funding agency, the amount of funds, and whether they are one-time or ongoing funds been identified?
No external funds are expected to support the program.

3.B.1. Additional Resources Needed

The budget for the MA in Defense and Strategic Studies outlines expenses for faculty salaries, support salaries, noncapital equipment, professional and consulting, and travel and training. Some of these are one-time expenses, while others are recurring. Each expense type is discussed in turn.

One-time expenses

- *New/Renovated Space*: Faculty and support staff for the Strategic Studies program are in the Department of Political Science, so it is not anticipated that any new or renovated space will be required.
- *Equipment*: \$1,200 is budgeted for purchasing microphones needed for recording online lectures, as well as other miscellaneous equipment.
- *Library*: No additional library expenses are anticipated.
- *Consultants*: \$15,000 is budgeted for the creation of a professional website. Since the program is entirely online, the website will be of crucial importance for marketing and student recruitment.
- *Other*: \$90,000 is budgeted for course development funds to compensate faculty for developing the courses needed in the MA in Defense and Strategic Studies program. These courses will be developed over the first two years of the program.

Recurring expenses

- *Faculty*: Faculty salary expenses are divided into two subcategories: regular faculty and adjunct faculty. Regular faculty salary expenses are estimated in terms of FTE. We assume that each FTE earns \$75,000, increasing 2% per year. At the beginning of the program, we assume that all regular faculty teaching in the program will have already been faculty at the University of Missouri. In other words, 0 FTE worth of additional regular faculty will be needed at the program's outset. We also assume that a newly hired tenure-track faculty member will start in year four of the program. Adjunct faculty salaries are estimated by the course. We assume that each course will pay \$7500. Adjunct faculty will teach three courses in the first year, growing to six courses in year five. This results in \$22,500 budgeted for faculty salaries in year one of the program, increasing to \$126,182 in year five.
- *Staff*: The primary budgeted staff expense is for the director of the Strategic Studies program. This would be a salary augmentation on top of the director's faculty salary, in order to compensate for the duties of directing and administering the Strategic Studies program.
- *Benefits*: Benefits are calculated as a strict ratio of the estimated salaries.
- *Equipment*: It is not anticipated that there will be recurring equipment expenses for the Strategic Studies program.
- *Library*: No additional library expenses are anticipated.
- *Other*: The other expenses fall into two groups: travel and marketing. First, \$2,000 is budgeted each year for travel, enabling faculty to make recruitment trips to military schools and other key locations. We also budgeted \$30,000 in the first year for marketing the new program, and \$15,000 in subsequent years for marketing and website maintenance.

3.B.2. Revenue

Revenue needs will be met through base tuition and a program differential fee. We assume that the tuition rate will grow 2% annually from the 2019-2020 tuition of \$360; this is based on the trend of the consumer price index over the last five years and is well under the 2.6% average annual growth of tuition at the university over the past decade from 2010 to 2020.

In addition to tuition, the budgeted per credit hour fees include a differential fee, starting at \$150. The differential fee is proposed in order for the program to be competitive with other online programs and to help cover program costs. This results in a total per credit hour cost of \$552, which is significantly below the average of competing programs' tuition rates of \$783 per credit hour.⁶ This also allows a significantly lower program cost than even other low-cost programs. For example, although this per credit hour cost is higher than Troy University's per credit hour rate of \$494, the total program cost at Missouri will be lower because

⁶ This average tuition of competing programs comes from the Market Research Analysis conducted by Mizzou Online.

the proposed MA in Defense and Strategic Studies requires 30 hours, while Troy's program requires 36 hours.

Our total revenue for year one will be \$190,300 and increase to \$630,499 in year five, based on the enrollment projections in Table 1a. Because all students in the program are expected to be new students to the University of Missouri, none of these revenues represent shifts from other Mizzou programs.

3.B.3. Net Revenue

Even with the start-up costs, a net profit of \$24,462 is projected for the first year of the program. The positive margin for the program is expected to continue to increase from there, to \$208,676 in year two and \$413,011 in year five. The cumulative net margin through the first five years of the program is projected at \$1,393,517.

3.B.4. Financial and Academic Viability

Our projections of enrollment at the end of year five in order for the MA in Defense and Strategic Studies to be financially and academically viable are shown in Table 3. In order to assess financial viability, we adjusted the projected enrollment numbers downward.

In particular, the first alternative projection scenario details the projections if enrollment is 50% less than expected. For this scenario, it is assumed that enrollment in the first year is only 10, growing by 5 each subsequent year. In this scenario, we would reach 25 students in year four of the program. Although we would break even in year two, year four is the first year in which the program would comfortably do so, with a margin of \$92,193. Thus, we assess that the minimum enrollment for the MA in Defense and Strategic Studies to be financially viable is 25 students.

The consideration for academic viability is somewhat different. Given the online nature of the MA in Defense and Strategic Studies, we tried to determine what is the minimum enrollment in the courses to provide for a vibrant, active learning environment. Our assessment is that the minimum enrollment for the program to be academically viable is 15 students. Fewer students than 15 would greatly limit the discussion and variety of experiences that will be essential to this online program.

Table 3
Enrollment at the End of Year 5 for the Program to Be Financially and Academically Viable.

Viability	Minimum Enrollment
Financial	25
Academic	15
Overall	25

Based on Table 3, a minimum of 25 enrolled students is needed by year five in order for the MA in Defense and Strategic Studies program to be both financially and academically viable. Our break down of expected full-time and part-time students in year 5 is shown in Table 4. This is based on the assumptions detailed earlier that military students in the program will be full-time students, while civilian students will be part-time.

Table 4. Enrollment at the End of Year 5 for the Program to Be Financially and Academically Viable.

Enrollment Status	Full-Time	Part-Time	Total
Number of Students	18	7	25

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

Target recruitment audiences for our proposed MA in Defense and Strategic Studies program will be military officers attending Command and General Staff School or similar programs, other military personnel with undergraduate degrees, and civilians working in think tanks and government agencies related to international relations and security.

In our marketing campaign, we will aim to highlight the four key advantages discussed earlier that the proposed MA in Defense and Strategic Studies offers over competing programs. Again, they are:

1. The focus on strategic studies provides better preparation for military officers and civilians working in positions relating to national strategy and security policy than more generic international relations programs.
2. The strength of the University of Missouri and our faculty provide an advantage over programs at lesser-known universities. Conversations with multiple current and former military officers indicate that well-known universities, such as Mizzou, are generally preferred.
3. The proposed program has a shorter time to degree completion. This is particularly important for military officers, who will be able to complete the

- program in one year alongside their ILE schooling. Even part-time students can complete the program within two years.
4. The proposed program offers a very competitive tuition rate compared with others, and it is significantly lower than several of the main competitors such as American University.

Our marketing will be delivered through three main channels:

1. Internet Search

Much of our marketing strategy for the MA in Defense and Strategic Studies program will focus on internet searches. We will seek to maximize University of Missouri, including Mizzou Online, resources to support the program. In addition, we will work with a professional marketing team to ensure that we maximize our marketing efforts. Our preliminary marketing approach includes:

- A website for the program will be developed and include search engine optimization to make our program be returned in the first few items for searches on “Strategic Studies”, “Security Studies”, “International Security”, and “International Relations”.
- We will purchase Google Adwords and Facebook advertising driving focused candidate students to our site.

2. Recruiting Trips

The director of the Strategic Studies program, as well as other faculty as appropriate, will go on recruiting trips to key locations, including:

- Military ILE schools (e.g., Army Command and General Staff College, Naval War College, Air University). We already have several points of contact at the Army Command and General Staff College. We will work to develop similar contacts at other ILE institutions.
- Military bases and other government institutions in the international security sector within Missouri and neighboring states.
- Career and Graduate School fairs focusing on positions in the international security sector.

3. Mizzou Alumni

We will also work on recruiting University of Missouri alumni in Political Science and related disciplines. This can take several forms, including:

- Direct email marketing to Mizzou alumni with undergraduate degrees in Political Science or minors in Aerospace Studies, Military Science, Naval Science, or Strategic Studies.
- Word of mouth advertising through networks of alumni and others in the discipline. In particular, one of our PhD alumni is a professor at the Army’s Command and General Staff College, whose students are one of our key markets.

4. Institutional Capacity

Financial:

The Strategic Studies Program will be financially self-sustaining, as can be seen in the financial projections in section 3.B. The potential student pool of the program is not limited by campus physical presence, as the program is an online degree for working professionals. This dramatically increases the number of potential students, as they may participate in the program from anywhere in Missouri, the country, or even the world. The program costs each student pays will adequately support the expenditures of the program for said student.

Faculty:

The teaching duties of Political Science faculty will be shifted in order to teach the core courses in the first year, while adjunct professors of the practice will be hired to teach electives. As the program grows, additional regular faculty will be needed in order to teach the required number of courses for the Strategic Studies program while continuing to offer the courses needed for the undergraduate and graduate programs in Political Science. We anticipate hiring a tenure-track assistant professor to start in year four of the program.

5. Program Characteristics

5.A. Program Outcomes

Students will be required to show proficiency in coursework, including papers and other assignments. The courses will work together to deepen and broaden students' knowledge of international security and strategy. Graduates will be able to demonstrate mastery of international relations theory, particularly as it relates to international conflict and security.

We expect that graduates will take the knowledge learned in graduate school and apply it in their continuing careers. Military officers should be able to make command decisions and complete staff assignments with greater understanding of the broader context surrounding them because of their broadened intellectual horizon and increased understanding of international relations theory, conflict, and security learned through the program. Similarly, the intellectual base and knowledge gained in the program will enable civilian graduates to better perform job duties at positions in government agencies, think tanks, and industries related to international security.

The specific knowledge the graduating students will acquire or possess include:

- An understanding of military history, particularly related to the Napoleonic revolution in warfare, World War I, World War II, and modern wars in the Middle East and Asia.
- The causes of international conflict, including topics such as power, territory, alliances, and the democratic peace.

- Civil war and insurgency, including the onset, dynamics, and legacies of violence in intrastate conflict.
- The process and history of American foreign policy.
- The history and applications of strategic theory, from classical theorists such as Sun Tzu and Clausewitz to modern theorists.
- Strategic threats and opportunities around the world, including in the South China Sea, Korean Peninsula, and the Middle East.
- Understanding the patterns, causes, and effects of military innovation in both peacetime and warfare.

5.B. Structure

The proposed MA in Defense and Strategic Studies program will require 30 credit hours, and it will be offered entirely online. Students should be able to complete the program in one to one and a half years. A series of five 8000-level courses will serve as the core of the program. Students will also take five 7000-level courses from a list of elective options.

We will allow 12 hours of transfer credit to current or former US military officers who are in or have previously completed Intermediate Level Education (ILE) at the US Army Command and General Staff School, US Navy College of Naval Command and Staff, US Air Force Air Command and Staff College, US Marine Corps Command and Staff College, or Joint Forces Staff College. These transfer credits will be for POL_SC 7412, POL_SC 7540, POL_SC 8400, and POL_SC 8560. Although this is a larger percentage of transfer credits than is normally allowed by University of Missouri Graduate School policy, the Graduate Faculty Senate granted an exception to this policy for the MA in Defense and Strategic Studies program. Jeni Hart, Dean of the Graduate School, recommended the exception in order to help build new relationships between the University of Missouri and the US military.

The structure of the MA in Defense and Strategic Studies is detailed in the following program structure form.

PROGRAM STRUCTURE

1. Total credits required for graduation: 30 credit hours

2. Residency requirements, if any: None. The program is entirely online.

3. General education

Total credits for general education courses: None. All 30 credits are within the major.

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

Course	Hrs	Course	Hrs	Course	Hrs

4. Major requirements

Total credits specific to degree: 15

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

Course	Hrs	Course	Hrs	Course	Hrs
International Relations Theory	3				
International Conflict	3				
Theories of Civil War	3				
Strategic Studies	3				
Military Innovation in Peace and War	3				

5. Free elective credits

Total free elective credits: 15 hours

Electives will come from the following courses:

POL_SC 7410: Politics and War

POL_SC 7411: Genocide, Terrorism, and Civil War

POL_SC 7412: Strategy and Warfare

POL_SC 7413: Politics of Cyber-Security
POL_SC 7415: Peacekeeping and Intervention
POL_SC 7500: Insurgency and Counterinsurgency
POL_SC 7510: Intelligence and National Security
POL_SC 7520: Deterrence and Nuclear Weapons
POL_SC 7540: American Foreign Policies
POL_SC 7680: Chinese Politics and Foreign Policy
POL_SC 7690: North and South Korea
POL_SC 7700: America's Wars in Asia
POL_SC 7900: Topics in Strategic Studies

The sum of hours required for general education, major requirements and free electives should equal the total credits required for graduation.

6. Requirement for thesis, internship or other capstone experience:

None

7. Any unique features such as interdepartmental cooperation:

N/A

5.C. Program Design and Content

Five 8000-level courses will serve as the core of the MA in Defense and Strategic Studies program. All students will be required to complete these courses, either through University of Missouri coursework or transfer credit. The courses are:

POL_SC 8400: International Relations Theory
POL_SC 8450: International Conflict
POL_SC 8470: Theories of Civil War
POL_SC 8550: Strategic Studies
POL_SC 8560: Military Innovation in Peace and War

In addition, students will take five electives at the 7000 level. The initial list of courses from which these electives will be drawn is:

POL_SC 7410: Politics and War
POL_SC 7411: Genocide, Terrorism, and Civil War
POL_SC 7412: Strategy and Warfare
POL_SC 7413: Politics of Cyber-Security
POL_SC 7415: Peacekeeping and Intervention
POL_SC 7500: Insurgency and Counterinsurgency
POL_SC 7510: Intelligence and National Security
POL_SC 7520: Deterrence and Nuclear Weapons
POL_SC 7540: American Foreign Policies
POL_SC 7680: Chinese Politics and Foreign Policy
POL_SC 7690: North and South Korea
POL_SC 7700: America's Wars in Asia
POL_SC 7900: Topics in Strategic Studies

As the program grows, additional courses will be created in the future.

We expect the coursework to take one year for military officers to complete. We assume that these students will receive transfer credits for their ILE credit, as discussed previously. The following is a sample program for full-time students:

Fall Semester 1

POL_SC 8550: Strategic Studies
POL_SC 7500: Insurgency and Counterinsurgency
POL_SC 7510: Intelligence and National Security

Spring Semester 1

POL_SC 8450: International Conflict
POL_SC 8470: Theories of Civil War
POL_SC 7700: America's Wars in Asia

We expect the coursework to take two years for civilians to complete. Because the courses will be offered in eight-week periods, students can complete two courses a semester even though they only take one at a time. The following is a sample program for these part-time students:

Fall Semester 1

POL_SC 8550: Strategic Studies
 POL_SC 7500: Insurgency and Counterinsurgency

Spring Semester 1

POL_SC 8450: International Conflict
 POL_SC 8470: Theories of Civil War

Summer Session 1

POL_SC 7412: Strategy and Warfare

Fall Semester 2

POL_SC 7540: American Foreign Policies
 POL_SC 8560: Military Innovation in Peace and War

Spring Semester 2

POL_SC 7510: Intelligence and National Security
 POL_SC 7700: America’s Wars in Asia

Summer Session 2

POL_SC 8400: International Relations Theory

5.D. Program Goals and Assessment

Program goals are outlined throughout the other parts of this proposal. We have designed the curriculum to map onto the learning objectives. Table 5 lists each of the learning objectives identified earlier, along with the courses that address each learning objective. Therefore, learning outcomes will primarily be assessed through coursework.

Table 5. Courses that Address Each Learning Objective.

Military History	Causes of Conflict	Civil War and Insurgency	Foreign Policy	Strategic Theory	Strategic Threats and Opportunities	Military Innovation
7412	8450	8470	7540	8550	7413	8560
7700	7410	7500	8400	7412	7510	8550
8550	7415	7411	7700	8400	7520	7412
7500	8400	7415		7500	7680	
					7690	

We will also utilize alumni surveys to assess learning outcomes. We will engage in curriculum mapping to ensure that the curriculum assesses student learning objectives. We will conduct periodic reviews of the curriculum to make adjustments as needed.

We expect the program to grow from 20 students in year one to 40 students in year four and 50 students in year five. Our aim is 100% retention, and we expect 50 graduates annually in years five through ten. We anticipate that most of our students will already have jobs related to strategic studies, either as military officers or as civilians working in the international security sector. However, those students that may not be currently working in the field should be able to obtain positions closely related to strategic studies within the first year of graduation.

5.E. Student Preparation

The program is designed as an executive-style graduate program for working professionals. We expect that students will either be currently serving as officers in the US military, or are civilians that are currently working in a position related to strategic studies and international relations. In lieu of career experience, students with a BA or BS in political science or a closely related field could also be accepted into the program, particularly with a strong application. Transcripts and letters of reference and support from employers will also be considerations for admission.

5.F. Faculty and Administration

The Director of the Strategic Studies program is Stephen L. Quackenbush (PhD, University at Buffalo, SUNY, 2003). He is Associate Professor of Political Science at the University of Missouri. A former officer in the United States Army, he was awarded a Bronze Star medal for service in Iraq. Approximately half of his teaching will be devoted to the MA in Defense and Strategic Studies program. He will take the lead in administration and teaching for the program.

The remainder of the courses in the program will be taught by a combination of regular political science faculty and adjunct faculty. Bryce Reeder (PhD, University of Illinois, 2015) and Heather Ba (PhD, University of North Carolina, 2017) are both assistant professors in the Department of Political Science, and they will each teach approximately one course per year for the MA in Defense and Strategic Studies program. As the program grows in the first five years, we will need to offer more and more courses. In order to be able do so while also being able to maintain the already existing graduate and undergraduate programs in Political Science, we anticipate hiring an additional tenure-track faculty member to help with the MA in Defense and Strategic Studies program.

We will also utilize adjunct faculty, who will be practitioners, in order to provide students with a more rounded education in strategic studies. These faculty should

have at least a Master's degree (PhD preferred) in a related field and have a minimum of 15 years' experience as a military officer or in a civilian field related to national security. Adjunct faculty will teach no more than half of the courses in the MA in Defense and Strategic Studies program.

5.G. Alumni and Employer Survey

We will conduct web-based surveys of graduates one and five years after completion of the program. We will seek to learn how satisfied they are with their experience in the program and how well it has helped them in their careers. A combination of qualitative and quantitative responses will be used for gathering the information. We will also survey a select number of employers to determine how well the employees' graduate training prepared them for the job.

5.H. Program Accreditation

At present, there is no accreditation of graduate programs in Strategic Studies.

Appendix

Appendix: Support Letters

Dr. Richard E. Berkebile
Associate Professor of Joint, Interagency, and Multinational Operations
United States Army Command and General Staff College

Dr. Jeni Hart
Dean, Graduate School
University of Missouri

Dr. Lael Keiser
Director, Truman School of Public Affairs
Interim Chair, Department of Political Science
University of Missouri

Lieutenant Commander Matthew T. Knuth
US Navy Russia Strategy, Policy, and Engagement Branch

Dr. Patricia Okker
Dean, College of Arts and Science
University of Missouri

Robert Ross
Director, Veterans Center
University of Missouri

Executive Summary

M.S. in Supply Chain & Analytics

The proposed Master of Science Program in Supply Chain Analytics at the University of Missouri – St. Louis (UMSL) is driven by the large supply chain talent gap locally and nationally. The need for this program is also evident from the growing number of majors in the UMSL Bachelor of Science in Business Administration (BSBA) with Logistics and Supply Chain Emphasis over the past eight years. The St. Louis metro area has outstanding rail, water, air, and highway infrastructure, plus abundant warehousing and manufacturing operations with sustainable needs for supply chain professionals. Moreover, the recent unprecedented challenges caused by the COVID-19 pandemic which included widespread breakdowns in the supply chain for a number of goods in Spring 2020, exemplify the importance and need for a workforce trained in logistics, transportation and supply chains, as well as informed data-driven decision-making.

It is a 30-credit hour program that builds upon our existing programs ranging from the BSBA, MBA and Graduate Certificates, to the Ph.D. It will be a hybrid program consisting of both in-person and online classes. The program meets the current and future demand for professionals in the broad fields of Supply Chain Management and Business Analytics. In particular, it produces “Citizen Data Scientists” who bridge the gap between a pure data scientist and a supply chain domain expert. The target student population includes undergraduate business graduates who would like to pursue a Master’s degree and to land a career in Supply Chain, including Procurement, Logistics, Transportation, Operations, Demand Planning, Supply Chain Risk Management, Business Analytics and Intelligence, as well as graduates with other undergraduate degrees (e.g., Applied Math, Computer Science, Economics, Engineering, etc.) who wish to expand their application domain. It will also be attractive to working supply chain professionals who need in-depth knowledge and training in Business Analytics.

The new Master’s degree program offers quality and affordable graduate education to produce the 21st century supply chain professionals, *transforming the lives* of graduates from the program, as well as those of the people they serve. It aligns well with three of the five compacts of UMSL’s strategic focus: Excellence in *Student Success*, *Community Engagement* and *Economic Development*. The Supply Chain & Analytics Department has the mission of being the supply chain thought leaders who are most connected to the region’s businesses. The new program will bolster the Department’s strategic priority to be the Supply Chain Center of Excellence. It will also align well with the mission and research activities of the Supply Chain Risk and Resilience Research Institute (SCR3) and the Center for Business and Industry Studies (CBIS).

The Supply Chain & Analytics Department has sufficient capacity for the success of the program. There is no need for new faculty, thus the operating cost is low enough for its economic viability. The proposal has received strong support from the university administration, including the Provost and Executive Vice Chancellor for Academic Affairs, and the Chancellor of UMSL. In addition to our institutional support, the program has been strongly advocated and supported by the Supply Chain & Analytics Department Advisory Board.

No. 2

Recommended Action – MS Supply Chain and Analytics, University of Missouri – St. Louis

It was recommended by Sr. Associate Vice President Steve Graham, endorsed by UM System President and MU Chancellor Mun Choi, recommended by the Academic, Student Affairs and Research & Economic Development Committee, moved by Curator_____, seconded by Curator_____that the following action be approved:

that the University of Missouri, St. Louis be authorized to submit the attached proposal for a MS Supply Chain and Analytics to the Coordinating Board for Higher Education for approval.

Roll call vote of the Committee:	YES	NO
Curator Chatman		
Curator Hoberock		
Curator Layman		
Curator Snowden		

The motion _____.

Roll call vote of Board:	YES	NO
Curator Brncic		
Curator Chatman		
Curator Graham		
Curator Hoberock		
Curator Layman		
Curator Snowden		
Curator Steelman		
Curator Wenneker		
Curator Williams		

The motion_____.

Master of Science in
Supply Chain & Analytics
University of Missouri – St. Louis

New Degree Proposal | September 2020

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Executive Summary

The proposed Master of Science Program in Supply Chain Analytics at the University of Missouri – St. Louis (UMSL) is driven by the large supply chain talent gap locally and nationally. The need for this program is also evident from the growing number of majors in the UMSL Bachelor of Science in Business Administration (BSBA) with Logistics and Supply Chain Emphasis over the past eight years. The St. Louis metro area has outstanding rail, water, air, and highway infrastructure, plus abundant warehousing and manufacturing operations with sustainable needs for supply chain professionals. Moreover, the recent unprecedented challenges caused by the COVID-19 pandemic which included widespread breakdowns in the supply chain for a number of goods in Spring 2020, exemplify the importance and need for a workforce trained in logistics, transportation and supply chains, as well as informed data-driven decision-making.

It is a 30-credit hour program that builds upon our existing programs ranging from the BSBA, MBA and Graduate Certificates, to the Ph.D. It will be a hybrid program consisting of both in-person and online classes. The program meets the current and future demand for professionals in the broad fields of Supply Chain Management and Business Analytics. In particular, it produces “Citizen Data Scientists” who bridge the gap between a pure data scientist and a supply chain domain expert. The target student population includes undergraduate business graduates who would like to pursue a Master’s degree and to land a career in Supply Chain, including Procurement, Logistics, Transportation, Operations, Demand Planning, Supply Chain Risk Management, Business Analytics and Intelligence, as well as graduates with other undergraduate degrees (e.g., Applied Math, Computer Science, Economics, Engineering, etc.) who wish to expand their application domain. It will also be attractive to working supply chain professionals who need in-depth knowledge and training in Business Analytics.

The new Master’s degree program offers quality and affordable graduate education to produce the 21st century supply chain professionals, *transforming the lives* of graduates from the program, as well as those of the people they serve. It aligns well with three of the five compacts of UMSL’s strategic focus: Excellence in *Student Success*, *Community Engagement* and *Economic Development*. The Supply Chain & Analytics Department has the mission of being the supply chain thought leaders who are most connected to the region’s businesses. The new program will bolster the Department’s strategic priority to be the Supply Chain Center of Excellence. It will also align well with the mission and research activities of the Supply Chain Risk and Resilience Research Institute (SCR3) and the Center for Business and Industry Studies (CBIS).

The Supply Chain & Analytics Department has sufficient capacity for the success of the program. There is no need for new faculty, thus the operating cost is low enough for its economic viability. The proposal has received strong support from the university administration, including the Provost and Executive Vice Chancellor for Academic Affairs, and the Chancellor of UMSL. In addition to our institutional support, the program has been strongly advocated and supported by the Supply Chain & Analytics Department Advisory Board.

1. Introduction

This proposal aims to launch a STEM designated **Master of Science (M.S.) in Supply Chain Analytics** degree program under the *52.1301 Management Science* Classification of Instructional Programs (CIP) code at the University of Missouri-St. Louis (UMSL). The graduate program will build on the existing Bachelor of Science in Business Administration (BSBA) with Logistics and Supply Chain Management Emphasis, and supplement the emphasis of Doctor of Philosophy (Ph.D.) in Logistics and Supply Chain Management. The program will be a hybrid program with a combination of in-person, blended, and online courses: the modality of two introductory courses is fully online, and the modality of the other courses in the program are in-person or blended (having both online and in-person components). This program proposal is driven by the large supply chain “talent gap” locally and nationally¹, and by the advice from the Supply Chain & Analytics Department Advisory Board of business leaders. Moreover, the recent unprecedented challenges caused by the COVID-19 pandemic which included widespread breakdowns in the supply chain for a number of goods in Spring 2020, exemplify the importance and need for a workforce trained in logistics, transportation and supply chains, as well as informed data-driven decision-making.

The proposed program helps meet the current and future demand for professionals in the broad fields of Supply Chain Management and Business Analytics. In particular, it produces “Citizen Data Scientists”, as coined by Gartner Research, who bridge the gap between a pure data scientist and a supply chain domain expert². The program targets BSBA graduates who would like to pursue a Master’s degree and to land a career in Supply Chain, including Procurement, Logistics, Transportation, Operations, Demand Planning, Supply Chain Risk Management, Business Analytics and Intelligence, as well as students with undergraduate degrees in a wide range of areas (e.g., Applied Math, Computer Science, Economics, Engineering, etc.) who wish to expand their application domain to supply chain and business. It will also be attractive to working supply chain professionals who need in-depth knowledge and training in all Three-Pillar of Analytics: *Descriptive, Predictive* and *Prescriptive*³, and many of them will be supported by companies where they work (as for UMSL’s current MBA).

The 30-hour program builds upon UMSL’s existing Supply Chain & Analytics programs, with the most comprehensive program offerings in the University of Missouri (UM) System, ranging from the BABA with Logistics and Supply Chain Management emphasis, MBA with Logistics and Supply Chain emphasis and

¹ <https://www.elementum.com/chain-reaction/4-reasons-for-the-supply-chain-talent-shortage>; <https://www.youtube.com/watch?v=5eRCSr4749I>

² <https://blogs.gartner.com/carlie-idoine/2018/05/13/citizen-data-scientists-and-why-they-matter/>; and <https://www.cio.com/article/3322940/the-age-of-the-citizen-data-scientist-has-arrived.html>

³ As defined by the Institute of Operations Research and Management Science (INFORMS), who sponsors the Certified Analytics Professional Exam (<https://www.informs.org/ORMS-Today/Public-Articles/October-Volume-39-Number-5/Certified-Analytics-Professional>).

Graduate Certificates, to the Ph.D. program in Logistics and Supply Chain Management. Students may complete the program in 16 months assuming 2-3 courses in spring/fall/summer semester. Sample curriculum paths will be provided in Section 5. Our MBA with Logistics and Supply Chain Emphasis was recently ranked #15 in the Top 2019 Affordable Online Master’s in Supply Chain & Logistics⁴, and the Top 29 Online MBA in Supply Chain Management⁵.

Graduates from the program will be well prepared to pursue high-demand work roles as shown in Table 1⁶.

Table 1. Career Opportunities and Paths for Graduates with MS Degree in Supply Chain Analytics.

		Work Roles (Entry-Mid Level)	Work Roles (Senior Level)
Supply Chain and Cross Functions	Sourcing and Purchasing	<ul style="list-style-type: none"> • Strategic Sourcing Manager • Purchasing/Procurement Manager 	<ul style="list-style-type: none"> • Director of Purchasing/Procurement • Chief Procurement Officer
	Manufacturing and Operations	<ul style="list-style-type: none"> • Production Manager • Operations Manager • Warehouse Manager 	<ul style="list-style-type: none"> • Director of Operations • Chief Operations Officer
	Transportation and Logistics	<ul style="list-style-type: none"> • Logistics/Transportation Manager • Inventory Manager 	<ul style="list-style-type: none"> • Director of Logistics • Chief Supply Chain Officer
	Supply Chain Planning	<ul style="list-style-type: none"> • Demand Planner • Production Planner • Capacity Planner • Logistics Resource Planner • Load Planner • Supply Chain Planner 	<ul style="list-style-type: none"> • Planning Manager • Planning Director
	Cross Functions	<ul style="list-style-type: none"> • Project Manager • Supply Chain Finance Manager 	<ul style="list-style-type: none"> • Director of Project Portfolio • Chief Finance Officer
	Business Analytics and Intelligence	<ul style="list-style-type: none"> • Business Analyst • Business Intelligence Analyst • Logistics and Transportation Analyst • Supply Chain Analyst • Market (Sales) Analyst 	<ul style="list-style-type: none"> • Senior Business Analyst • Senior Data Analyst • Director of Business Analytics

⁴ <https://www.greatvaluecolleges.net/affordable/masters-supply-chain-logistics-online>. The ranking is based on quality, cost and accessibility.

⁵ <https://onlinembapage.com/mba-supply-chain-management-list/>. The ranking includes institutes with all AACSB, ACBSP and IACBE accreditations. We are in a more elite group among the AACSB accredited schools.

⁶ <https://www.logisticsbureau.com/jobs-and-career-paths-in-supply-chain-and-logistics/>.

2. University Mission & Program Analysis

2.A. Alignment with University Mission & Goals

The new Master's degree program offers quality and affordable graduate education to produce the 21st century supply chain professionals, *transforming the lives of* graduates from the program, as well as those of the people they serve. It aligns well with three of the five compacts of UMSL's strategic focus: Excellence in *Student Success, Community Engagement* and *Economic Development*.

The Supply Chain & Analytics Department at UMSL has the mission of *being the supply chain thought leaders who are most connected to the region's businesses*. The program will benefit from our existing active Advisory Board and well-established wider scope of industry network and collaboration in student engagement, curriculum and research, and bolster the Department's strategic priority to be the Supply Chain Center of Excellence. It will also align well with the mission and research activities of two existing centers at College of Business Administration: the newly branded Supply Chain Risk and Resilience Research Institute (SCR3) and the Center for Business and Industry Studies (CBIS).

2.B. Duplication & Collaboration within Campus, Across System

Currently, UMSL is the only campus in the UM-System that has dedicated and full-fledged programs in supply chain, but none of the four campuses has a graduate supply chain *degree* program. As shown in Table 2, in Missouri statewide, the existing supply chain related graduate degree programs are all being offered by private institutions: Fontbonne University, Washington University in St. Louis and Saint Louis University. Note that none of their programs has focus in both Supply Chain Management and Analytics, and only two of the schools in Table 2, other than UMSL, are AACSB accredited.

Currently, only Rutgers University offers the M.S. program in Supply Chain Analytics in the U.S. Therefore, launching the new M.S. in Supply Chain Analytics at UMSL creates no duplication in the UM System, nor among the public institutes in Missouri. It is indeed imperative for the State of Missouri to provide quality and affordable public education in supply chains at the graduate level. Our proposed program will fill this gap, and UMSL will be the second of such program in the nation after Rutgers.

Given its well-designed blend of focus in both SCM and Analytics, our program will be competitive with those in private institutions. In addition, Missouri State University has an undergraduate program in Supply Chain, Logistics and Operations Management in the Marketing Department, with a track in Logistics and Operations Management and a track in Supply Chain Analytics, which can be a natural feeder to our M.S. degree program in Supply Chain Analytics.

Table 2. The Missouri state-wide Supply Chain related graduate programs⁷.

Institutions	Institution Type	Program Type	SCM Focus	Analytics Focus	AACSB Accredited
Fontbonne University	Private	Master of Science and Graduate Certificate	Yes	No	No
Lindenwood University	Private	Graduate Certificate	Yes	No	No
Maryville University	Private	Graduate Certificate	Yes	No	No
Washington University in St. Louis	Private	Master of Science ⁸	No	Yes	Yes
Saint Louis University	Private	Master of Science	Yes	No	Yes
University of Missouri - Columbia	Public	Graduate Certificate	Yes	No	Yes
UMSL	Public	Master of Science	Yes	Yes	Yes

3. Business-Related Criteria & Justification

3.A. Market Analysis

3.A.1. Rationale & Workforce Demand for the Program

Given the continuing shift of the U.S. economy from manufacturing to services, and the growing role of e-Commerce with its need for high service levels and fast delivery, Logistics and Supply Chain is the area where the workforce growth will be in the 21st century⁹. The U.S. Bureau of Labor Statistics (BLS) predicts steady and solid growth rate of 5% in logistics and supply chain jobs between 2018 and 2028. Supply chain professionals earned between \$51,000 and \$140,000 in 2018, with median salary of \$80,000¹⁰. Further, 81% of young professionals working in supply chain say that it was the right career choice¹¹. The recent unprecedented challenges caused by the COVID-19 pandemic again exemplify the importance and need for

⁷ From Missouri Department of Higher Education: <https://web.dhewd.mo.gov/collegedegreesearch/collegesearch.faces>.

⁸ This program is MS in Business Analytics with Supply Chain as a Track.

⁹ <https://www.supplychainbrain.com/blogs/1-think-tank/post/30279-st-century-jobs-are-in-logistics-not-red-tape-and-brown-steel>

¹⁰ Source: 2019 Supply Chain Salary and Career Survey Report, ASCM.

¹¹ Source: Council of Supply Chain Management Professionals 2017 Survey.

logistics, transportation and supply chains workforce, as well as informed data-driven decision-making.

The St. Louis metro area has outstanding rail, water, air, and highway infrastructure, along with abundant warehousing and manufacturing operations. St. Louis has long been a hub of transportation, logistics and supply chain activities due to its central location, being within approximately 500 miles of one-third of the U.S. population. Known as the “Gateway to the West”, St. Louis is the nation’s third-largest rail center in the U.S., served by six of the seven Class I railroads in the U.S., as well as four short line railroads. Situated near the confluence of the Missouri and the Mississippi Rivers, St. Louis is the northernmost port on the Mississippi that is ice-free year-round with the second-largest inland port by trip ton-miles. In addition to solid demand for transportation, logistics and warehousing workforce, the greater St. Louis region also houses companies in a wide variety of industries including manufacturing, agriculture, retail and healthcare where supply chains play a crucial role.

The need for a new Master’s program in Supply Chain Analytics has also been driven by the abundance of data now available and emerging technologies such as autonomous vehicles, drones, Industry 4.0, sensors and digital supply chains. All “call for transforming the siloed” work roles to more cross-functional roles in supply chains with analytical skills that allow one to take advantage of the growing availability of data. A survey of the Supply Chain & Analytics Advisory Board, consisting of 17 senior executives from companies and organization in St. Louis, shows that: 79% of them believe Business Analytics is “Very Important” to their supply chains and businesses (with another 21% indicating it is “Somewhat Important”; and 86% of them believe Business Analytics will become “More Important” in the future. Additional feedbacks from Board members include:

- Need graduates to have comprehensive understanding of supply chain functions and their relationships
- Need for analytical and problem-solving skills
- Need for project-based training and experience

These echo the demand for Citizen Data Scientists, who possess the knowledge and business acumen in the wide scope of supply chain functions, plus the analytical skills and capabilities, and who bridge the gap between a pure data scientist and a supply chain domain expert.

3.A.2. Student Demand for the Program

The need for this program is also evident from the growing number of majors in our BSBA with Logistics and Supply Chain Emphasis. As seen in Figure 1, it has experienced steady growth (more than doubling) from 40 majors in 2010 to 96 in 2018, at an average annual growth rate of 10%. Notably, younger students (between

20 and 24) who are most likely to go for graduate study increased from 17 to 48 at an average annual rate of 12%, and the first generation students increased by an annual rate of 7.6% (see Figure 2). As our BSBA with Supply Chain Emphasis will be part of the first-cohort of the UM System’s eLearning Initiative, our undergraduate student body is expected to grow further, providing a strong pool of students for this graduate degree program.

Figure 1. Growth of BSBA with Logistics and Supply Chain emphasis.

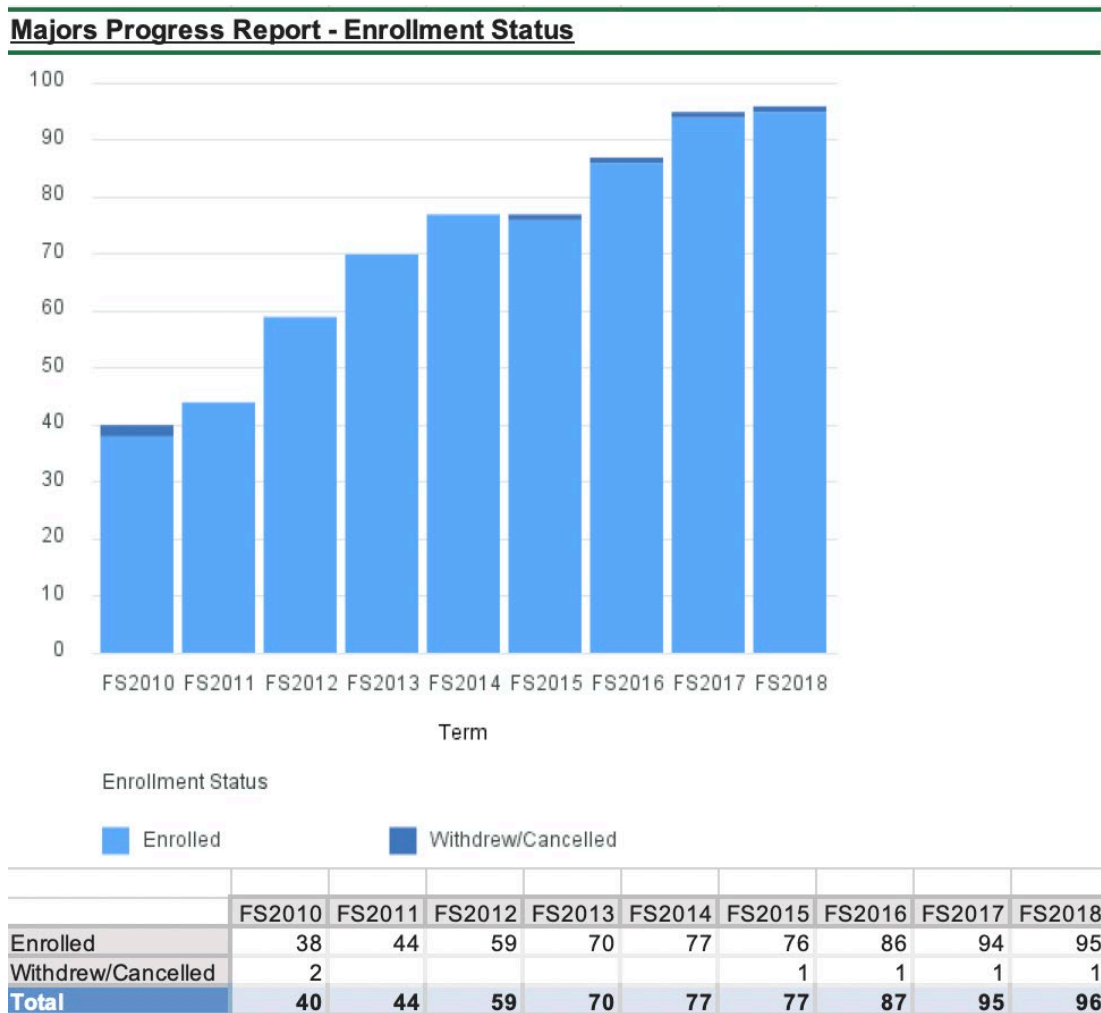
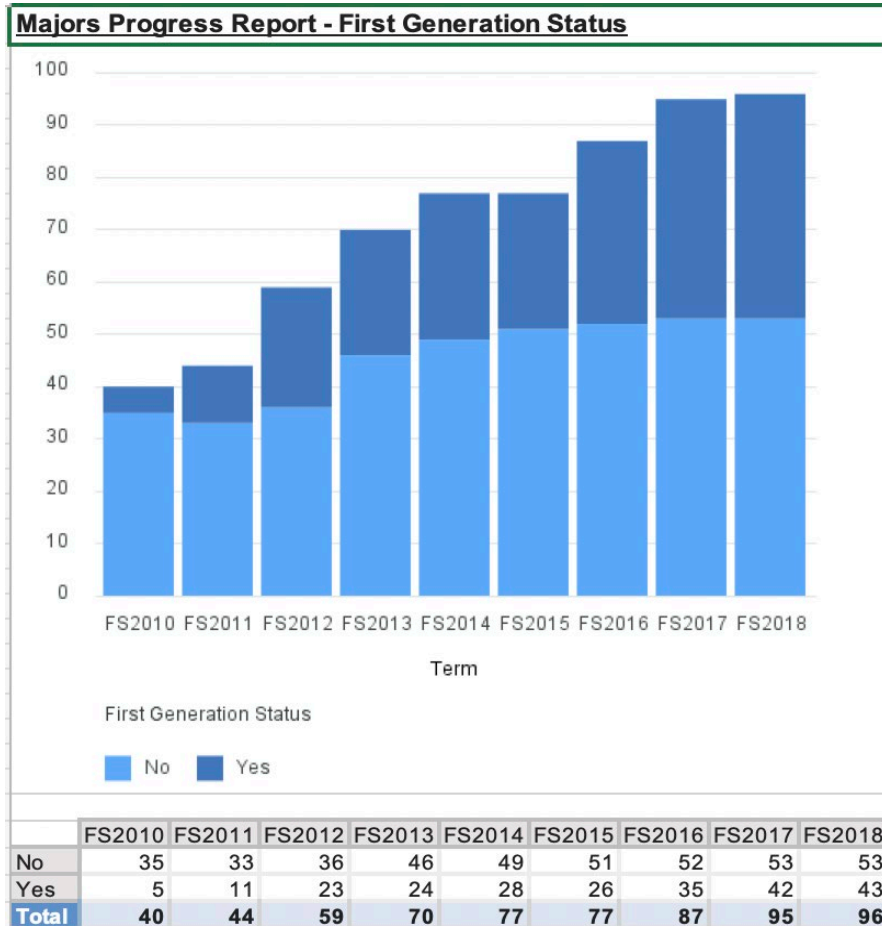


Figure 2. Growth of first-generation students with Logistics and Supply Chain emphasis.



Tables 3a through 3c provide projections of total student enrollment, new student enrollment each year, and the number of degrees awarded, respectively. The projected enrollment in Table 3a is somewhat conservative. Given the timely need of this program and clear pipeline of students, our goal is to achieve greater enrollment, especially in the first two years, as indicated in the parenthesis in the last row of Table 3a as our perceived maximum potential.

Table 3a. 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	8	15	20	22	25
Part-time	3	7	9	10	11
Total (Maximum)	11 (15)	22 (25)	29 (33)	32 (35)	36 (40)

Table 3b. 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	6	13	17	18	20
Part-time	3	5	7	8	9
Total	9	18	24	26	29

Table 3c. Projected Number of Degrees Awarded

Year:	1	2	3	4	5
# of Degrees Awarded		7	11	13	14

3.B. Financial Projections

Based on the enrollment projections in Tables 3a and 3b, we provide the following estimation of costs and revenues in Table 4. The Supply Chain & Analytics department has sufficient capacity in place to successfully create and grow a strong M.S. Supply Chain Analytics program. No new faculty or facility resource will be needed. As shown in Table 4, we only anticipate the salary for one qualified adjunct faculty. We do budget in yearly recurring expenditures of \$20,000 for advertising and marketing, and \$12,000 to support one graduate assistant stipend and tuition remission starting in Year 2. Advertising and promotion are crucial to recruiting students by getting visibility and exposure to the program. The graduate assistant will focus on recruiting activities, such as helping maintain the program’s websites, social media presence, student engagement events and outreach.

3.B.1. Additional Resources Needed

N/A

3.B.2. Revenue

The sources of revenue include tuition and fees as shown in Table 4. They are based on projections of new students joining the program each year and the enrolled students in the pipeline in Tables 3a and 3b.

Most expenses on faculty salaries are sunk costs for the existing full-time faculty in the Supply Chain & Analytics Department (see Table 6). The College of Business Administration and the Supply Chain & Analytics Department have funds available to support the stipend for one graduate assistant with tuition remission. The \$20,000 expenditure on operating cost can be well covered by the annual revenue of the program.

3.B.3. Net Revenue

Table 4 shows that even with conservative enrollment estimation, the program will be able to generate net revenue starting from the first year. This is primarily due to the low operating cost required.

Table 4. Financial Projections for Proposed Program for Years 1 Through 5.

	Year 1	Year 2	Year 3	Year 4	Year 5
1. Expenses per year					
A. One-time					
<i>New/Renovated Space</i>					
<i>Equipment</i>					
<i>Library</i>					
<i>Consultants</i>					
<i>Other</i>					
Total one-time	0	0	0	0	0
B. Recurring					
<i>Faculty</i>	7,000	7,000	7,000	7,000	7,000
<i>Staff</i>					
<i>Benefits</i>					
<i>Equipment</i>					
<i>Library</i>					
<i>Other</i>	20,000	32,000	32,000	32,000	32,000
Total recurring	27,000	39,000	39,000	39,000	39,000
Total expenses (A+B)	27,000	39,000	39,000	39,000	39,000
2. Revenue per year					
<i>Tuition/Fees</i>	70,794	144,419	194,178	218,551	250,787
<i>Institutional Resources</i>					
<i>State Aid -- CBHE</i>					
<i>State Aid -- Other</i>					
Total revenue	70,794	144,419	194,178	218,551	250,787
3. Net revenue (loss) per year	43,794	105,419	155,178	179,551	211,787
4. Cumulative revenue (loss)	43,794	149,213	304,391	483,942	695,729

3.B.4. Academic and Financial Viability

As shown in Tables 6 and 9, the Supply Chain & Analytics Department’s existing faculty have sufficient talent and capacities to assure academic viability of the program. The Supply Chain & Analytics Department, College of Business Administration and the UMSL Global will take collective and concerted efforts to secure enrollment and maintain high student retention rate.

Since most of the classes in the program (Table 9) are in the College of Business Administration’s existing MBA program and the Supply Chain Management Graduate Certificate, the minimum enrollment for the program to be academically viable is 8¹². The minimum enrollment for the program to financially viable is 4.

Table 5. Enrollment for Academic and Financial Viability

Viability	Minimum Enrollment
Academic	8
Financial	4
Overall	8

3.C. Business Plan: Marketing, Student Success, Transition & Exit Strategies

3.C.1. Marketing Plan

The primary target student population of the Master of Science in Supply Chain Analytics include students with undergraduate degrees in business, as well as working professionals in supply chain or related areas such as logistics, transportation, and operations, who seek career-enhancing educational opportunities. Geographically, we plan to focus heavily on the greater St. Louis area, while promoting the program across the state and in the Midwest region. The planned advertising media include but are not limited to: paid online advertisements (Google, Facebook Ads), social media, plus free and paid print publications. We also plan to leverage the existing recruiting and retention resources at the College of Business Administration.

Web Advertising

- 1) We will build an appealing cross platform website using UMSL’s existing Content Management System for the M.S. Supply Chain Analytics program.
- 2) A budget of \$10,000 is planned for web-based advertising through Google AdWords and Facebook Ads.
- 3) A budget of \$12,000 is planned for to promote the “UMSL Supply Chain Analytics” brand via social media platforms.

¹² This is the minimum enrollment needed to offer a graduate-level course in the College of Business Administration.

Print Advertising and Other Promotion Efforts

- 1) With the support from the UMSL campus and the UM System, the new program will be featured in UMSL and the System's existing publications.
- 2) A budget of \$10,000 is planned for external media advertising and promotion, e.g. the Saint Louis Post Dispatch, St. Louis Public Radio, and possible TV spots.
- 3) The Supply Chain & Analytics Department proudly hosts academic and professional conferences including the Convergence Conference and the joint UMSL-MU Agricultural Markets and Supply Chains conference, which help us better connect with colleagues in academia, and professionals in both private and public sectors.
- 4) The College of Business Administration has a full-time Recruitment Coordinator and a dedicated Internship Coordinator who can help with promoting the program.

Outreach and Scholarships

- 1) Intensive efforts will be made to recruit BSBA students from Missouri and other universities in the region with AACSB-accredited undergraduate business and supply chain programs (Missouri State, SIU-E, UM-C, MO S&T, UMKC, etc.).
- 2) UMSL, the College of Business Administration, and the Department of Supply Chain & Analytics have a very large alumni network and engagement for promoting and supporting our programs.
- 3) The Advisory Board of Supply Chain & Analytics Department, consisting of 17 senior executives from companies and organizations in the St. Louis region, has been actively and deeply involved with the department's multi-faceted activities in student engagement (career fair, guest speaker, student mentoring program, and internship), curriculum re-design and improvement, and research. We have strong support from our Advisory Board for launching and growing the new program, and we anticipate employees from these companies enrolling in the program.
- 4) The recently launched Young Alumni Board in the Supply Chain & Analytics department will help expand our industry network of other companies in the greater St. Louis region and across Missouri, currently not on the Advisory Board.
- 5) The College of Business Administration and Supply Chain & Analytics Department have developed strong relationships with national and regional companies/organizations to bring in supply chain scholarships.
- 6) UMSL and the College of Business Administration also have active outreach programs and strong relationships with community colleges and high schools, and will actively work with them to bring their graduates to the new program

3.C.2. Student Success Plan

The Graduate Program staffs at College of Business Administration will provide program administration, recruiting and student advising support to the program. The Supply Chain & Analytics Department faculty will work closely with its Advisory Board to provide various extracurricular activities to enhance student experience, including the guest speaker program, student mentorship program, facility visits and internship/career events.

The Supply Chain & Analytics programs have grown from 40 majors in 2010 to 96 in 2018. Its student credit hours increased by 12% in 2019 over 2014. Our MBA with Logistics and Supply Chain Emphasis was recently ranked #15 in the Top 2019 Affordable Online Master's in Supply Chain & Logistics, and the Top 29 Online MBA in Supply Chain Management. Our PhD Program in Logistics and Supply Chain Management has output 13 PhD graduates in the past five years, with placement in AACSB institutes and industry.

3.C.3. Transition Plan

The creation and execution of the program is a collective effort of the Supply Chain & Analytics faculty with strong support from the College of Business Administration. Two other senior faculty in the Supply Chain & Analytics Department and the College's Associate Dean of Graduate Programs are all well qualified to lead the program with seamless transition, in case the individual primarily responsible for the program leaves the institution or assumes other responsibility.

3.C.4. Exit Strategy

In case the program underperforms the minimum enrollment for financial viability, i.e. if the program has new enrollment less than four (4) students per year for the first three years, we may consider putting it on hiatus.

4. Institutional Capacity

With twelve (12) existing full-time faculty (eight (8) tenure-track and four (4) non-tenure track), the UMSL Supply Chain & Analytics Department has sufficient capacity and expertise to successfully deliver the proposed program with quality and efficiency. We have also successfully recruited two (2) new tenure-track assistant professors who will be onboard in Fall 2020. Table 6 provides more details.

Our faculty have comprehensive and complementary research and teaching expertise in supply chain domain topics including purchasing/sourcing, operations, logistics, transportation and integration, as well as all three-pillar of analytics:

descriptive, predictive and prescriptive. Seven (7) of our full-time faculty have already gone through UMSL's Online-in-9 program, and are ready to teach 100% online classes as needed. Four (4) faculty members have more than three (3) years each of online teaching experience.

Table 6. Supply Chain & Analytics full-time faculty and their expertise

Name	Rank and Title	Year Joined	Tenure Status	Teaching	Research
Jill Bernard	Assistant Teaching Professor	2017	Non-tenure track	Supply Chain Management, Transportation	Transportation Safety and Policy
James Campbell	Professor, Director of PhD Program	1987	Tenured	Logistics, Operations Management, Business Analytics	Network Design, Hub Location, Drone Delivery
Michael Edwards	Assistant Teaching Professor	2018	Non-tenure track	Transportation	Transportation, Logistics
Shakiba Enayati	Assistant Professor	2020	Tenure-track	Business Analytics, Operations Mgmt.	Network Design, Service Systems
Matias Enz	Assistant Professor	2017	Tenure-track	Supply Chain Management	Supply Chain Integration
Trilce Encarnacion	Assistant Professor	2020	Tenure-track	Transportation, Business Analytics	Humanitarian Logistics, Sustainable Supply Chains
Qiaohai Hu	Assistant Professor	2017	Tenure-track	Operations Management, Business Analytics	Supply Chain Finance
Andrea Hupman	Assistant Professor	2015	Tenure-track	Business Analytics, Simulation	Decision Analysis
Maureen Karig	Assistant Teaching Professor	2017	Non-tenure track	Global Supply Chain, International Trade	International Business
Haitao Li	Professor, Department Chair	2008	Tenured	Business Analytics, Supply Chain Modeling	Supply Chain Configuration, Scheduling, Routing
Mitch Millstein	Assistant Teaching Professor	2017	Non-tenure track	Business Analytics, Supply Chain Management	Network Design, Inventory Control
George Zsidisin	Barriger Endowed Professor, Director of SCR3 Institute	2019	Tenured	Supply Chain Management, Strategic Sourcing	Purchasing, Supply Chain Risk Management

5. Program Characteristics

5.A. Program Outcomes

After completing the program, students will be able to:

- Explain a comprehensive scope of supply chain functions, concepts, their connections and roles in business
- Grasp all Three-Pillar of Business Analytics: Descriptive, Predictive and Prescriptive methodologies
- Identify and define supply chain decision questions and problems with business acumen
- Build analytical models and apply analytical methods for real world supply chain decision-support and applications
- Present and interpret analysis results and business insights to management
- Obtain hands-on experience of using state-of-the-art decision-support software for real life supply chain applications

5.B. Program Design & Content

A Curriculum Committee consisting of Supply Chain & Analytics faculty and Advisory Board members was formed to work on the curriculum design. We first conducted an industry survey to identify the domain topics and analytical skills to be covered. Next, mappings between the courses and the topics and skills are performed to align the curriculum with the program outcomes.

Table 7 provides a mapping between the domain topics and the core Supply Chain Management (SCM) and Synthesis courses. The domain topics in the table are taken from the Curriculum Survey of the Advisory Board members in our Supply Chain & Analytics department. The number of dots indicates different depths of coverage.

■ - **Fundamental coverage** of a topic, so that students understand the concept/scope, and are able to explain and interpret the topics.

■ ■ - **Intermediate coverage** of a topic with sufficient assessment methods including case studies, class discussions and projects, so that students are able to apply their knowledge.

■ ■ ■ - **In-depth coverage** of a topic so that students are able to generate creative work including research design, model building and implementation.

For instance, the topic of Sourcing/Purchasing is covered by multiple courses, starting with a fundamental coverage in SCMA 5310, followed by intermediate coverage in SCMA 5320, and then in-depth coverage in SCMA 6321.

Table 7. Mapping between domain topics and the required courses.

Domain Topics	SCM A 5310	SCMA 5320	SCMA 6321	SCMA 6330	SCMA 6331
Sourcing/purchasing	■	■■	■■■		
SRM	■	■■	■■■		
Demand mgmt & Forecasting		■		■■	
Capacity Planning		■			■■
Inventory mgmt.	■	■■			■■■
S&OP		■			■■
MRP		■			■■
CRM order mgmt.	■				
Lean/Six Sigma	■	■■			
Transportation	■	■■		■■	■■■
Warehousing	■				
Location and network design	■	■■		■■■	■■■
Vehicle routing and scheduling				■	■■
Int'l SCM	■		■■		
Supply chain finance			■		
Cybersecurity in supply chain			■		
SC risk mgmt.	■		■■		
SC partners & collaboration	■		■		
Resource alloc. & staffing		■			
Strategy & Change Management	■				
Project Mgmt.		■			■■

Table 8 shows the mapping between analytical methods/skills and the core Analytics and Synthesis courses with the corresponding levels of coverage.

Table 8. Mapping between analytical skills and core Analytics and Synthesis courses

Analytical Methods/Skills		SCMA 5300	SCMA 6345	SCMA 6350	SCMA 6330	SCMA 6331
Descriptive	Data visualization	■				
	Prob. Distribution	■				
	Hypothesis testing	■				
Predictive	Regression	■	■ ■			
	Time series/forecasting	■				
	Machine learning		■			
	Neural networks		■			
Prescriptive	Linear programming	■		■ ■	■ ■	■ ■ ■
	Network optimization			■	■ ■	■ ■ ■
	Integer programming			■		■ ■
	Simulation		■ ■	■		
Tools	Statistics	■	■ ■			
	Data visualization	■				
	Predictive analytics		■ ■			
	Optimization			■		■ ■
	Commercial Software				■	■ ■

Our course offerings and delivery also provide students with the following essential soft skills:

- Writing (via assignments, case studies, term projects)
- Communication (via in-class discussions, term projects)
- Oral presentation (via case studies, term projects)
- Business acumen (via case studies, in-class discussion, term projects and guest lectures)
- Team work (via term projects)

A complete list of courses with their brief descriptions is provided below. For the eight core courses, their modality is also indicated. Students may choose electives from any of the four tracks: Supply Chain Management, Information System & Technology, Finance and Marketing.

Eight Required Core Courses

1. **SCMA 5300 Business Analytics:** This course covers fundamental methods for data analysis, including statistical techniques for decision making with variability and uncertainty, and tools for descriptive, predictive and prescriptive analytics. Pre-requisite: graduate standing. Modality: Online.
2. **SCMA 5310 Supply Chain Strategy:** This course addresses supply chain management and its implications, with a focus on key relationships and strategies to facilitate coordination and collaboration across the supply chain to maintain competitiveness. Pre-requisite: graduate standing. (*New course* - taught as SCMA 6396 in Fall 2019, and is currently undergoing review/approval as part of the four-course graduate certificate.) Modality: Online.
3. **SCMA 5320 Supply Chain & Operations Management:** This course covers issues related to the creation and delivery of goods and services, with a focus on analytical techniques and approaches for decision making in supply chains. Prerequisite: SCMA 5310 or taken concurrently. Modality: Classroom or Blended.
4. **SCMA 6321 Strategic Sourcing:** This course provides a strategic focus on the acquisition of goods and services and management of suppliers in business-to-business transactions. It covers the strategic sourcing process, including categorizing the buy, conducting a market analysis, developing a supply strategy, analyzing prices and cost, developing bids, selecting suppliers, negotiating, and managing the supply base. Prerequisite: SCMA 5310 or taken concurrently. (*New course* - is currently undergoing review/approval as part of the four-course graduate certificate.) Modality: Classroom.
5. **SCMA 6330 Business Logistics Systems:** This course addresses analysis of business logistics systems and their role in supply chain management. It provides analytical tools and requires an analysis project on the design and/or operations of a logistics system. Prerequisite: SCMA 5310 or taken concurrently. Modality: Classroom or Blended.
6. **SCMA 6331 Supply Chain Modeling:** This course covers data-driven optimization modeling techniques and their applications in supply chains. It provides hands-on experience for building models and the use of commercial software packages to address strategic, tactical and operational issues in logistics networks and supply chains. Prerequisites: SCMA 5310 or taken concurrently. Modality: Classroom or Blended.

7. **SCMA 6345 Business Analytics and Data Mining:** This course provides in-depth coverage on predictive analytics including topics and tools such as data mining, machine learning, and neural networks. Prerequisites: SCMA 5300. (Note: INFSYS 5800 also had been a pre-requisite but we are in the process of removing this.) Modality: Classroom.
8. **SCMA 6350 Prescriptive Analytics and Optimization:** This course covers prescriptive analytical and optimization approaches to solving business problems, including construction and solution of mathematical models with business applications. Prerequisite: SCMA 5310 or taken concurrently. Modality: Classroom.

Two Elective Courses from the Following

Supply Chain Management

- **SCMA 5354 Simulation for Managerial Decision Making:** This course provides coverage of simulation as a managerial decision-making aid, and includes building and analyzing simulation models. Prerequisite: SCMA 5310.
- **SCMA 5381 Global Supply Chain Management:** This course is a comprehensive study of international logistics and operations management strategy, planning and operations. Prerequisite: SCMA 5310 or taken concurrently.
- **SCMA 6332 Supply Chain Software:** This course provides hands-on experience of using the state-of-the-art software on strategic, tactical and operational planning of logistics networks and supply chains. Prerequisite: SCMA 5310 or taken concurrently.
- **SCMA 6347 Project Management:** This course addresses the concepts and processes of project management as applicable to supply chain and operations management projects. Prerequisite: SCMA 5310 or taken concurrently.
- **SCMA 6370 Supply Chain Analytics Practicum:** This course provides a practice-focused experience for students working on "real-world" projects for companies and corporate partners. Prerequisite: SCMA 5300 and SCMA 5310. (*New Course*)

Information System & Technology

- **INFSYS 6830 Data Programming for Business Intelligence:** In this course, students will learn the fundamentals of data programming with R and Python using structured (tabular data such as spreadsheets) and unstructured data (text data such as social media) for application in Business and Cyber Analytics, Machine Learning, and Artificial Intelligence. Prerequisite: graduate standing.

- **INFSYS 6860 Data Integration:** This course discusses the theories and techniques for blending unstructured and structured data including Big Data and social media streams with relational databases, data warehouses, spreadsheets, and other sources of data. Students will be introduced to tools that integrate data from different sources and provide input to dashboards for rich visualization and advanced analytics. Prerequisite: consent of instructor.
- **INFSYS 6862 Artificial Intelligence Applications for Business and Cybersecurity:** This course introduces students to the landscape of topics in Artificial Intelligence (AI) and its applications in Business. The course starts with a historical development of fundamental ideas in AI and their relationship to the state of the art. The course then introduces one of the most successful branches of AI – Machine Learning (ML), and the development of data models. (*New Course*)

Finance

- **Finance 6503 Financial Modeling and Computer Applications:** This course focuses primarily on practical financial applications using MS Excel spreadsheet software. It is project-oriented with an emphasis on breakeven analysis, mortgage calculation, project analysis, financial statement analysis, capital budgeting, debt and equity valuation, financial planning, risk analysis and more. Prerequisites: FIN 6500 and SCMA 5300.
- **Finance 6523 Fixed Income Analysis:** This course explores key issues in fixed income securities. The topics include pricing of bonds, measuring bond yields, bond price volatility, factors affecting yields and the term structure of interest rates, treasury securities, corporate debt instruments, residential mortgage loans, collateralized mortgage/debt obligation, and analysis of bonds with embedded options. Prerequisite: FIN 6500
- **Finance 6524 Portfolio Analysis and Management:** This course reviews various advanced topics in investment management. The topics include portfolio management, fixed income analysis, equity analysis, economics in a global context, derivatives, alternative investments, and Ethical and Professional Standards. Prerequisite: FIN 6500

Marketing

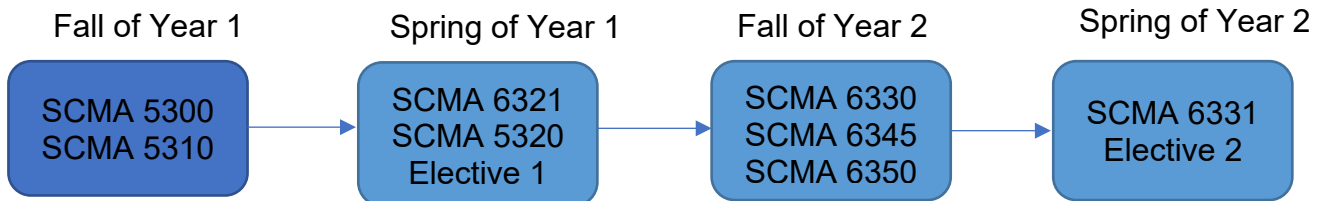
- **MKTG 5740 Marketing and Business Analytics:** A broad approach to marketing research as a model for acquiring, retrieving, and analyzing decision-making information. Includes market measurement, evaluation of sales and cost effectiveness, sales forecasting and primary marketing research studies aimed at solving specific problems. Prerequisites: SCMA 5300 and SCMA 5310.

The courses are properly sequenced to allow students to complete the program in either two (2) years or 16 months. The foundational course serving as the pre-requisite for is SCMA 5310. Students are recommended to take SCMA 5300 before

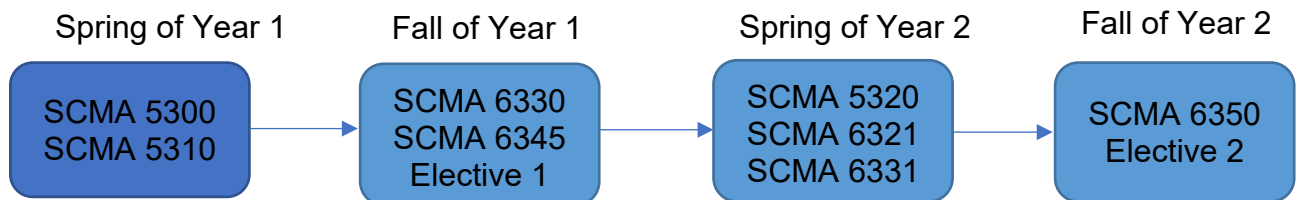
taking other analytical courses. Figure 3 shows sample program paths, assuming maximum of three (3) courses per semester.

Figure 3. Sample program paths to complete the program in either two years or sixteen months

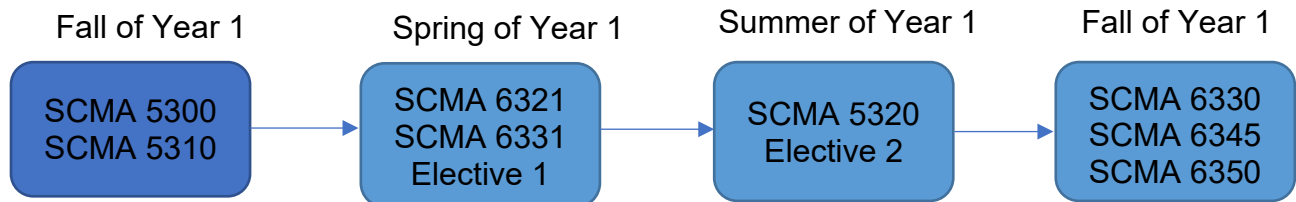
2-Year Track for the Cohort Entering the Program in Fall Semester



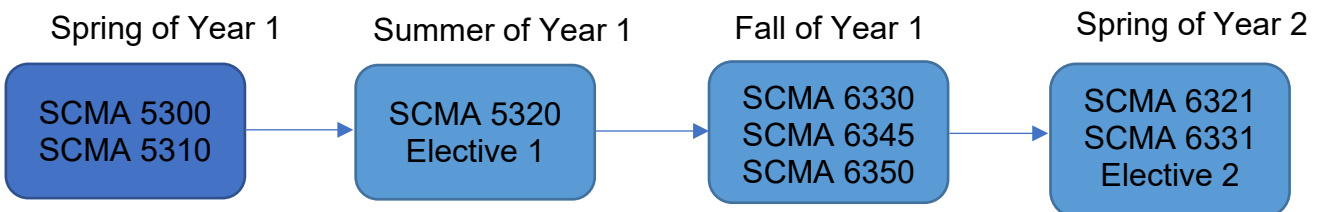
2-Year for the Cohort Entering the Program in Spring Semester



16-Month Track for the Cohort Entering the Program in Fall Semester



16-Month Track for the Cohort Entering the Program in Spring Semester



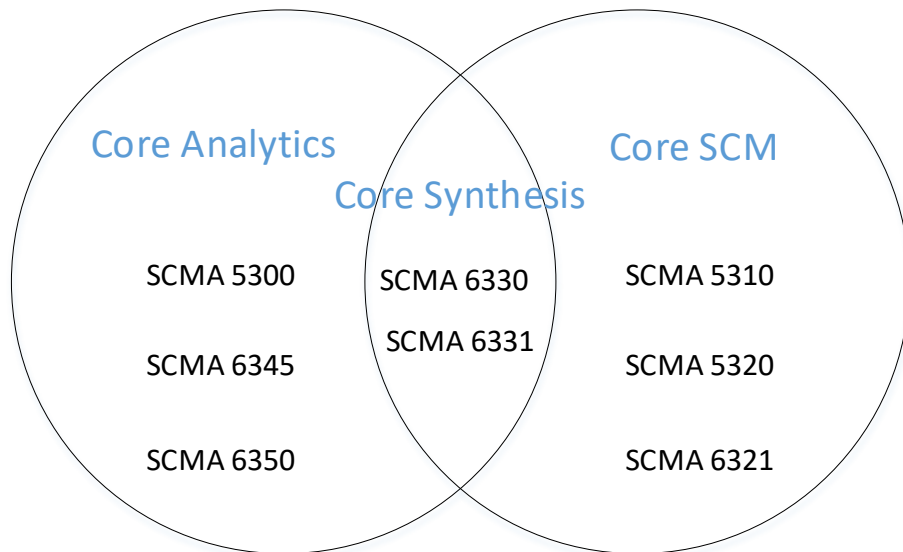
5.C. Program Structure

The total credit hours required are 30 (10 courses): 8 required core courses, plus 2 three-hour electives. The eight required core courses are structured into three components: Core Supply Chain Management (SCM), Core Business Analytics, and

Core Synthesis, as shown in Figure 3. The three core SCM courses provide a comprehensive and in-depth coverage of SCM domain topics; the three core Analytics courses introduce all components of descriptive, predictive and prescriptive analytical methodologies. The two synthesis courses focus on the applications of data-driven decision-making in supply chains.

This structure reflects the unique feature of our program with focus in both supply chain management domain and business analytics. The two synthesis courses connect the two to provide in-depth coverage of analytical methodologies in the context of supply chain applications. This structure meets the needs for “Citizen Data Scientists” who have balanced knowledge and training in supply chain management and analytical skills.

Figure 4. Structure of core courses in the MS in Supply Chain Analytics



5.C.1. Program Structure Form

1. **Total Credits Required for Graduation:** 30
2. **Residence requirements, if any:** NA
3. **General education**
 - a. Total general education credits: NA
4. **Major Requirements**

Total credits specific to degree (required courses): 24

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

Course	Hrs	Course	Hrs
SCMA 5300	3	SCMA 6330	3
SCMA 5310	3	SCMA 6331	3
SCMA 5320	3	SCMA 6345	3
SCMA 6321	3	SCMA 6350	3

5. Free elective credits

Total free elective credits: 6

Please see a list of available electives on Pages 21 and 22.

6. **Requirement for thesis, internship or other capstone experience:** NA
7. **Any unique features such as interdepartmental cooperation:**

The elective courses are structured in four tracks (Supply Chain Management, Information System and Technology, Finance and Marketing) to allow for cooperation between departments in the College of Business Administration.

5.D. Program Goals and Assessment

An Assurance of Learning (AOL) process will be implemented to assure quality program delivery and student experience. It consists of the following ways to assess learning outcomes.

- In-class tests (quizzes and exams) are used to assess students' knowledge in supply chain domain topics and analytics
- Case studies are used to assess students' problem solving and writing skills

- Class projects are used to assess students' ability to identify real world data-driven decision needs with business acumen, build analytical models, apply solution methods, and oral presentation skills

An annual program review will be conducted to close the loop of the AOL process. Faculty participating in teaching courses of the program submit self-assessment on whether each learning objective of a course has exceeded expectation, met expectation or been below expectation, with reasoning on why, and action plans to address the gap.

We aim to achieve a student retention rate of 90%, graduation rate of 95% and placement rate of 100%. These will be achieved through our faculty's dedicated teaching efforts, student-focused teaching style, and our real-world relevant and dynamic curriculum. With strong support of the Supply Chain & Analytics Department Advisory Board, we have the following additional ways in place to assure quality and success of the program:

- Class Speaker Program: Invite industry leaders and experts in classroom to give students first-hand knowledge and exposure to real life practice in Supply Chain Analytics
- Student Mentoring Program: Pair our top performed students with industry leaders to provide them valuable mentorship and career guidance
- Speed Networking Program: Invite our industry partners to introduce their companies and business, and make close interactions with our students about internship and career opportunities
- Facility Visits: Arrange 1-2 visits per semester to enhance students' experience in real world practice
- Student-Focused Seminars and Workshops: These include seminars, panel sessions and workshops on timely topics and skill training. Our past examples include a seminar on Supply Chain Sustainability, a panel session on the impact of COVID-19 pandemic on the Missouriian businesses, and a workshop on Excel skills.

5.E. Student Preparation

The target population of the program include:

- BSBA graduates who would like to pursue a Master's degree and to land a career in Supply Chain, including Procurement, Logistics, Transportation, Operations, Demand Planning, Supply Chain Risk Management, Business Analytics and Intelligence.
- Students with undergraduate degrees in other disciplines including Applied Math, Computer Science, Economics, Engineering, etc., who wish to expand their application domain to supply chain and business.

- Working supply chain professionals who need in-depth knowledge and training in Analytics.
- International students who seek advanced degrees in the U.S.

The program has been designed to be self-contained in both the domains of Supply Chain Management and Business Analytics, which makes it accessible for students with various educational and industry backgrounds. The courses in the curriculum have been properly sequenced to provide gradual and logical coverage of the program contents and skills.

Students entering the program are recommended to have completed college-level AACSB-accredited courses in Linear Algebra and Probability/Statistics with B or higher.

5.F. Faculty and Administration

Dr. Haitao Li, Professor and Chair of the Supply Chain & Analytics Department at College of Business Administration, will be responsible for the success of this program. He has 20% of his time available to managing this program, along with other programs in the Supply Chain & Analytics Department.

The faculty who teach the core courses in this program are required to have a Ph.D. degree and maintain Scholarly Academics (SA) as defined by the College of Business Administration's Policy on Faculty Qualifications¹³. The minimum requirement for faculty who teach the electives is Practice Academics (PA)¹⁴. With all the core courses planned to be taught by the full-time faculty, the estimated overall percentage of credit hours covered by the full-time faculty is over 90%.

Faculty in the program are expected to proactively participate in teaching related training and workshops, and the Department's class speaker program. They are also expected to maintain continuous improvement of their classes through creative teaching and pedagogy. See Table 9 for more information.

The new Master of Science in Supply Chain Analytics received strong support from the faculty in the Supply Chain & Analytics Department, and the Dean of College of Business Administration. The new program has also been encouraged and supported by the Provost and Executive Vice Chancellor for Academic Affairs as well as the Chancellor of the University of Missouri – St. Louis. In addition to our institutional support, we have also got strong support from the industry including

¹³ Following the AACSB guideline, SA is defined as: Sustain currency and relevance through scholarship and related activities. For example, a minimum of 5 PRJ publications during the past five years is required to maintain the SA status.

¹⁴ Following the AACSB guideline, PA is defined as: Sustain currency and relevance through continued professional experience, engagement, or interaction and scholarship related to their professional background and experience.

AB Inbev, Bunge, Graybar, and St. Louis Regional Freightway, Unyson and Weekends Only, with their support letters attached in this proposal (See Appendix).

5.G. Alumni and Employer Survey

We will establish a database to keep track of graduates with their placement. Alumni survey will be conducted every two years after graduation of the first cohort. Our goal is to achieve a satisfaction rate of 90%.

We plan to start with companies in the Supply Chain & Analytics Department Advisory Board to collect feedback from employers about our graduates. As the program grows, we will reach out to greater network of employers for feedbacks. Our target employer satisfaction rate is 90%.

Table 9. List of faculty and staff to teach and advise students in the program.

Name	Rank and Title	Full-Time	Courses	Online Ready	% of Time ¹⁵
Jill Bernard	Assistant Teaching Professor	Yes	5310	Yes	20%
James Campbell	Professor	Yes	6330	Yes	20%
Shakiba Enayati	Assistant Professor	Yes	5320 6350	No	10%
Trilce Encarnacion	Assistant Professor	Yes	5300	No	10%
Andrea Hupman	Assistant Professor	Yes	5354 6345	Yes	20%
Maureen Karig	Assistant Teaching Professor	Yes	5381	Yes	20%
Haitao Li	Professor	Yes	5320 6331	Yes	20%
Mitch Milstein	Assistant Teaching Professor	Yes	6370	No	10%
George Zsidisin	Barriger Endowed Professor	Yes	6321	No	10%
John Earls	Adjunct Professor	No	6347	Yes	10%
Yuan Chen	Assistant Director, Graduate Program Office	Yes	Student Advising		20%
Francesca Ferrari	Director, Graduate Program Office	Yes			
Lee Hasegawa	International Admission, UMSL Global	Yes	Pre-admission Advising for International Students		5%
Jason Marquart	International Student & Scholar Services, UMSL Global	Yes			

¹⁵ Faculty’s % of time dedicated to the program is calculated as the work load assignment and the planned courses and frequency to teach courses in the program.

5.H. Program Accreditation

The Master of Science in Supply Chain Analytics will be an AACSB accredited program as part of our AACSB accredited College of Business Administration. The AACSB review is conducted every five years.

6. Appendix: Support Letters



College of Business Administration

University of Missouri-St Louis

202 Anheuser-Busch Hall

1 University Boulevard

St. Louis MO 63121-4400

May 8, 2020

To Whom It May Concern:

I am writing in support of the proposal for the MS in Supply Chain Analytics in the College of Business Administration at UMSL and now approved by UMSL's Faculty Senate.

The coronavirus pandemic is only the latest example to highlight the importance of careful planning using solid data. At a recent panel of supply chain professionals from four large companies discussing their response to the pandemic, it was striking how preparations in advance and data analytics enabled continuing company operations in essential industries while protecting employees safety and health. Every company expressed a wish that they had prepared in advance more thoroughly.

In the past year we changed the name and focus of our Center for Transportation Studies to the Supply Chain Risk and Resilience Institute to reflect the huge role that risk plays in the supply chain. This change was prompted by our faculty research, and two of our advisory boards, the International Business board and the Supply Chain and Analytics board. Input from all three groups have led to this excellent proposal for the new MS in Supply Chain Analytics.

The coronavirus pandemic has taught every consumer lessons in supply chain as they confront empty grocery store shelves. Our fastest growing department in the college is expected to benefit from two new tenure track professors for this Fall, participation in the new E Learning initiative, the revitalized center and its new director, and this general awareness of the complex, but interesting field.

The college undergraduate and graduate recruiters, our eight advisory boards, and campus social media marketing will all support and promote the new MS in Supply Chain Analytics.

Our timing is good, and we have an excellent faculty in this department to ensure student success.

Please do not hesitate to contact me with any questions.

A handwritten signature in black ink, appearing to read "Hoffman".

Charles Hoffman
Dean, College of Business Administration, UMSL



February 7, 2020

Haitao Li, Ph.D.
Associate Professor and Chair
Supply Chain & Analytics Department
College of Business Administration
208 ESH, One University Blvd
University of Missouri – St. Louis

Dear Professor Li,

As consumers continue to be provided with more choice in their selection of beverages, our business needs to be prepared to provide high quality options at low cost with speed and flexibility. At the same time, the trends in the alcohol industry are no different across other CPG businesses. In order to grow alongside the increasing complexity, it is necessary for all supply chain professionals to be armed strong analytical skills to make data driven decisions.

It is apparent that the Masters of Science in Supply Chain Analytics provided by the University of Missouri-St. Louis (UMSL) will generate a pipeline of industry professionals who will close the gap between a pure data scientist and a supply chain expert. The degree will support the current demand in the workforce, while also providing talent for future demands for years to come in all aspects of supply chain career opportunities. A graduate from the program will excel in procurement, logistics, transportation, operations, demand planning, risk management, or many other roles that require the marrying of business intelligence and industry knowledge.

At Anheuser Busch, we look forward to supporting the UMSL Masters of Science in Supply Chain Analytics. My colleagues and I take great pride in being a part of UMSL growth. We will continue to aid in curriculum development, supply projects for learning application, and deliver other avenues of support to UMSL.

Sincerely,

Sam Johnson
Director of Tier II Operations
Anheuser Busch
1 Busch Place
St. Louis, MO, 63118
(651) 470 3309



February 24, 2020

Haitao Li, Ph.D.
Associate Professor and Chair
Supply Chain & Analytics Department
College of Business Administration
208 ESH, One University Blvd
University of Missouri – St. Louis
St. Louis, MO 63121

Dear Dr. Li:

On behalf on Bunge, I am writing in support of the proposal to launch a Master of Science in Supply Chain Analytics degree program to the University of Missouri – St. Louis.

Bunge is an important link in the farmer-to-consumer food chain. From our global headquarters in Chesterfield, our team of 24,000 employees source grain and oilseeds grown by farmers in key origination regions around the world. We then export commodities to regions in deficit or turn them into value-added food ingredients used by the most trusted names in the food industry. Because of our unique position in the middle of the agricultural supply chain, Bunge knows first-hand that efficient procurement, transportation and logistics professionals are required to be successful.

And the need for supply chain experts will continue to grow. The United Nations predicts that the world's populations will grow from nearly 8 billion people in 2020 to nearly 10 billion in 2050. Most of that growth is expected to occur in Africa and Asia, continents that cannot produce the food required to feed the larger population. Increasingly, these regions will rely on companies such as Bunge to help them take food from areas of surplus to where it is needed, with the added requirement of making that movement efficient and sustainable.

As a member of the Supply Chain & Analytics Advisory Board, I am impressed with the undergraduate program that UMSL has in place today. With the University's location in St. Louis, the school is ideally located to expand this program to include a master's degree. The city is at the crossroads of key infrastructure including river, rail and roads which companies value. The ability to provide students with real-life experience will create highly-educated talent that will be highly sought after by companies in St. Louis and around the globe.

We strongly encourage the University to go forward with the development of this degree program.

Sincerely,

Brett Caplice
Commercial Director, North America Grain
Bunge

Bunge North America
1391 Timberlake Manor Pkwy., Chesterfield, MO 63017 USA
Phone: (314) 292-2000
www.bungenorthamerica.com



P. O. BOX 7231
ST. LOUIS, MISSOURI 63177

Scott S. Clifford

Senior Vice President and Chief Financial Officer

Phone (314) 573-9200

Direct (314) 573-6863

February 13, 2020

Haitao Li, Ph.D.
Associate Professor and Chair
Supply Chain & Analytics Department
College of Business Administration
University of Missouri - St. Louis

Dear Dr. Li,

Advances in digital technology are providing companies with innovative ways to remove friction from the supply chain. To take advantage of these technologies, organizations must view data from a strategic perspective. The power of data analytics extends far beyond optimizing the physical aspects of the supply chain, such as facilities, transportation networks and materials. To fully unleash the potential of supply chain analytics, companies must focus on creating competitive advantage by predicting customer demand, aligning resources to meet customers' rising expectations and finding new ways to serve their changing needs.

Managing a complex supply chain requires deep knowledge of data and analytics, as well as a comprehensive understanding of supply chain management principles. As a leading North American distributor, Graybar relies on advanced data analytics to manage our supply chain today, while finding opportunities to innovate for the future. Graybar supports your efforts to create a Master of Science degree in Supply Chain Analytics at the University of Missouri – St. Louis. We believe a program of this nature will provide students with a strong foundation in data analytics and the ability to apply their knowledge to emerging supply chain challenges.

We are excited about the potential of this program and look forward to working with you to equip the next generation of supply chain professionals with the knowledge and skills they need to succeed in the new era.

Very truly yours,

A handwritten signature in black ink, appearing to read 'S. Clifford'.

Scott S. Clifford

34 N. MERAMEC AVENUE, ST. LOUIS, MISSOURI 63105
www.graybar.com

February 6, 2020

Haitao Li, Ph.D.
Associate Professor and Chair
Supply Chain & Analytics Department
College of Business Administration
208 ESH, One University Blvd
University of Missouri – St. Louis

Re: University of Missouri-St. Louis Master of Science Degree Program in Supply Chain Analytics

Dear Professor Li:

On behalf of the St. Louis Regional Freightway (the Freightway), an enterprise of Bi-State Development, we are writing to express our support for the creation of the Master of Science Degree Program in Supply Chain Analytics at the University of Missouri-St. Louis (UMSL). We feel this program will play a vital role in helping to address the supply chain talent gap that exists locally and nationally.

Bi-State Development was incorporated in 1950 by an act of Congress, with a specific aim to enhance development in the St. Louis region. The Freightway is a division of Bi-State Development, formed with the mission to develop and grow the freight industry through public-private partnerships. The Freightway's members represent a broad cross-section of industry leaders from public and private sectors, all modes of transportation, as well as the region's educational institutions.

With the shift in the United States economy and the need for high service levels and fast delivery, logistics and supply chain is an industry primed for growth in the 21st Century. Data and analytics are key components of this industry and a fundamental part of how business is conducted. With the nation's northernmost ice-free and lock-free port, four interstate highways, six Class I railroads, as well as a robust workforce, the St. Louis region is a world-class freight and logistics hub with a variety of opportunities for students in the Master of Science Degree Program in Supply Chain Analytics.

I am honored to represent the Freightway on UMSL's Supply Chain & Analytics Advisory Board, and to help shape the next generation of supply chain professionals and experts. The Freightway respectfully asks for your consideration of this program, and we look forward to working with you in the future.

Sincerely,



Mary Lamie
Executive Director
St. Louis Regional Freightway



The Hub Group
1801 Park 270 Drive, Suite 500
St. Louis, MO 63146

April 13, 2020

Haitao Li, Ph.D.
Associate Professor and Chair
Supply Chain & Analytics Department
College of Business Administration
208 ESH, One University Blvd
University of Missouri – St. Louis

Dear Dr. Li:

The Transportation and Supply Chain industry is rapidly changing, especially in today's uncertain environment. As a transportation provider for many Fortune 500 corporations, as well as numerous other companies, The Hub Group is consistently expected to provide solutions to changes in supply chain networks and provide our clients with world-class industry knowledge and analytics capabilities. As a result, it is imperative that The Hub Group have experts in the Supply Chain Analytics field to drive intelligent solutions and feedback to our customers.

Supply Chain Analytics is simply a necessity for any organization that buys, sells, manufactures, or distributes raw materials or finished goods in any manner. Given the fierce competition in nearly all industries, managing your Supply Chain effectively is essential in order to be able to maintain long-term success. Careers in this field are already critical in the industry, yet the focus at the collegiate level in this area has not been fully developed throughout the US.

As a representative of The Hub Group, I am proud to support the development of a Master of Science in Supply Chain Analytics program at the University of Missouri – St. Louis. We look forward to partnering with UMSL to develop a world-class Masters program in Supply Chain Analytics that stays in alignment with the world's ever-changing needs.

Respectfully,

Christopher Miller
VP, Enterprise Optimization
The Hub Group
1801 Park 270 Drive, Suite 500
St. Louis, MO 63146



30 January 2020

Haitao Li, Ph.D.
Associate Professor and Chair
Supply Chain & Analytics Department
College of Business Administration
208 ESH, One University Blvd
University of Missouri – St. Louis

Dear Haitao,

The retail industry is undergoing a transformation that will reward only those enterprises capable of gathering and analyzing complex data to inform the customer experience, from awareness to fulfillment. Traditionally the store sales process has shaped the retail customer's journey. Today and into the future, innovation, technology and supply chain resiliency determine that experience. The highest priorities in our business are people – having the right talent in place at the right time – and analyzing data to understand our customers and fulfill their expectations.

These are the reasons why we support the proposed Master of Science in Supply Chain Analytics degree program. Our company is in the business of selling home furnishings to consumers. We haven't the means to develop the skills we need, and which this program would provide. We see this program as a generator of future talent in citizen data science, addressing business needs that will only become more important over time.

One of Weekends Only's core values is a commitment to ongoing personal and professional development of all of its employees. We provide a tuition reimbursement benefit to all full time employees, and we actively encourage ongoing career development for all employees. Adding the MS in Supply Chain Analytics degree program would provide a wonderful opportunity for professional development of current and future employees, as well as generate talent for future needs of the business.

I'm proud to serve on the Advisory Board of UMSL's Supply Chain & Analytics Department precisely because the department works actively with industry to develop programs that will meet industry's changing needs. I fully support your proposal and hope to see this program come to life.

Warm regards,

A handwritten signature in purple ink, appearing to read "Dionne Dumitru".

Dionne Dumitru
Chief Technology Officer
Weekends Only, Inc.
349 Marshall Ave Level 3
Saint Louis, MO 63129

www.weekendsonly.com

August 10, 2020

Interim Dean Keith Womer
College of Business Administration
University of Missouri – St. Louis
St. Louis, MO 63121

RE: Proposed M.S. in Supply Chain Analytics

Dear Dr. Womer:

I am writing to express my enthusiastic support for the proposed M.S. degree in Supply Chain Analytics to be offered out of the Department of Supply Chain & Analytics in the College of Business Administration here at the University of Missouri – St. Louis. We have been discussing this program for quite some time, and even before COVID-19, the demand for such a program in the St. Louis metropolitan area was evident, as discussed in the proposal. Moreover, the widespread disruptions in the supply chains for numerous goods observed during Spring 2020 at the local and national levels further emphasizes the need for additional workforce development and training in the area of logistics, transportation and supply chains along with informed data-driven decision-making.

With its 30-hour degree plan, the program (which will include both in-person and online classes) will build upon our existing programs, including undergraduate and graduate programs. The proposal includes an Assurance of Learning (AOL) process to be implemented to assure quality program delivery and student experience. Also of importance in light of the current budgetary situation surrounding COVID-19, the program is not expected to depend on additional resources beyond those already allocated, including the current and incoming faculty.

In short, I am excited to see the launch of this much-needed new degree program, and I expect it will fulfill the demand for this type of education and training. I also expect this has the potential to emerge as one of the signature graduate programs in our College of Business Administration.

Sincerely yours,



Marie T. Mora, Ph.D.
Provost & Executive Vice Chancellor for Academic Affairs

CC: Dr. Kristin Sobolik, Chancellor
Ms. Tanika Busch, interim Vice Chancellor & Chief Financial Officer
Dr. Haitao Li, Chair, Department of Supply Chain & Analytics

August 10, 2020

Interim Dean Keith Womer
College of Business Administration
University of Missouri – St. Louis
St. Louis, MO 63121

RE: Proposed M.S. in Supply Chain Analytics

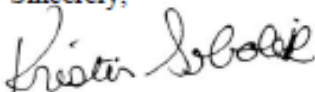
Dear Dr. Womer:

I am writing to express my strong support for the proposed M.S. degree in Supply Chain Analytics from the Department of Supply Chain & Analytics in the College of Business Administration here at the University of Missouri – St. Louis. I have been interested in offering this type of program for quite some time. As indicated in the proposal, there is clear demand for such a program in the St. Louis metropolitan area and at the national level. Given what we observed with the breakdowns of the supply chain for a variety of goods earlier this year with the onset of COVID-19, moreover, the need for such a program has become even clearer.

The program is expected to meet the current and future demand for professionals in the broad fields of Supply Chain Management and Business Analytics by producing “Citizen Data Scientists” who will bridge the gap between pure data scientists and supply-chain domain experts. The program will also align with the university’s strategic plan and will support the Department’s strategic priority to be the Supply Chain Center of Excellence. Also of importance in light of the current budgetary situation surrounding COVID-19, the program is not expected to depend on additional resources beyond those already allocated, including the current and incoming faculty.

In short, I strongly support this proposed M.S. degree program in Supply Chain Analytics, and I look forward to seeing its impact on the workforce in the St. Louis area and in Missouri.

Sincerely,



Kristin Sobolik, Ph.D.
Chancellor

CC: Dr. Marie T. Mora, Provost & Executive Vice Chancellor for Academic Affairs
Dr. Haitao Li, Chair, Department of Supply Chain & Analytics

Summary Naming Opportunity, MU

Focused on the mission of studying and evaluating the status of race and racial justice in the United States, MU's Center for Race, Citizenship, and Justice will promote diverse research and dialogue around race, citizenship, and justice in America. The Center will attract and welcome a multitude of perspectives and ideas that allow for a robust engagement in the critical conversations required to accomplish its mission. This intentional level of engagement will reflect a rich spectrum of discourses and will provide space to grow as a university, as a community and as a society. The Center will promote theoretical and applied research aimed at making a meaningful impact on communities affected by disparities in education, health and economic opportunities and to celebrate the human dignity of people in those communities.

The Center will reinforce the character of the University of Missouri, an institution of higher learning that values respect, responsibility, discovery, and excellence, all with a view to promote social advancement for all members of our campus and wider community. Our responsibility is to ensure that our engagement around the three pillars of race, justice, and citizenship are conducted in the spirit of the university's values.

Serving the entire MU campus and the UM System, the Center is rooted in interdisciplinary research and is created as a partnership between the College of Arts and Science and the School of Law, but will also be open to all disciplines. The Center will establish a strong partnership with the State Historical Society of Missouri to house the Center in Columbia, Missouri. The Center will also partner with other institutes and academic departments on campus, including the Kinder Institute for Constitutional Democracy, the Novak Leadership Institute, the Department of Black Studies, and the Center for Dispute Resolution, among others yet to be determined.

The University of Missouri-Columbia requests that the Center be named the Michael A. Middleton Center for Race, Citizenship, and Justice. Mr. Middleton, is a two-time graduate of MU with degrees from the College of Arts and Science and the School of Law. His 50-year relationship with the University of Missouri spanned experiences as student, alumnus, faculty, administrator, MU Deputy Chancellor and UM System Interim President. He also spent time as a civil rights attorney. Through his Mizzou years, Middleton was active in fighting for the rights of persons of color and was instrumental in the development of Black Studies. His career has focused on building bridges between people and their ideas, all with a view to creating a more unified and just future.

This naming has the support of Sr. Vice President Steve Graham, UM President and MU Chancellor Mun Choi and MU Provost Latha Ramchand.

No. 3

Recommended Action – Naming Opportunity, MU

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

Pursuant to Collected Rule and Regulation 110.081, the University of Missouri Board of Curators hereby approves the naming of MU’s Center for Race, Citizenship, and Justice as the Michael A. Middleton Center for Race, Citizenship, and Justice.

Roll call vote of the Committee:	YES	NO
Curator Chatman		
Curator Hoberock		
Curator Layman		
Curator Snowden		

The motion _____.

Roll call vote of Board:	YES	NO
Curator Brncic		
Curator Chatman		
Curator Graham		
Curator Hoberock		
Curator Layman		
Curator Snowden		
Curator Steelman		
Curator Wenneker		
Curator Williams		

The motion _____.

HEALTH AFFAIRS

HEALTH AFFAIRS COMMITTEE

Maurice B. Graham, Chair

Ronald G. Ashworth (non-curator member)

John R. Phillips (non-curator member)

David L. Steelman

Robin R. Wenneker

Michael A. Williams

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

I. Scope

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

- Mission, vision, and strategy;
- Governance and operational oversight;
- Quality of care and patient safety;
- Regulatory compliance;
- Financial planning and performance; and
- Coordination of the clinical, teaching, and research missions.

II. Executive Liaison

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

III. Responsibilities

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

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

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

IV. Committee Membership and Quorum Requirements

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

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

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

Approved by the Board of Curators: April 9, 2020

University of Missouri



Board of Curators

Health Affairs Committee Meeting

Wednesday, September 16, 2020

1:00 P.M.

This Committee Meeting is being held in conjunction with the September 24, 2020 Board of Curators Meeting.

Originating:

From remote locations via conference telephone and Zoom webinar.

Please click the link below to join the webinar:

<https://umsystem.zoom.us/j/92081758249>

Or Telephone:

Dial US: +1 646 876 9923

Webinar ID: 92081758249

AGENDA

PUBLIC SESSION – 1:00 P.M.

Call to Order – Chair Graham

Roll Call of the Committee

Information

1. Financial Report (Kay Davis)
2. MU Health and NextGen (Rick Barohn – 10 min at full BOC mtg / 15 min at HAC mtg)
3. MU School of Medicine Update (Rick Barohn)
4. MU Health Care Clinical Consolidation and Integration Strategies (Jonathan Curtright)
5. Quarterly Compliance and Corporate Integrity Agreement Report (Jennifer May)

Action

1. Resolution for Executive Session of the Health Affairs Committee

2:15 P.M. HEALTH AFFAIRS COMMITTEE MEETING – EXECUTIVE SESSION

(time is approximate)

Location: Zoom Webinar and Conference Telephone

The Health Affairs Committee will hold an executive session of the September 16, 2020 meeting, pursuant to Section 610.021(1), 610.021(2), 610.021(3), 610.021(12), 610.021(13) and 610.021(14) RSMo, for consideration of certain confidential or privileged communications with University Counsel, real estate, personnel, contract items, and records protected by law, all as authorized by law and upon approval by resolution of the Health Affairs Committee.

3:15 P.M. RECONVENE PUBLIC SESSION (time is approximate)

Action

2. Resolution, Corporate Integrity Agreement for Health Affairs Committee Members (HAC Cte only)
3. Minutes Approval, June 10, 2020 Health Affairs Committee Meeting (HAC Cte only)

Recess

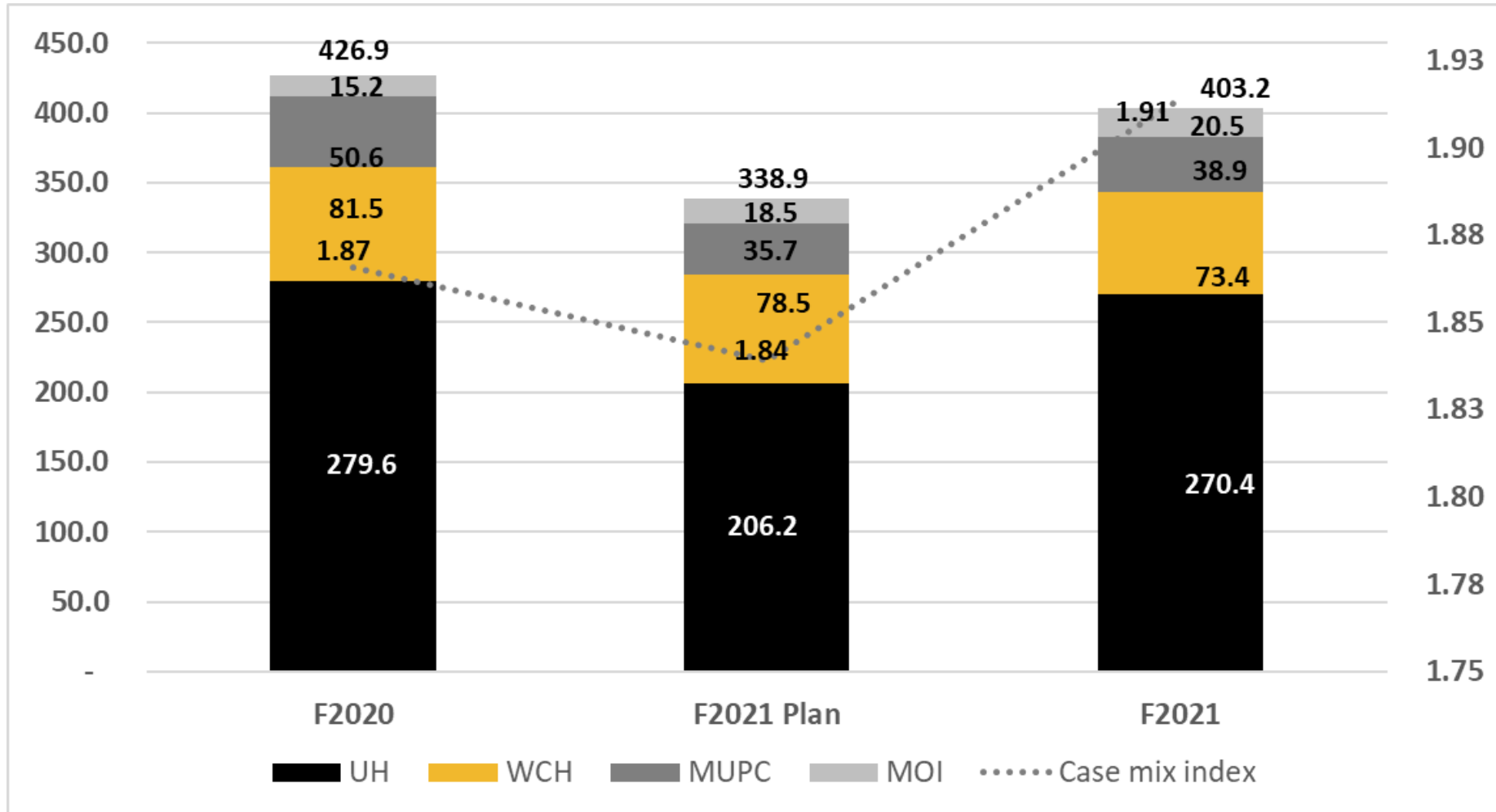


Health Care

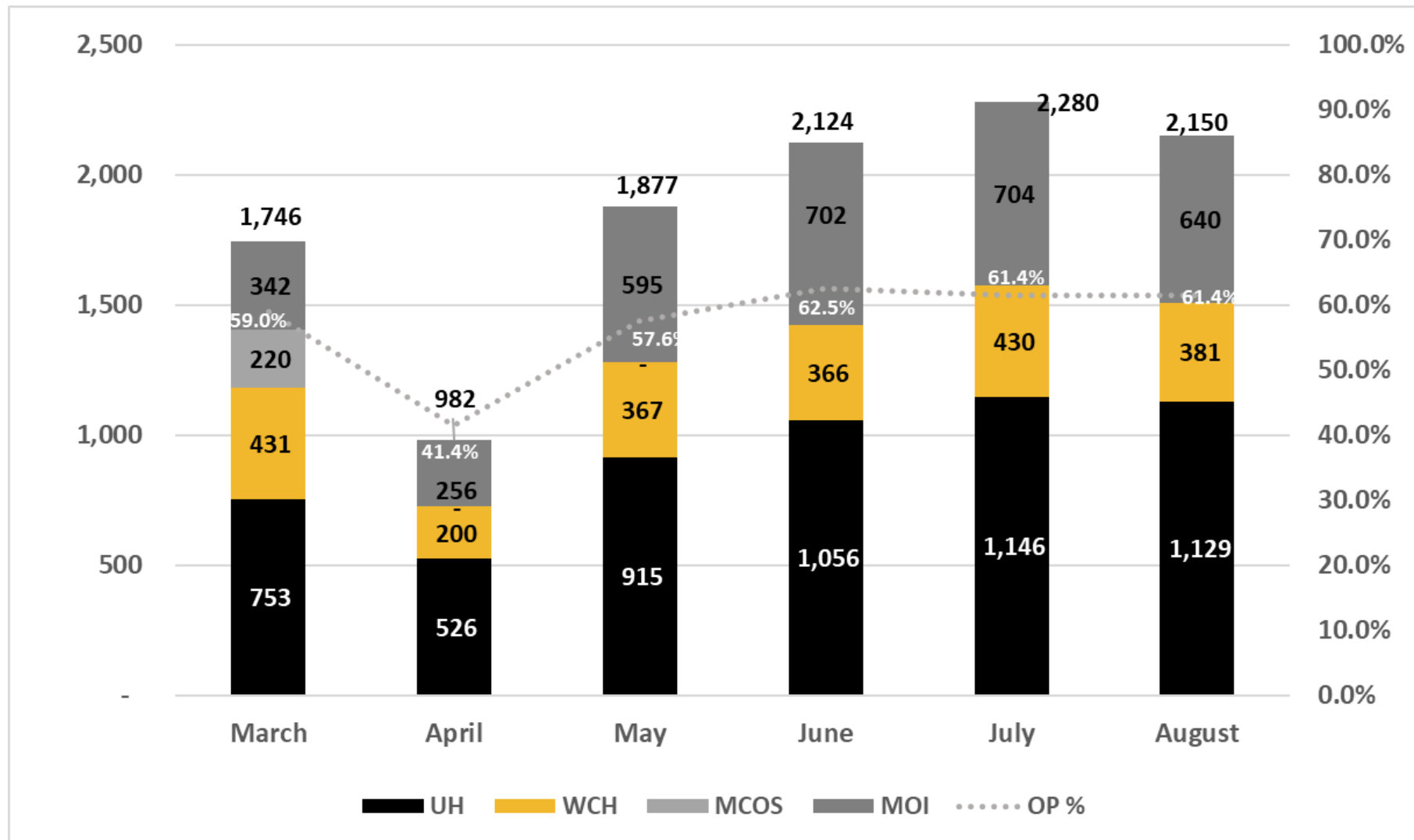
Finance Update

Kay Davis, Interim Chief Financial Officer

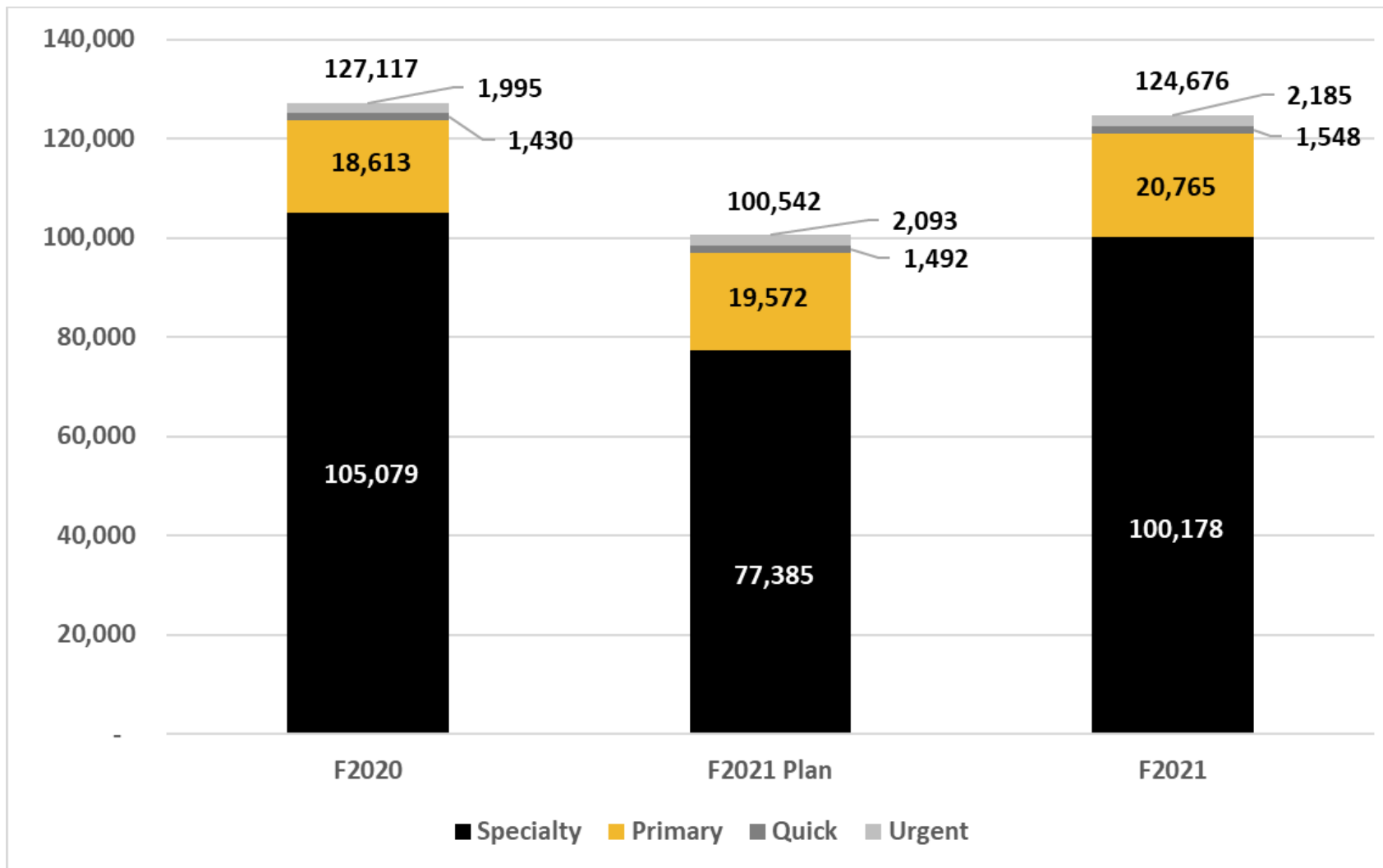
Patient Utilization - Average Daily Census



Patient Utilization - Surgeries by Month



Patient Utilization - Clinic Visits



Financial Ratios and Benchmarks - July

Actual	Plan	Consolidated Financial Results	Prior Year	FY21 Annual Plan	Moody's A Rated
<i>(\$000's)</i>					
\$96,740	\$74,245	Net Revenues	\$88,938	\$1,104,890	
(87,081)	(78,889)	Operating Expenses	(82,806)	(1,034,861)	
9,659	(4,644)	Operating Income	6,132	70,029	
(744)	(2,201)	Non-operating Revenues, Net	(901)	(26,596)	
\$8,915	(\$6,845)	Change in Net Assets	\$5,232	\$43,433	
FINANCIAL RATIOS AND BENCHMARKS					
10.0%	-6.3%	Operating Margin Percent	6.9%	6.3%	2.2%
8.3%	330.0%	Annualized Return on Total Assets	4.9%	3.3%	3.9%
197.5%	202.2%	Cash to Total Debt	194.5%	200.9%	131.3%
23.0%	24.2%	Debt to Capitalization	24.7%	17.1%	32.2%
6.6	3.3	Maximum Annual Debt Service Coverage	4.7	3.3	4.7
197.7	218.7	Days Cash on Hand	211.3	200.4	215.1
45.4	61.2	Net Days Revenue in AR	52.4	50.0	45.9

COVID Financial Impact - 3/20 to 8/20

Lost Net Revenue: \$26.7M

Total Expenses: \$15.6M

- **Salary & Wages**
 - \$3.6M in salaries and benefits expense to date in COVID-19 departments
- **Other**
 - \$5.6M in COVID-19 Reference Testing Expense (Genetroit)
 - \$6.4M in operating expenses to date including medical supplies, temporary housing and employee child care expenses

Cares Act Funding

- MUHC \$21.8M, UP \$2.1M, Subsidiaries \$131K received to date
- Applied for \$2.1M funding from Boone County
- Boone County will be reimbursing MUHC for testing of self-pay Boone County residents
- Engaged Hagerty Group to assist with FEMA application & researching potential funding sources

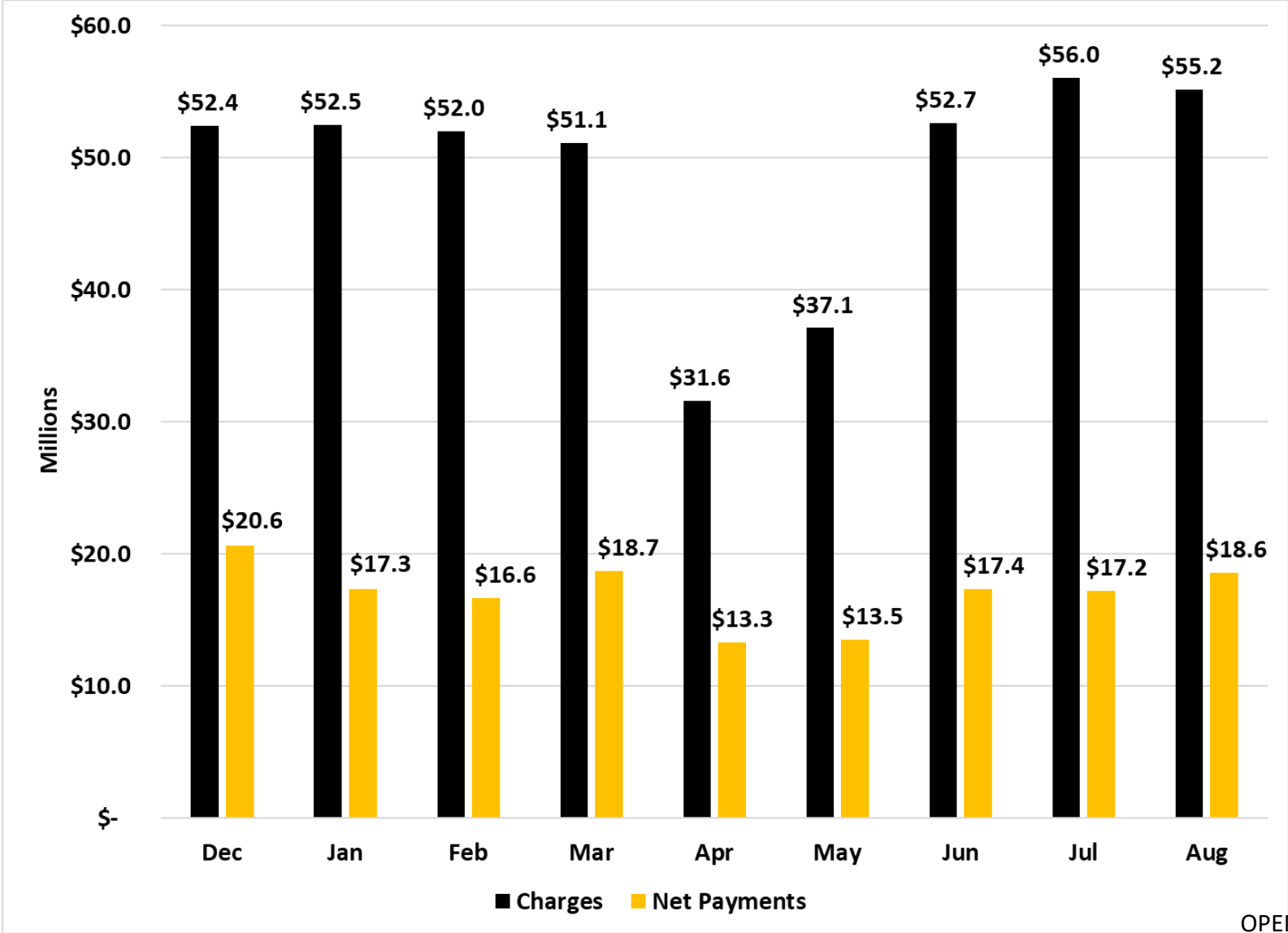


School of Medicine Finance Updates

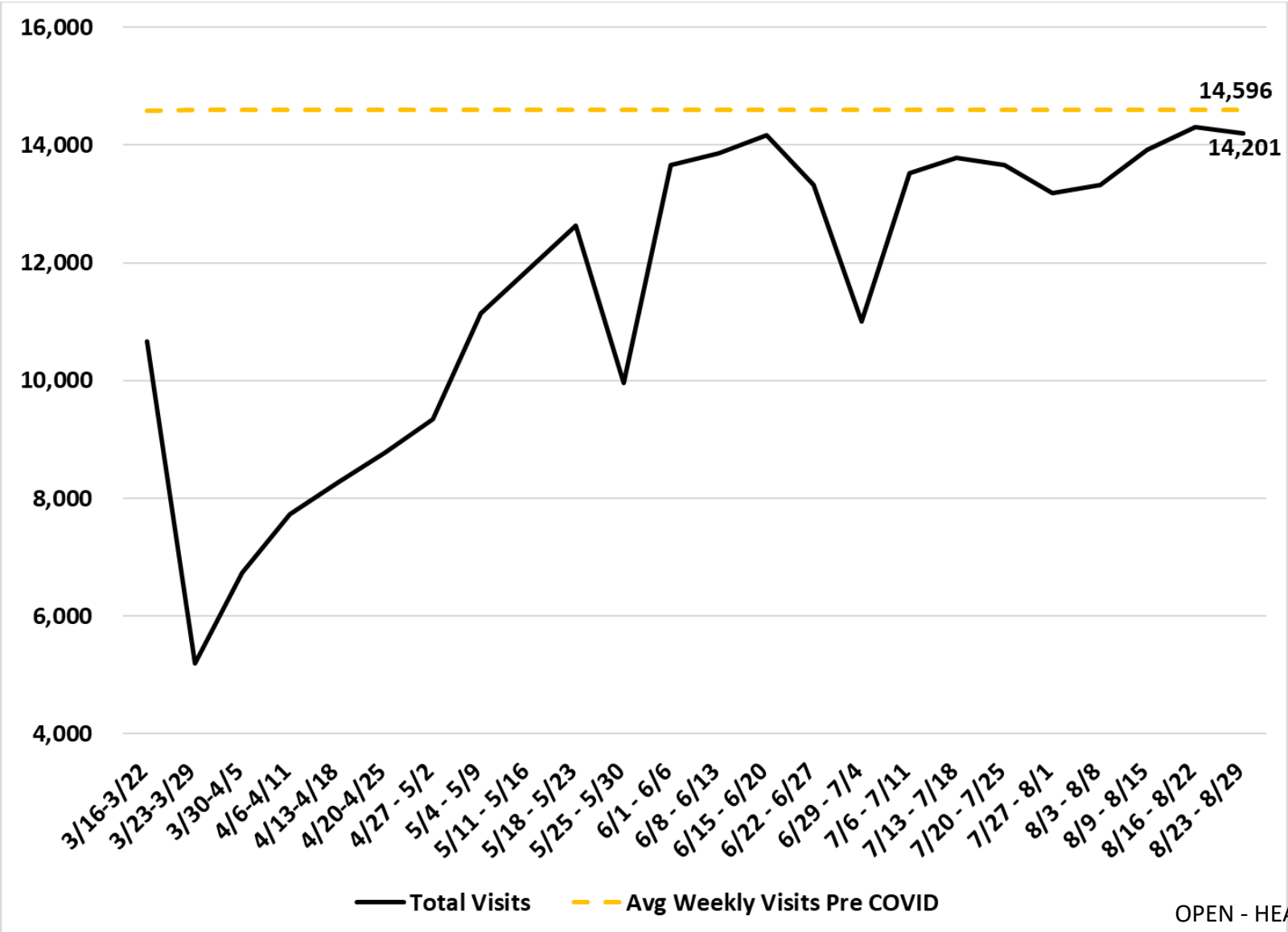
Financial Results - SOM FY2020

	FY2020 Actuals	FY2020 Budget	Variance	FY2019 Actuals
Net Clinical Revenue	235,409,351	230,952,475	4,456,876	224,610,248
Grants & Contracts	51,452,884	41,481,728	9,971,156	38,267,698
Other Income	17,478,124	16,982,546	495,578	21,732,145
Gifts / Endowment Income	6,860,208	5,664,717	1,195,490	7,608,556
State Approp / Tuition & Fees	41,924,620	38,087,575	3,837,044	39,509,327
MUHC Support	75,135,280	72,093,466	3,041,814	74,240,444
Total Revenues	428,260,467	405,262,507	22,997,960	405,968,418
Salary & Wages	268,222,582	269,106,233	883,651	257,125,414
Benefits	61,726,323	62,448,891	722,568	59,429,525
Operating Expenses	75,704,459	60,765,637	(14,938,822)	82,024,802
Student Aid	3,087,893	2,649,401	(438,493)	2,556,073
F&A	10,521,048	10,204,713	(316,336)	9,074,744
Total Operating Expenses	419,262,306	405,174,875	(14,087,431)	410,210,558
Net Income	8,998,161	87,633	37,085,391	(4,242,140)

University Physicians Charges & Collection



Clinical Visits



COVID-19 Impact Action Plans 03/20-08/20

Lost Net Revenue: \$10.6M

Short Term

- Reduced faculty & staff salaries by 10% May-July:~\$4.4M
- Holding 100 open staff & faculty positions:~\$3M
- Reduction of business meeting & travel expenses: \$2M

Longer Term

- Tenured faculty with less than .5 funded effort reduced to .75FTE (sources can be teaching, research and clinical)

Cares Act Funding

- \$2.1M Phase 1
- Applied for Phase 2



University of Missouri
MU Health Care
MU School of Medicine

Rick Barohn, MD
Executive Vice Chancellor for Health Affairs



MU Health and NextGen

September 16, 2020

How We Responded to COVID-19



Testing for COVID-19



Set up Incident Command



Supplying & cleaning masks



Offering child care options



Partnering with the community



Planning for the future

Continued COVID-19 Response



- Students back on campus
- Number of new cases increasing daily
- Established new Student Health testing center
- Reopened second drive-thru location
- Partnered with County Health Department to increase contact tracing

MU Health Care Current Performance



- Vizient Ranking – improved from **45th** to **23rd**
- **4-star Ranking** for Hospital Patient Satisfaction from Centers for Medicare & Medicaid Services



- FY2020: **\$65M** net operating income at end of year
- **\$5M** support for NextGen and **\$15M** for School of Medicine Academic Support



- **\$58M** of clinical support to School of Medicine; **\$2M** to School of Health Professions
- **\$4.5M** capital for Sinclair School of Nursing building program

NextGen Precision Health

- 250K square feet
- \$221M – on time and on budget
– opens October 2021



NextGen Tour with Rep. Hartzler



Toured NextGen construction site with Rep. Vicky Hartzler on Sept. 1

NextGen Faculty Research Leads



CANCER

Jeffrey Bryan

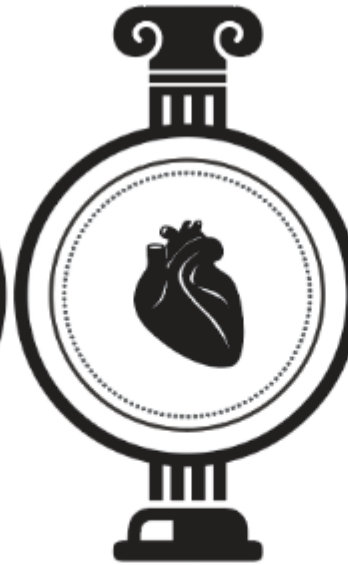
Professor of
Oncology
*College of Veterinary
Medicine*



NEUROSCIENCE

David Schulz

Professor of
Biological Sciences
*College of Arts and
Science*



**CARDIOVASCULAR
& METABOLIC
DISORDERS**

**Kerry
McDonald**

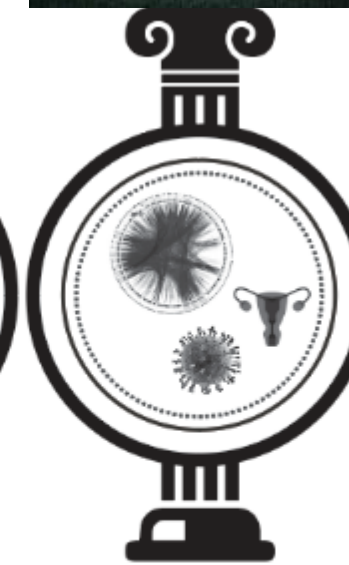
Professor of
Pharmacology
and Physiology
School of Medicine



**POPULATION
HEALTH**

Julie Kapp

Associate
Professor of
Health
Management and
Informatics
School of Medicine



**EMERGING
AREAS**

**Thomas
Spencer**

Professor of Animal
Sciences and
Obstetrics,
Gynecology and
Women's Health
*CAFNR and School of
Medicine*



**HEALTH CARE
DELIVERY**

John Spertus

Professor and Daniel
J. Lauer Missouri
Endowed Chair of
Metabolism and
Vascular Disease
Research
UMKC

The Spectrum of NextGen Precision Health

A “Cells to Society” approach



Gene



Cell



Organ



Body



Population



Gene sequencing
Proteomics
Gene therapy



Electron
Microscopy
Disease
Mechanisms



MRI and CT-PET
Imaging



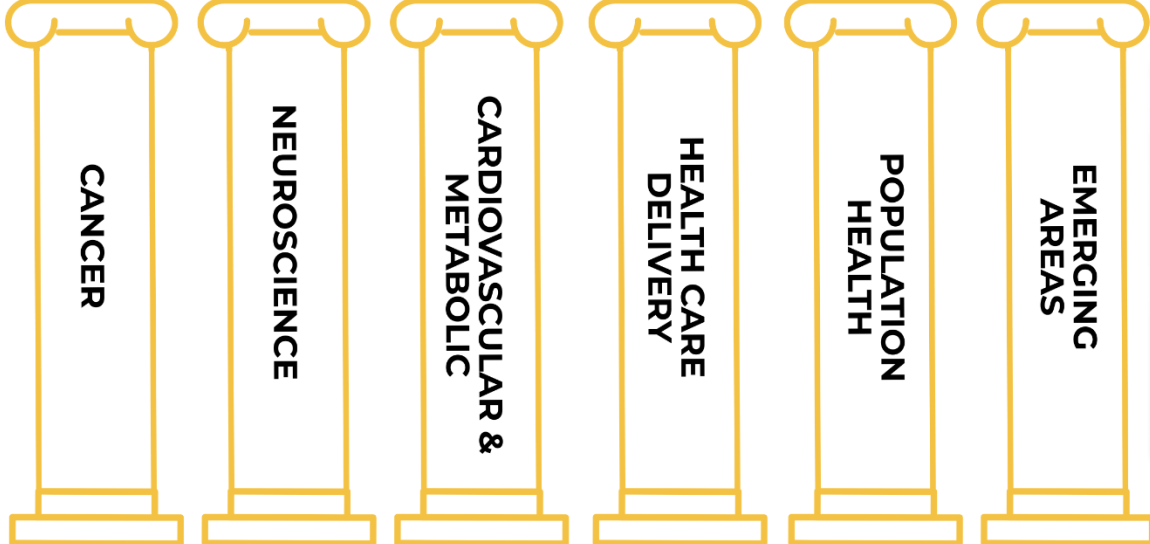
Targeted Drug
Delivery
Personalized
Medicine



Rural
communities
Underserved
populations

NextGen Precision Health

Improving health outcomes for Missourians and the world



DATA: HEALTH INFORMATICS AND BIOINFORMATICS

TECH TRANSFER

PARTNERSHIPS: INDUSTRY/GOVERNMENT/REGIONAL

INFRASTRUCTURE: LABORATORIES, IMAGING, EM, CTSU, GMP

University of Missouri System | MU, UMKC, S&T, UMSL, MU Health, MU Extension

What's New With NextGen?



- Updated branding and renaming: NextGen Precision Health (dropping “Institute” concept; single website and messaging)
- Faculty Research Leads (FRLs) are developing an occupancy document and will be approaching science teams soon
- Developing plans for Clinical Translational Science Unit (CTSU)
- Continued efforts to raise philanthropic dollars
 - \$34M so far
- Coming Soon: NextGen PH Discovery Education Seminar Series



School of Medicine

University of Missouri

MU School of Medicine Update

Steven Zweig, MD, and Richard Barohn, MD



Meet the **CLASS OF 2024**

128
Students
CURRENTLY ENROLLED



Average Math/Science GPA: **3.72**
Average Total GPA: **3.78**
Average MCAT Score: **509**

GEOGRAPHIC REPRESENTATION



- COLORADO - 2
- FLORIDA - 1
- ILLINOIS - 3
- IOWA - 2
- KANSAS - 1
- MAINE - 1
- MISSOURI - 109
- NEW YORK - 3
- OREGON - 1
- VIRGINIA - 1
- WASHINGTON - 1

3,069
TOTAL APPLICATIONS
highest number of applications ever received by the school



407
Interviews scheduled

191
Applicants accepted



Students from socioeconomically disadvantaged backgrounds:
27%

Students from rural areas:
21%

Students from Missouri:
85%

39%
Students who self-identify as an ethnic minority

17%
Students who self-identify as an underrepresented minority

AGE RANGE: **20** ↔ **43**

68 **60**



School of Medicine
University of Missouri

Welcoming our New Medical Students



We recently hosted a socially distanced White Coat Ceremony. Our class of 2024 received their first symbolic white coat and recited the Oath of Geneva.

A Shift to Telehealth

- FY19: **1,900** telehealth visits
- FY20: **46,000** (March-June) telehealth visits for primary and specialty care
 - An additional 4,700 telehealth visits during this time by ED to assess possible COVID patients
- **50-64** year olds were the most common age group to use telehealth visits
- Patient-driven miles avoided by these visits: **1.5M miles**



Research Growth

SOM Awards (in millions of dollars)

	FY19	FY20	Percent increase
AAU Phase 1	\$27.3	\$34.3	26%
AAU Phase 2	\$2.6	\$4.3	65%
Other	\$13	\$14.8	14%
Total expenditures	\$42.9	\$53.4	24%
Awards	\$56.6	\$63.0	11%

New Recruitments

- Simon-Ellebracht Professor of Medicinal Chemistry and professor of radiology
- Joint appointment in College of Arts and Science and School of Medicine
- Researches molecular imaging and theranostics, development of radiolabeled biomolecules for PET imaging and targeted radiopharmaceutical cancer therapy
- Unique expertise in inorganic chemistry, radiochemistry, and medical applications in cancer and other diseases to greatly complement ongoing research at MU
- Started August 2020

Carolyn Anderson, PhD



New Recruitments

Gillian Bartlett-Esquilant, PhD

- Epidemiologist and tenured professor at McGill University; now professor in family and community medicine and **assistant dean for population health and outcomes research.**
- PI or co-investigator on 54 mostly federally funded grants in Canada.
- Concentration on implementing precision medicine using patient-oriented strategies and key leader in NextGen population health
- Start date of Sept. 1



New Recruitments

David Haustein, MD

- MU alumnus serving as new **associate dean for the Springfield Clinical Campus**
- Comes from University of Louisville School of Medicine as associate clinical professor of physical medicine and rehabilitation as well as advisory dean
- Will begin clinical work this fall at Mercy Hospital in Springfield
- Start date of Sept. 1



New Recruitments

- Tenured professor of medicine at Kansas University Medical Center and director of the national PCORI research center Great Plains Collaborative.
- Will be professor and vice-chair in health management and informatics, associate dean for informatics and director of medical informatics in the NextGen Precision Health at MU and director of the Center for Health Insights at UMKC.
➔ **He is a Tigeroo!**
- Will be the leader of research in the Tiger Institute for Health Innovation.
- Participates in grants valued over \$8 million in current federal funding.
- Start date of Oct. 1

L. Russ Waitman, PhD





Our campus from the roof of the NextGen building



Health Care

Clinical Scale & Integration Strategies

Jonathan Curtright, Chief Executive Officer

Columbia Campus Clinical Integration

Jefferson City & Capital Region Medical Center

Narrow Networks to Better Serve Missourians

Tactics for Rural Health and Clinical Scale

- **Building renewal** necessary for a thriving academic health system
- Improve **Association of American Universities** (AAU) standing
- Accelerate and grow **NextGen Precision Health**
- Create significantly **more financial resources** for University of Missouri and School of Medicine research
- Grow our **rural academic health system** to better serve Missourians
- Increased margins will enable UM System to **make key investments**

MU Health Care's Proven Efficiency

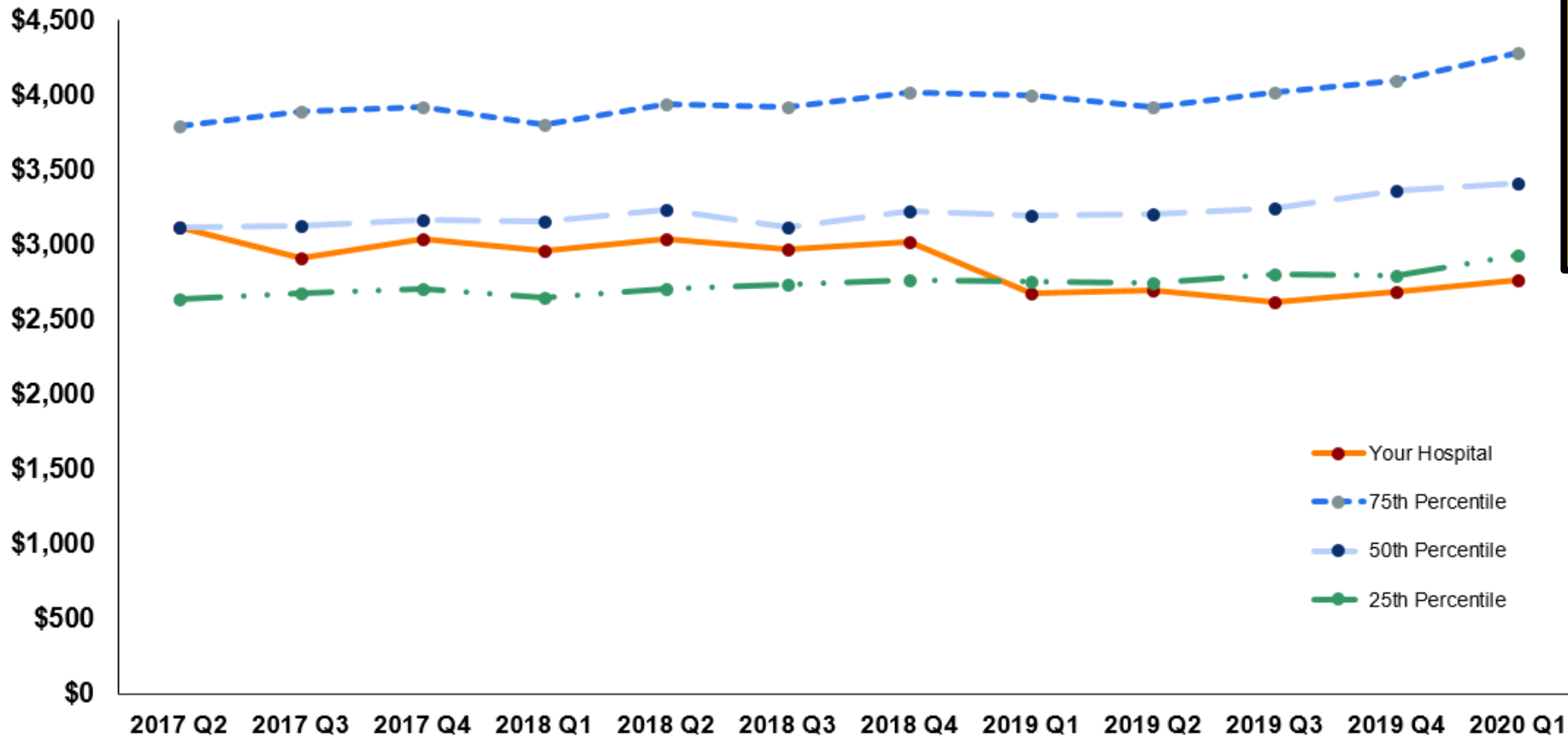
CHART
13

Expense Per Adjusted Patient Day

Benchmarked against Participating Teaching Hospitals • Twelve Most Recent Quarters



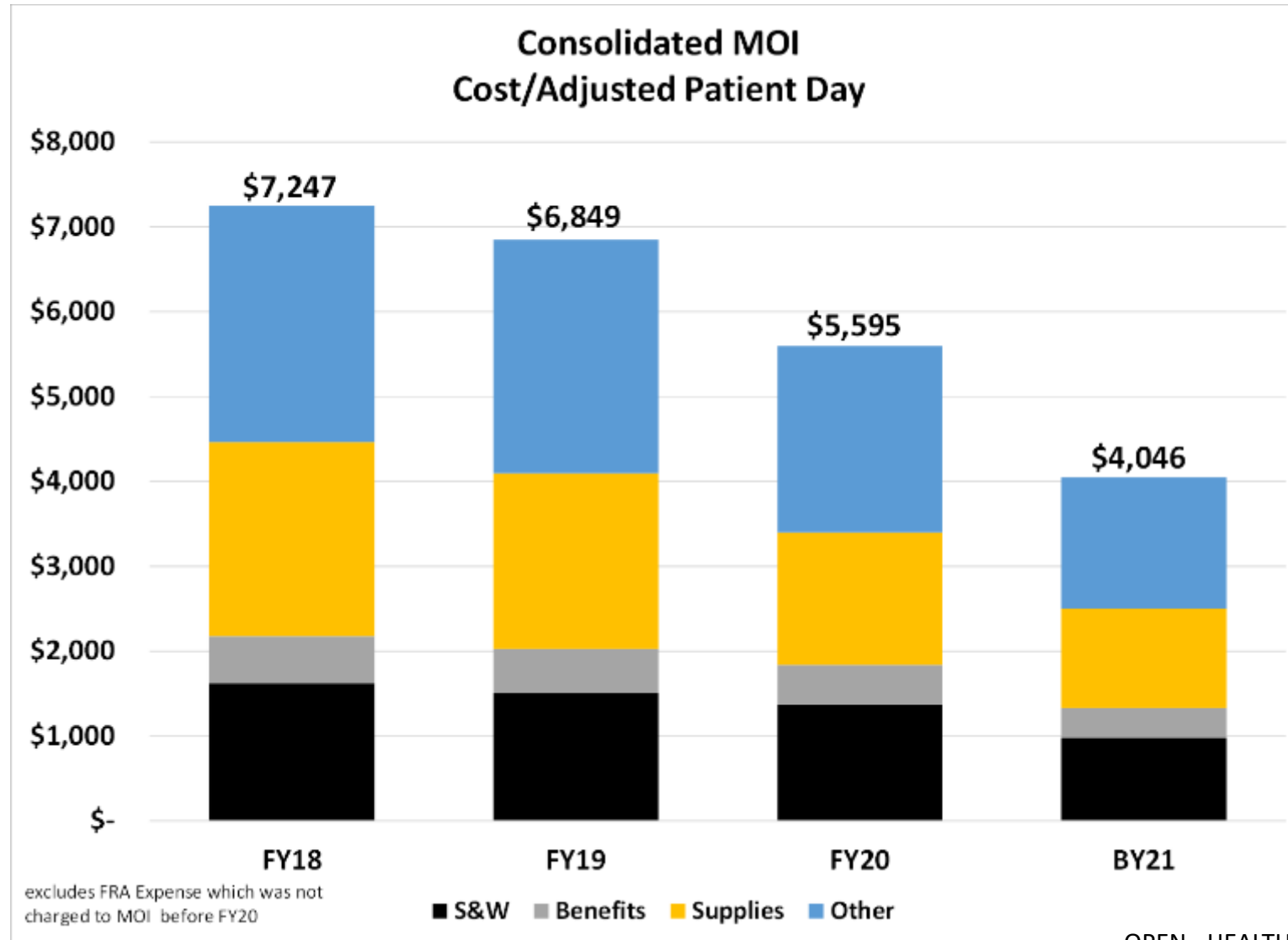
University of Missouri Hospitals and Clinics



- MU Health Outperformed:**
- Barnes Hospital
 - U of Iowa
 - U of Florida
 - U of Kansas
 - Emory
 - U of Utah
 - Johns Hopkins

We can and must do even more ...

Expense Control Program on Target



Strategy #1

Columbia Campus Clinical Integration

Tactical Goals and Objective

- **NextGen Clinical AND NextGen Research** on common campus location
- **Complex patients** treated at tertiary care University Hospital Campus
- **Shared** adult and pediatric services; e.g., Neurosurgery, Anesthesia, Emergency Medicine, Radiology, Intensive Care, Hospitalists
- **Eliminate duplicated services**; e.g. projected \$20M annual savings
- **Minimize capital spend** for renewal of MU Health Care facilities
- Continue to be **leaders in women's and children's health care**

Clinical Scale and Integration Projects –

2020-2024

Missouri Ortho Institute	University Hospital	Ambulatory Services	Administrative Services	Women's and Children's	CRMC and Jefferson City
<ul style="list-style-type: none">-MCOS-Neuro Spine-Ortho Trauma-MOI Imaging-Peds Ortho-Medicine Unit	<ul style="list-style-type: none">-ED/Obs Unit (35 Beds)-Regain Beds (27 Beds)-6W Clin Engr. (12 Beds)-3N Pre/Post (34 Beds)-4PCT to NICU (49 Beds)	<ul style="list-style-type: none">-Endo Clinic-Battle Clinic-Cardiovascular Clinic-Sleep Center-Endoscopy to MCOS-UPMB Plans-Boonville Clinic-Specialty Pharmacy	<ul style="list-style-type: none">-TelecommuteW@H planning (HR, Revenue Cycle, Finance)-Tiger InstituteInnovation NGPH	<ul style="list-style-type: none">-Adult surgery to UH-Planning process in-flight-Architect selection-\$4.5M+ Philanthropy	<ul style="list-style-type: none">-Integration Planning-Outpatient Surgery-Cardiovascular Service Line-Shared patients MUHC & CRMC

Priority: Fully utilize all facilities.

Success Leads to Major Challenges & Opportunities

Fiscal Year	Days at Risk
FY21	164
FY22	217
FY23	261
FY24	299
FY25	327
FY30	362

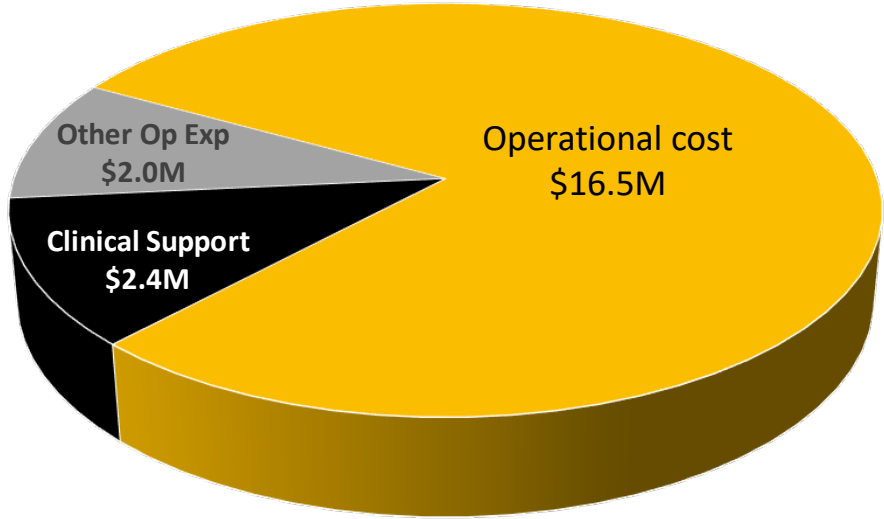
- **515** inpatient diversions in FY20
- Lost net patient revenue of **\$15K+ per diversion**
- Total **\$8M of lost net patient revenue** due to bed availability.
- We **should plan for incremental space** on UH campus

University Hospital and MOI Bed Growth

Facility	Before	After	Change	Capital Budget
University Hospital	368	495	+129	\$24.5
Build-Out of UH 6 th Floor	12	24	+12	\$3.0M
Build-Out ED/Observation	0	35	+35	\$8.5M
Room Recapture	0	25	+25	\$6.5M
Convert 4PCT to NICU & 3 rd Floor Pre Post Rooms	0	49	+49	\$6.5M
Integrated Medicine Unit	16	24	+8	-
Missouri Orthopaedic Institute	35	42	+7	
Total after WCH Integration	563	539	(24)	\$24.5M

WCH to UH Campus Consolidation Finances

Operational Efficiencies



- *Annual Savings \$21M*
- *3-year Savings \$63M*

Capital Savings

Capital Equipment: \$7M
Capital – Envelop Project: \$26M
Infrastructure: \$18M

\$51M

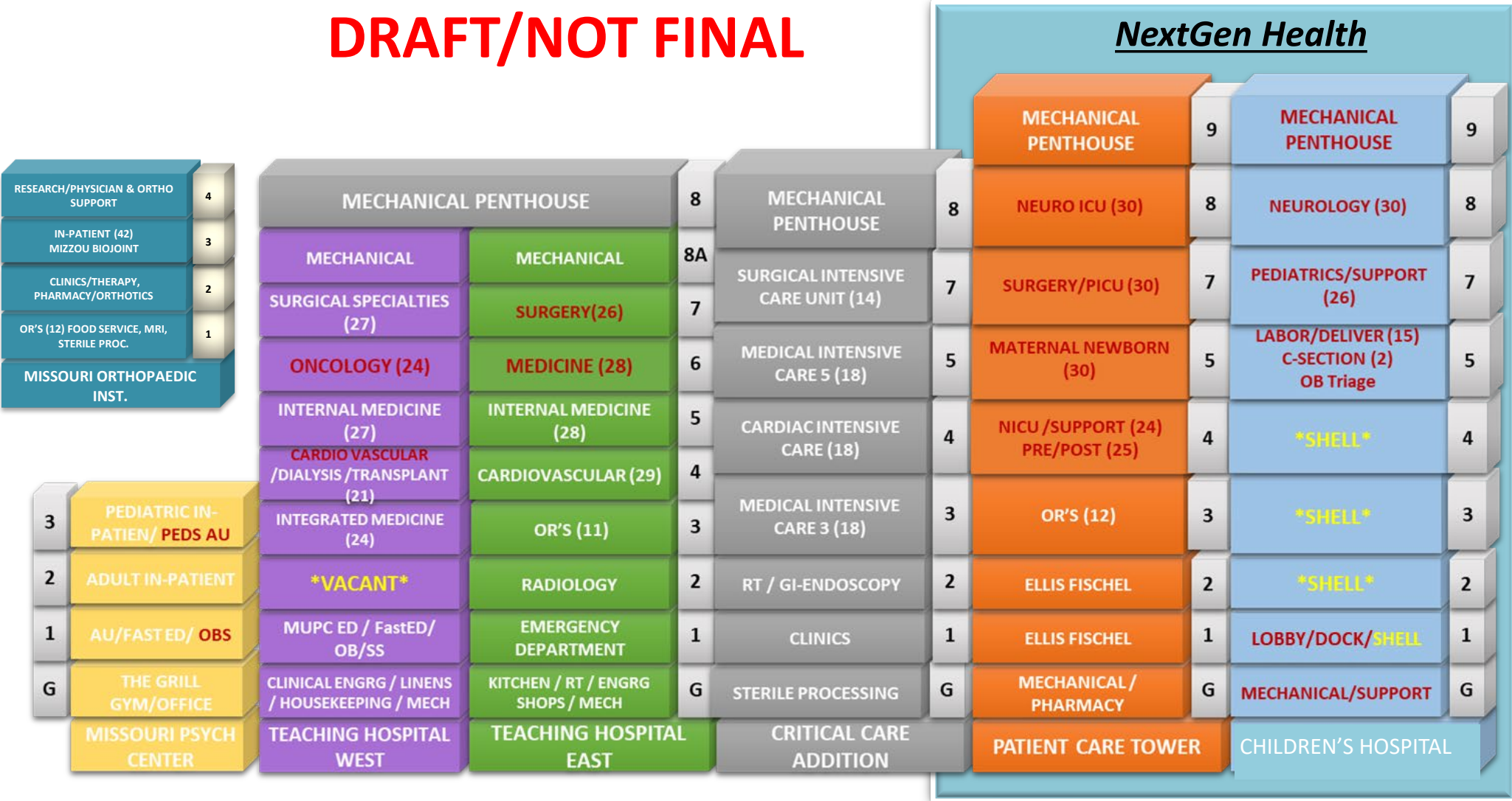
- *Total Avoided Capital \$51M*

UM System Debt Capacity

Creates \$175M for Building Renewal

Building Renewal Program for MU Health

DRAFT/NOT FINAL



Peer Organizations and Capital Projects



***IU Health Academic Center \$1.6B
Consolidation
August 5, 2020***



***Nebraska Medicine \$1-\$2B Campus Redesign
December 6, 2019***



***Ohio State Wexner Hospital Tower \$1.8B
August 26, 2020***

Strategy #2

Rural Academic Health System: Jefferson City & Capital Region Medical Center

Capital Region Medical Center and Medical Alliance Strategy

- **23-year relationship** with great trust and common culture
- Already viewed as **one organization operationally and politically**
- **\$105M** of net revenues, **20%** of discharges Jefferson City market
- Key for **narrow provider networks**
- **Lower cost of care** for less acute hospital patients
- **Strategic location** for University of Missouri
- Must **defend this geography** for clinical & academic scale

Strategy #3

Narrow Networks to Better Serve Missourians

Summary

Key Takeaways
Next Steps

Clinical Scale and Integration Strategies

Key Takeaways:

- UH/MOI campus expanded by 136 beds over next 12-18 months.
- Building renewal is necessary for replacement of health care facilities due to age, technology, and anticipated growth
- Continued strong and growing support for research at Mizzou
- Jefferson City is critical to the ongoing success of MU Health Care. Strategic for University of Missouri. Tighter integration strategies should be developed.
- Financial gains are strong for a consolidated campus – operations, capital, and debt capacity
- Narrow networks create tighter and stronger relationships to better support the health of Missourians



Next Steps - Clinical Scale and Integration Strategies

1. Implement recommendations to grow UH and MOI inpatient capacity in FY 2021 and FY 2022; e.g., 136 incremental beds.
2. Develop operational plans and capital budget for bed pavilion. Present recommendations at the November Health Affairs Committee.
3. In collaboration with MU Development and UM System Finance, develop funding models for bed pavilion. Present recommendations at the November Health Affairs Committee.
4. In partnership with CRMC Board and Leadership, create recommendations for tighter integration in the Jefferson City market. Present recommendations at the November Health Affairs Committee.
5. Continue dialogue with key health systems and employer groups for expansion of MU Health Care narrow networks.



Health Care

Corporate Integrity Agreement – Year End

Jennifer May, Chief Compliance Officer

CIA Reporting Period (RP) 4

- **July 1, 2019 – June 30, 2020**
- **CIA Compliance Obligations**
 - Outlined in Activities Summary and Completion Tracking Document (*see handout*)
 - Most items completed on or before June 30
 - Outline of materials reviewed during Health Affairs Committee meetings (*see handout*)
 - Claims Review completed and final report will be included with Annual Report

Corporate Integrity Agreement- Year End

- **Executive Compliance Committee (ECC) – Overview of Activities RP4**
 - **General**
 - 10 meetings (monthly except July and November)
 - Continued to refine compliance content area data reports
- **Topic Reports included**
 - Corporate Integrity Agreement Updates
 - Compliance Reports
 - Risk Assessment and Work Plans
 - Other relevant areas of review

Corporate Integrity Agreement- Year End

- **Direct Reporting and Hotlines**
 - Integrity & Accountability Hotline: 62
 - Patient Safety Network: 17
 - Direct Inquires: 199
- **Training and Education**
 - 100% completed training modules
 - Continued live training session to educate leaders (managers and above) on the Code of Conduct

Corporate Integrity Agreement- Year End

- **Management Certifications**
 - Certifications of compliance must be made annually by management level personnel identified in the CIA
 - All certifications complete
- **Exclusion Screening**
 - Monthly checks conducted; three confirmed matches were closed with appropriate action
- **Policy Reviews**
 - Completed

Corporate Integrity Agreement- Year End

- **RP4 monitoring and auditing projects included:**
 - 18 audits and 6 targeted reviews
 - 8 ongoing monitoring programs
 - Additionally, OCC conducted 28 investigations
- **Risk Assessment and Compliance Plan for FY21**
 - Truncated risk assessment due to COVID-19
 - ECC reviewed the FY21 Compliance Work Plan

Corporate Integrity Agreement- Year End

- **Other compliance-related activities in RP4:**
 - 1,131 HIPAA investigations; 189 reportable incidents
 - Cybersecurity penetration testing and results assessment
 - Expanded email phishing testing
 - COVID-19 support activities, including telehealth rule implementation, privacy chart audits and information security support for remote workforce expansion

CIA Resolution Language

“The Health Affairs Committee of the Board of Curators of the University of Missouri has made a reasonable inquiry into the operations of the Compliance Program of MU Health (sometimes referred to as University of Missouri Health System or UMHS) including the performance of the Chief Compliance Officer and the Compliance Committee. Based on its inquiry and review, the Health Affairs Committee has concluded that, to the best of its knowledge, UMHS has implemented an effective Compliance Program to meet Federal health care program requirements and the obligations of the Corporate Integrity Agreement.”



Questions?

Memo

To: Board of Curators – Health Affairs Committee
University of Missouri System

From: Jennifer P. May, J.D.
Chief Compliance Officer
MU Health

Date: September 16, 2020

Re: Compliance Program Update

- A. Executive Compliance Committee – Overview of Activities FY20 YTD
 - a. General
 - i. 10 meetings (monthly except July and November)
 - ii. Continued to refine compliance content area data reports
 - b. Topic Reports
 - i. Corporate Integrity Agreement Updates
 - 1. Obligations Review and Status Update (monthly)
 - 2. Review of Annual Report (Aug, Sept)
 - 3. Claims Review (Aug, Sept, Mar)
 - 4. Training Plan review (Mar)
 - ii. Compliance Reports
 - 1. General Program (compliance, privacy, information security) updates and program reviews (monthly)
 - 2. Privacy Incident Update (Aug, Sept, Dec, May, June)
 - iii. Risk Assessment and Work Plans
 - 1. Internal Audit update (Oct, Mar)
 - 2. Risk Assessment Process (May)
 - 3. FY20 Compliance Work Plan update (monthly)
 - iv. Other
 - 1. Board Agenda Review (Sept, Feb)
 - 2. Coding Compliance Plan (Oct)
 - 3. Healthicity (compliance software) Implementation (Dec)
 - 4. MU Health Code of Conduct (Dec, June)
 - 5. Regulatory Affairs Update (Jan, Mar)
- B. Direct Reporting and Hotlines, FY20 Year End
 - a. Integrity and Accountability Hotline: 62 reports referred

- b. Patient Safety Network: 17 cases referred
 - c. Direct inquires to the Office of Corporate Compliance: 199
 - i. topics included but were not limited to coding, billing, CMS guidelines and physician oversight obligations
- C. Compliance Program Update
- a. Training and Education
 - i. 100% of current employees completed training modules
 - ii. Orientation for all new employees on the Code of Conduct (bi-weekly)
 - iii. Live training session to educate leaders (managers and above) on the Code of Conduct (Sept)
 - b. Management Certifications
 - i. Annually, certifications of compliance must be made by management level personnel, as identified by title in the CIA
 - ii. Completed: all certifications were received by August 10, 2020
 - c. Exclusion Screening
 - i. Monthly checks conducted by a vendor
 - ii. Three confirmed matches occurred during FY20; all cases were closed with appropriate action
 - iii. Expanded scope of responsibility to include UM System and SOM vendor files
 - d. Policy Review
 - i. All policies were review and updates completed by June 30, 2020
 - e. Monitoring and auditing projects for FY20, both scheduled and added to the work plans:
 - i. 18 audits and 6 targeted reviews
 - ii. 8 on-going monitoring programs, resulting in 67 specific efforts
 - iii. 28 investigations
 - f. Risk Assessment and Compliance Plan for FY21
 - i. Truncated risk assessment due to COVID-19
 - ii. Compliance Plan for FY21 reviewed by ECC in July 2020
 - g. Other compliance-related activities during the Reporting Period
 - i. 1,131 HIPAA investigations, with 189 reportable incidents
 - ii. cybersecurity penetration testing and results assessment
 - iii. expanded email phishing testing
 - iv. collaboration with campus information technology and Tiger Institute on assessment and implementation of Microsoft Office 365
 - v. various support activities related to COVID-19, including telehealth rule implementation, patient privacy chart audits, and information security support for remote workforce expansion

Memo

To: Board of Curators – Health Affairs Committee
University of Missouri System

From: Jennifer P. May, JD, CHC
MU Health Chief Compliance Officer

Date: September 16, 2020

Re: CIA Reporting Period 4: Summary of Materials Reviewed

In addition to discussions which occurred during both open and closed sessions of the Board meetings, below is a summary of the topic updates and materials reviewed by the Health Affairs Committee during the fourth Reporting Period under the Corporate Integrity Agreement and in support of its oversight of the MU Health Compliance Program.

September 18, 2019

- CIA Reporting Period 3 Completion Update
- Annual Report elements and highlights
- Resolution request and approval

November 13, 2019

- CIA Reporting Period 4 Update
- Corporate Compliance Structure Review
- Compliance Program Update
- Privacy Program Update
- Information Security Program Update

January 30, 2020

- CIA Reporting Period 4 Update
- Compliance Program Update
- Information Security Program Update
- Privacy Program Update
- Review of Organized Health Care Arrangement structure and operations

April 2, 2020

- CIA Reporting Period 4 Update
- Compliance Program Update
- COVID-19 Compliance Report
- Work Plan and Volume Trends for Compliance and Privacy programs

June 10, 2020

- CIA Reporting Period 4 Update
- FY20 year-to-date status report on Compliance program areas

University of Missouri Health System Corporate Integrity Agreement
Activities Summary and Completion Tracking - Reporting Period 4

CIA Section #	CIA Section Title / Content Summary	Action Item	Assigned To	Completed
III.A.1	Chief Compliance Officer	quarterly reports to BOC	CCO / BOC HAC	10-Jun-2020
III.A.2	Compliance Committee	quarterly meetings of ECC	CCO	16-Jun-2020
III.A.3	BOC Compliance Obligations	description of materials reviewed	BOC (CCO)	16-Sep-2020
III.A.3	BOC Compliance Obligations	resolution	BOC (CCO)	16-Sep-2020
III.A.4	Management Certification	annual certification of compliance	CCO	10-Aug-2020
III.B.1	Code of Conduct	annual review of COC	CCO	30-Jun-2020
III.B.1	Code of Conduct	annual distribution to all Covered Persons	CCO	30-Jun-2020
III.B.2	Policies & Procedures	annual review of all compliance policies	CCO	30-Jun-2020
III.C.1	Training Plan	furnish training to all Covered Persons	CCO	30-Jun-2020
III.C.3	Certification	Covered Persons certification of training	CCO	30-Jun-2020
III.C.5	Update of Training Plan	annual review of training plan	CCO	23-Mar-2020
III.C.5	Update of Training Plan	changes to training plan (<i>requires OIG approval</i>)	CCO	26-Mar-2020
Appendix B	Claims Review	annual review	IRO	27-Aug-2020
Appendix B	A.1.c. Population	furnish patient census and payor mix to OIG	CCO/ UP	30-Mar-2020
Appendix B	A.1.c. Population	proposed subset of claims for review (not req'd)	CCO / UP	30-Mar-2020
Appendix B	A.3 Repayment of Overpayments	UMHS shall repay IRO-identified overpayments	UP	1-Oct-2020
Appendix B	B. Claims Review Report	IRO prepares / CCO files with Annual Report	IRO / CCO	1-Oct-2020
III.E	Risk Assessment and Internal Review	annual risk assessment conducted	CCO/ Internal Audit	30-Jun-2020
III.F	Disclosure Program	maintain disclosure log / record of disclosures	CCO	30-Jun-2020
III.G.2.b	Screening Requirements	screen current Covered Persons - annually - SAM	CCO	30-Jun-2020
III.G.2.b	Screening Requirements	screen current Covered Persons - montly - LEIE	CCO	30-Jun-2020
III.J.2	Reporting of Reportable Event	notification to OIG of reportable event	CCO / CPO	30-Jun-2020
V.B	Annual Reports	submission of annual report	CCO	1-Oct-2020
V.C.1	Certifying Employees	management certifications in annual report	CCO	10-Aug-2020
V.C.2	CCO and EVC-HA	certification by CCO and EVC-HA in annual report	CCO / EVC-HA	1-Oct-2020

University of Missouri Health System Corporate Integrity Agreement
Activities Summary and Completion Tracking - Reporting Period 4

COMPLETED DURING REPORTING PERIOD 1				
III.A.2	Compliance Committee	appmt of Committee (ECC) / CCO chair	CCO	Completed RP1
III.A.4	Management Certification	written process for certifications	CCO	Completed RP1
III.B.1	Code of Conduct	implementation of code of conduct	CCO	Completed RP1
III.B.1	Code of Conduct	performance eval process includes Code of Conduct	HR	Completed RP1
III.B.2	Policies & Procedures	implementation of compliance policies	CCO	Completed RP1
III.B.2	Policies & Procedures	performance eval process includes policies	HR	Completed RP1
III.B.2	Policies & Procedures	(see a. - h. for policy topics)	CCO	Completed RP1
III.B.2	Policies & Procedures	policies available to all Covered Persons	CCO	Completed RP1
III.C.1	Training Plan	develop written training plan	CCO	Completed RP1
III.C.2	BOC Training	provide 2-hour training to BOC (certifications signed)	CCO / BOC Office	Completed RP1
III.D.1.a	Engagement of IRO	engage IRO, as required in Appendix A	Finance	Completed RP1
III.G.2.b	Screening Requirements	screen current CPs - initial	CCO	Completed RP1
III.G.2.b	Screening Requirements	policy for Covered Persons to disclose exclusion	CCO	Completed RP1
III.I.2	Overpayments Policies and Procedures	develop and implement written policy	Finance	Completed RP1
V.A	Implementation Report	submission of implementation report	CCO	Completed RP1
V.C.3	CFO of UMHS	first annual report only; cert of settlement agmt	CFO	Completed RP1
COMPLETED PRIOR TO EFFECTIVE DATE				
III.A.1	Chief Compliance Officer	appmt of CCO/job duties	EVC-HA	Completed Prior
III.E	Risk Assessment and Internal Review	annual risk assessment process established	CCO / Internal Audit	Completed Prior
III.F	Disclosure Program	establish disclosure program (hotline)	CCO / Internal Audit	Completed Prior
III.G.2.a	Screening Requirements	screening process for prospective Covered Persons	HR	Completed Prior

No. 1

Recommended Action – Resolution for Executive Session of the Board of Curators Health Affairs Committee Meeting, September 16, 2020

It was moved by _____ and seconded by _____, that there shall be an executive session with a closed record and closed vote of the Board of Curators Health Affairs Committee meeting September 16, 2020 for consideration of:

- **Section 610.021(1), RSMo**, relating to matters identified in that provision, which include legal actions, causes of action or litigation, and confidential or privileged communications with counsel; and
- **Section 610.021(2), RSMo**, relating to matters identified in that provision, which include leasing, purchase, or sale of real estate; and
- **Section 610.021(3), RSMo**, relating to matters identified in that provision, which include hiring, firing, disciplining, or promoting of particular employees; and
- **Section 610.021(12), RSMo**, relating to matters identified in that provision, which include sealed bids and related documents and sealed proposals and related documents or documents related to a negotiated contract; and
- **Section 610.021(13), RSMo**, relating to matters identified in that provision, which include individually identifiable personnel records, performance ratings, or records pertaining to employees or applicants for employment; and
- **Section 610.021 (14), RSMo**, relating to matters identified in that provision, which include records which are protected from disclosure by law.

Roll call vote of the Committee: YES NO

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

The motion _____.

September 24, 2020

September 16, 2020

Request to Certify Compliance with MU Health Compliance Obligations

MU Health is proposing that the Health Affairs Committee of the Board of Curators adopt a resolution confirming that MU Health has implemented an effective compliance program under the Corporate Integrity Agreement (CIA).

Background

Effective as of June 30, 2016, the University entered a five-year CIA with the Office of Inspector General for the United States Department of Health and Human Services (OIG-HHS). The CIA was entered to resolve administrative claims of the OIG-HHS related to the federal investigation of radiology claims at MU Health.

The CIA requires Board review and oversight of matters related to compliance with Federal health care program requirements and the obligations in the CIA. The Board must receive periodic reports on compliance matters, describe the materials it has reviewed as part of MU Health's annual report to the OIG, and adopt an annual resolution confirming that MU Health has an effective compliance program.

Under the CIA, the obligations of the Board can be performed by the full Board or a designated committee of the Board. At its September 15, 2016, meeting, the Board designated the Health Affairs Committee to provide oversight as required by the CIA. The Health Affairs Committee previously adopted resolutions for the first, second, and third annual reporting periods.

Reasons for the Recommendation

The fourth annual reporting period for the CIA ended June 30, 2020. As part of its fourth year obligations, the Health Affairs Committee must adopt a resolution regarding its review and oversight of the MU Health compliance program. The resolution must be signed by each member of the Health Affairs Committee. The resolution and a summary of materials reviewed by the Health Affairs Committee must be included in the annual report to the OIG which is due October 1, 2020.

The proposed resolution would confirm that the Health Affairs Committee has (1) inquired into the operations of MU Health's Compliance Program including the performance of the Chief Compliance Officer and the Executive Compliance Committee¹ and (2) concluded, to the best of its knowledge, that MU Health has an effective compliance program that meets Federal health care program requirements and the obligations of the CIA. The resolution would further provide for the Secretary of the Board of Curators to prepare a form of the resolution that could be signed by each member of the Health Affairs Committee.

¹ The current roster of members of the Executive Compliance Committee is attached hereto.

September 24, 2020

No. 2

Recommended Action - Resolution, Corporate Integrity Agreement for Health Affairs Committee Members

It was moved by _____ and seconded by _____, that

the following action be approved:

The Health Affairs Committee of the Board of Curators of the University of Missouri has made a reasonable inquiry into the operations of the Compliance Program of MU Health (sometimes referred to as University of Missouri Health System or UMHS) including the performance of the Chief Compliance Officer and the Compliance Committee. Based on its inquiry and review, the Health Affairs Committee has concluded that, to the best of its knowledge, UMHS has implemented an effective Compliance Program to meet Federal health care program requirements and the obligations of the Corporate Integrity Agreement. The Secretary of the Board of the Curators is authorized to prepare a separate form of this resolution to be signed by each member of the Health Affairs Committee.

Roll call vote of Health Affairs Committee	YES	NO
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Mr. Ashworth
Curator Graham
Mr. Phillips
Curator Steelman
Curator Wenneker
Curator Williams

The motion _____.

Resolution of the Health Affairs Committee of the Board of Curators

On September 16, 2020, the Health Affairs Committee of the Board of Curators of the University of Missouri adopted the following resolution:

The Health Affairs Committee of the Board of Curators of the University of Missouri has made a reasonable inquiry into the operations of the Compliance Program of MU Health (sometimes referred to as University of Missouri Health System or UMHS) including the performance of the Chief Compliance Officer and the Compliance Committee. Based on its inquiry and review, the Health Affairs Committee has concluded that, to the best of its knowledge, UMHS has implemented an effective Compliance Program to meet Federal health care program requirements and the obligations of the Corporate Integrity Agreement.

I, Cindy S. Harmon, Secretary of the Board of Curators of the University of Missouri, hereby certify that the foregoing is a true and complete copy of an action taken by the Board of Curators at a meeting held on September 24, 2020, the same as will be submitted to the Board of Curators for approval and will subsequently appear in the permanent records of the University of Missouri.

Witness my hand and the official seal of The Curators of the University of Missouri this twenty-fourth day of September, 2020.

Cindy S. Harmon
Secretary of the Board of Curators
University of Missouri

Acknowledged and confirmed by the members of the Health Affairs Committee:

Curator Graham, Chair

Mr. Ashworth

Mr. Phillips

Curator Steelman

Curator Wenneker

Curator Williams

September 24, 2020

MU Health Executive Compliance Committee (ECC) Roster

Voting	Ex Officio	Name	Email	Charter Role Filled	Other Key Role
y		Alpers, Beth	beth.alpers@health.missouri.edu	CHRO	
y		Arnold, Victor	arnoldv@health.missouri.edu	ED, UP	
y		Barohn, Richard	rbarohn@health.missouri.edu	EVC	
y		Choma, Theodore J.	chomat@health.missouri.edu	Chair, UP	
y		Curtright, Jonathan W.	curtrightj@health.missouri.edu	CEO	
y		Davis, Kay	DavisN@health.missouri.edu	CFO	
y		Fotheringham	fotheringhamj@health.missouri.edu	COO	
y		Haberberger, Patty	haberbergerp@missouri.edu	HR, campus	
y		Hagglund, Kristofer	HagglundK@health.missouri.edu	Dean, SHP	
y		Kennett, Michele	kennettmr@missouri.edu		Reseach
y		Knollmeyer, Edward J.	knollmeyere@umsystem.edu		Risk
y		May, Jennifer P.	mayj@health.missouri.edu	CCO	
y		Nichols, Kirt	NicholsW@health.missouri.edu	CoStaff	
y		Piranio, Michelle M.	piraniom@umsystem.edu	CACO, UM	
y		Rapp, Ryan Daniel	RappR@umsystem.edu		CFO, UM
y		Thompson, Sarah	thompsonsarah@missouri.edu	Dean, Nursing	
y		Whitt, Stevan P	WhittS@health.missouri.edu	CMO	
y		Zitsch III, Robert P.	ZitschR@health.missouri.edu		PLCC, UP
y		Zweig, Steve	zweigs@health.missouri.edu	Dean, SOM	
	y	Bunn, Kathy	BunnK@umsystem.edu	Counsel	
	y	Clary, Kevin	claryk@health.missouri.edu		Managed Care
	y	Cooper, Vince	coopervi@health.missouri.edu		Managed Care
	y	Epstein, Nicole E.	epsteinn@health.missouri.edu	Privacy	
	y	Feutz-Harter, Sheryl	feutzharters@umsystem.edu	Counsel	
	y	Hess, Robert L.	hessrl@umsystem.edu	Counsel	
	y	Little, Emily	littleew@umsystem.edu	Counsel	
	y	Rivera, Sean	riveras@health.missouri.edu	Info Sec	
	y	Settles, Julia Ann	SettlesJA@health.missouri.edu	Risk	
	y	Tegerdine, Katie	tegerdinek@health.missouri.edu	Compliance	

No. 3

Recommended Action - Minutes, June 10, 2020 Health Affairs Committee Meeting

It was moved by _____ and seconded by _____, that the minutes of the June 10, 2020 Health Affairs Committee meeting, held in conjunction with the June 18-19, 2020 Board of Curators Meeting, be approved as presented.

Roll call vote of Committee: YES NO

Mr. Ashworth

Curator Graham

Mr. Phillips

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

September 24, 2020

AUDIT COMMITTEE

AUDIT, COMPLIANCE AND ETHICS COMMITTEE

Jeff L. Layman, Chair

Maurice B. Graham

David L. Steelman

Robin R. Wenneker

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

I. Scope

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

II. Executive Liaison

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

III. Responsibilities

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

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

6. those additional matters customarily addressed by the audit, compliance and ethics committee of a governing board for an institution of higher education.
3. Reviewing periodic reports regarding:
 1. the independence, performance, resources and structure of the internal audit, compliance and ethics functions;
 2. audit reports and open audit issue status updates;
 3. management's written responses to significant findings and recommendations by the auditors;
 4. the adequacy of the University's information technology methodology with regards to security, internal controls and data integrity assurance;
 5. annual external audit reports, including audited financial statements, single audit and required procedures; and
 6. the effectiveness of the compliance and ethics program ensuring it has appropriate standing and visibility across the system.

Approved by the Board of Curators: April 9, 2020

University of Missouri



Board of Curators

Audit, Compliance and Ethics Committee Meeting

**Tuesday, September 15, 2020
10:30 A.M.**

This Committee Meeting is being held in conjunction with the September 24, 2020 Board of Curators Meeting.

Originating:

From remote locations via conference telephone and Zoom webinar.

Please click the link below to join the webinar:

<https://umsystem.zoom.us/j/92081758249>

Or Telephone:

Dial US: +1 646 876 9923

Webinar ID: 92081758249

AGENDA

PUBLIC SESSION – 10:30 A.M.

Call to Order – Chair Layman

Roll Call of the Committee

Information

1. UM Internal Audit, Compliance and Ethics Quarterly Report, UM (Michelle Piranio)

Action

1. Engagement of Independent Auditors, UM (Ryan Rapp)

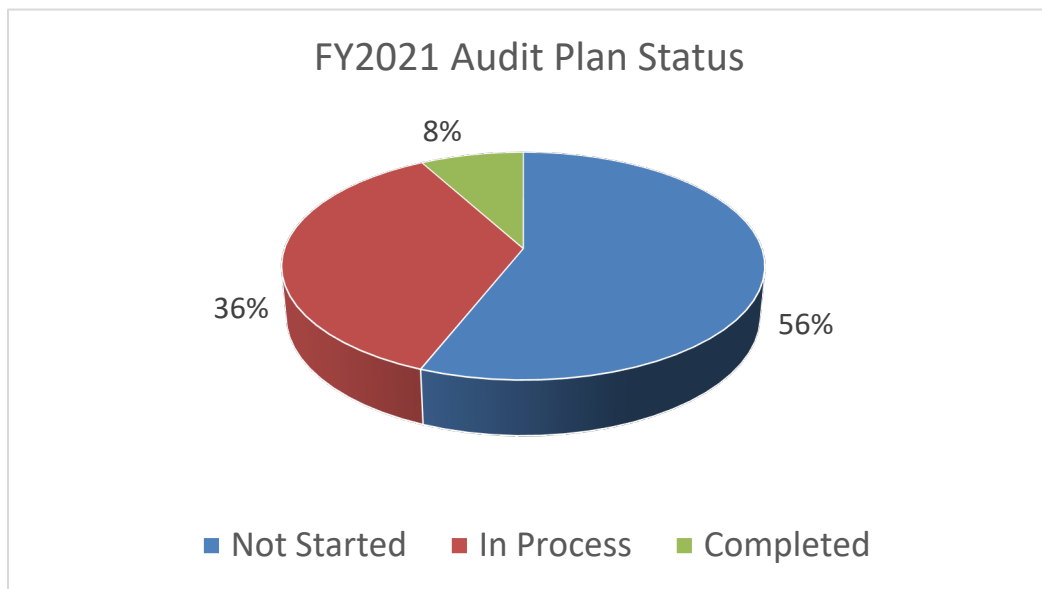
Recess

Internal Audit, Compliance and Ethics Quarterly Report
UM

Status of the FY2021 Annual Audit Plan

- One assessment completed
- One consulting engagement completed
- Nine audits/consulting projects in process
- Fourteen audits/consulting projects not started

The following graph represents the status of the FY2021 Audit Plan.



Audit Performance

The overall objective of our audit and compliance plans continue to be aligning strategically with a focus on high risk areas and compliance gaps. Audit and compliance staff remain available to be redeployed for:

- Gap analysis
- Understanding workflow
- Assisting in re-engineering of processes

Since the June 2020 meeting of the Audit Committee, Internal Audit completed one assessment, one consulting engagement, one major investigation and two minor investigations.

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**Internal Audit Assessment
Campus Re-Opening Plans
August 10, 2020**

Background

Internal Audit conducted a review of the re-opening plans for the separate universities that comprise the University of Missouri System (Mizzou; Missouri S&T; UMKC; UMSL). These plans have been in development throughout the summer as the pandemic response and public health information has evolved over the past five months. The objective of this review was to evaluate the plans for gaps relative to best practice approaches as higher education institutions prepare for the fall semester. The assessment did not include substantiation of plan implementation.

Conclusion

The Campus Re-Opening Plans developed by the universities of the University of Missouri System meet best practice recommendations for keeping faculty, staff, and students as safe as possible given the contagion level of COVID-19. The plans focused on preparing the safest environment possible for the return of students for in-person learning. Many factors related to containing the spread of COVID 19, and maintaining a safe environment, require personal responsibility. All four plans recognize the role of personal responsibility in minimizing the spread of COVID-19, particularly outside the classrooms and academic buildings where some enforcement of mask wearing and social distancing is possible. As demonstrated throughout the development of the plans, leadership remains committed to flexible decision-making for the safety of the campus communities, as events occur.

**Internal Audit Consulting Engagement
CARES Act Provider Relief Funds Administered through HRSA
May, 2020**

Evaluated funds that had been awarded to the health system and universities and made recommendations for allowable use and documentation requirements to meet post audit requirements.

Audits and Consulting Engagements Currently in Process

Audit Area	Overall Objective	Status	Risk Area(s)
MU – Conflict of Interest and Commitment	Review the policies and procedures MU has established to determine adequacy for complying with the Collected Rules and Regulations governing conflicts of interest and commitment.	Reporting	Compliance
MU- Data Center Operations	<p>Examine the confidentiality, security and availability controls within the MU Data Center and as described by management to determine:</p> <ul style="list-style-type: none"> • If the controls are implemented and functioning as described. • If the controls are sufficient to support the service being offered to non-University customers. 	Reporting	Compliance
UMSL – Arts, Science and Children’s Service Fund Contracts	Validate that external funding received by CBH and CAC from the St. Louis County Children’s Services Fund, Children’s Resource Board of St. Charles County, and The Franklin County Children and Families Community Resource Board were used as designated by the contracts.	Field Work	Contract compliance
MUH – EMR Extension to Lake Regional	Organized Health Care Arrangement (OHCA) post-implementation review	On Hold Resource diverted to COVID-19 funds project	Compliance
MS&T – Lab Safety	Determine if adequate controls are in place to provide safe working conditions for faculty, students and staff who work in labs which house hazardous chemicals.	On Hold Resource diverted to UMSL Arts, Science and Children’s Services project	Compliance

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Audit Area	Overall Objective	Status	Risk Area(s)
System/MUH – Benefits rates vs. hospital discounts	Management request to validate if discounts provided by MU Health to the UM Systems benefits plans are consistent with contractual obligations.	Planning	Operations & Contract Compliance
School of Medicine – Department of Medicine	Medicine Department Assessment of processes interfacing with the School of Medicine based on the five inter-related components of internal controls: control environment, risk assessment, control activities, information and communication, and monitoring.	Planning	Operations
System – Benefits payroll process	Consulting engagement to map the benefits payroll process for HR and finance and evaluate controls.	On Hold Resource diverted to COVID-19 funds project	Operations
System – COVID 19 funds compliance guidance	In collaboration with the system controller’s office, developing and providing compliance guidance for the various COVID relief funds flowing from federal and state sources.	Ongoing	Compliance

In addition, six investigations are in process.

Management Action Plan Status as of July 31, 2020

Follow-up procedures are performed twice a year to verify the status of management actions for previously issued audit reports. For this time period, seventeen (17) action items were due for completion by July 31, 2020.

The following table lists audit reports with open action items. The highlighted reports indicate at least one action plan for that audit was reviewed for completion in the time period March 1, 2020 – July 31, 2020. All 17 action plans due this period were completed, resulting in final closure of the five (5) associated audits.

Management Action Plan Summary as of July 31, 2020

Entity	Report Name	Risk Rating	Total # of Action Plans in Report	Complete	Not Due	Past Due	Revised Due Date	Will not be Implemented
MU	Lab Safety	High	8		8			
MUH	School of Medicine Clinical Trials/Research Infrastructure	Medium	3	3				
	School of Medicine HR Processes	High	6	4				2
	School of Medicine Dept of Surgery - Financial Processes	Medium	4	4	0			
	Controlled Substances Diversion Prevention	High	19		19			
	Revenue-Generating Physician Contracts	Low	3		3			
UMKC	Institute for Human Development	High	11	11				
UMSL	Lab Safety	Low	6		6			
UMS	External Student Funded Accounts	Medium	1		1			
	Cash Handling	Medium	3	3				
	Maxient Conduct Manager InfoSec Review	Low	2		2			
	One Card Process	Medium	8		8			
Totals			74	25	47	0	0	2

KEY: Audits with action plans due between March 1, 2020 and July 31, 2020 are highlighted in GOLD. Audits in **BOLD** font have revised due dates; **RED** are past due.

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Foundational Elements of the UM System Ethics and Compliance Program

The following foundational elements were presented at the June Audit, Compliance and Ethics Committee. Ethics and Compliance continues to balance responding to emerging compliance issues and concerns with establishing the foundational elements. Currently, the Code of Conduct and work in Research Compliance are underway.

Establish the system-wide audit and compliance committee

This committee will oversee initial work to establish the system-wide code of conduct, compliance education and training, and core compliance policies. To fulfill its responsibilities the committee will receive periodic reports from compliance functions, audit reports and risk assessment results. The committee will play a key role in resolving compliance concerns that impact the system and are challenging to resolve at a unit level. The Chief Audit and Compliance Officer will provide the committee, once appointed, with a draft charter defining purpose, roles and responsibilities, authority, and frequency of meetings for the committee to modify and finalize.

Status: No progress to date due to the focus of senior leaders on managing the safety of students, faculty, and staff with the COVID-19 situation.

Develop and implement the code of conduct

A system-wide code of conduct will establish every day behavior expected to support our mission and values. It is a statement for ourselves and to the public about what we stand for, our values and how we conduct ourselves. It is the ethical foundation for our success in achieving our mission and living our values. A project plan with milestones for development and implementation of a code of conduct has been developed. A working committee consisting of representatives from compliance professionals across the system, human resources, office of general counsel and communications will develop, write, and vet the code of conduct with stakeholders. Once approved it will be rolled out across the system in accordance with a well-developed communications/promotion plan. Education and training will be provided with staff and faculty attestations required. Annual training and attestations will become mandatory throughout the system.

Status: A Code of Conduct is in development for the University of Missouri-Columbia and the System. Navex Global is assisting with the design and writing of the Code. A working group is in place to assist with development and vetting of the draft Code of Conduct through the stakeholders, including, but not limited to leadership, faculty, and subject matter experts. Once in place, work will begin with the other universities to adapt with their branding, values, look and feel, and overall theme. It is not anticipated that the content related to overall regulatory areas and expected behaviors would change significantly. A kick-off meeting was held with Navex Global on September 1. The next step is development of the project plan with milestones, and the prototype to present to leadership for input and approval.

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Engaging Compliance Professionals in a Collaborative Network

Working with compliance professionals across the system, an assessment will be completed gauging the strengths and opportunities for improvement using the Seven Elements of an Effective Compliance Program. This assessment will also include understanding how changes to regulations are tracked and adjustments to procedures and practices are implemented (regulatory change management). These working relationships and assessments will provide guidance for achieving economies of scale by working collaboratively across units to establish consistent policies, practices, monitoring, investigations, discipline and reporting of metrics to gauge effectiveness. The three priority areas of focus are:

Research Compliance and Grant Management

This is a priority area of focus because of the importance of research to the strategic direction of the UM System. Collaborative work has begun in this area with a recognition that we have an opportunity to approach research compliance consistently across the UM System. The work in this area will provide the opportunity to:

- Understand the highest risk areas and how we are addressing concerns
- Validate the regulatory change management process for research
- Standardize operating practices in regulatory areas across the system
- Continue to build on collaborative relationships to extend expertise across the system
- Explore providing consistent compliance education and training for those involved in research activities across the system
- Develop metrics and reporting that provides transparency into the number of compliance concerns, types and substantiation rate for leadership and the Audit, Compliance and Ethics Committee of the Board.

Status: Export control expertise has been extended to all universities in the UM System. This is a collaborative initiative between MU Research Compliance, UM System Compliance, and the Vice Chancellors of Research for all four universities. Extending export control expertise will better manage classified research risks associated with export control laws and insider threats. UM System Compliance, MU Research Compliance and the Vice Chancellors of Research will continue collaborating to standardize operating practices in regulatory areas across the system.

Data Management Program

This is a priority area because protecting sensitive information is important to our business, faculty, staff, students, and patients. Safeguarding of sensitive information is impacted by multiple regulations, such as Gramm-Leach-Bliley Act (GLBA), Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act

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(HIPAA), General Data Protection Regulation (GDPR), and the California Consumer Privacy Act (CCPA).

This assessment work will allow us to establish an overall data management program that will encompass the most stringent regulations applicable to the UM System and continue to build on collaborative relationships to extend expertise across the system. We will develop an understanding of:

- How we ensure compliance with each regulation
- The regulatory change management process
- Similarities and differences in operating practices across the system and opportunities for standardization
- Opportunities to provide consistent compliance education and training for those staff with responsibilities in these areas
- Benchmarks and metrics that will provide insight into effectiveness and areas for improvement

Status: No progress to date. Other priorities are being addressed at this time.

Fostering Early Reporting of Issues, Prompt and Fair Resolution and a Non-Retaliatory Environment

The early reporting of issues is the best defense against a “bad actor” continuing his/her damaging behavior for years. To instill this type of culture, employees must feel safe and protected from non-retaliation and issues investigated promptly and fairly. In this current environment, whistleblowing activity is on the rise. OSHA, which oversees 22 federal whistleblower statutes received 386 retaliation claims in the month of March 2020 related to COVID-19.

The UM System has multiple reporting avenues available. Bringing together the professionals that field concerns and reports, conduct the investigations and provide guidance on discipline we can:

- Assess our current approaches and identify opportunities to strengthen our culture to safeguard against retaliation, develop trust and encourage reporting of issues
- Ensure we have a strong and effective retaliation prevention and response system
- Discuss how to engage managers in supporting staff who voice concerns
- Develop metrics and reporting that provides transparency into the number of reported concerns, types and substantiation rate for leadership and the Audit, Compliance and Ethics Committee of the Board.

Status: A hotline for reporting bias incidents was established at the University of Missouri – Columbia, with plans to extend to the other three universities. A bias advisory committee is forming at MU with representatives from all the areas that

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support reporting and investigations of all incidents, including bias. One goal of this committee is developing metrics and reporting that provide transparency into the number of reported concerns and substantiation rates by area. System-wide mandatory training for employees that addresses discrimination and harassment, and the University's anti-discrimination Equity and Title IX policies will be available August 14th.

Protection of Children on Campus

Significant progress has been made on this initiative. This has been a collaborative effort with UM System Equity and Title IX, the Office of General Counsel, Risk Management and UM System Compliance. A central hub, using existing technology within the UM System is under development with a targeted completion date by end of calendar year 2020. This allows automation of workflow for ordering background checks, linking to and tracking education, and registering of events. The central hub will have a back-end reporting system, eliminating the need for someone to keep Excel spreadsheets to track events, education compliance, background completions and other information from various systems. Other items include:

- Finalizing the policy. Information about the hub will be added as the procedures become clearer.
- Finalizing selection and agreements for education and background checks. The goal is to integrate these into the centralized hub.
- Working with the campus coordinators to establish the processes/expectations on their campuses for registering programs involving minors.
- Developing the launch plan once everything is in place.

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University of Missouri System

Board of Curators

September 24, 2020

Audit, Compliance and Ethics Committee

Audit, Compliance and Ethics Committee
Quarterly Report
UM

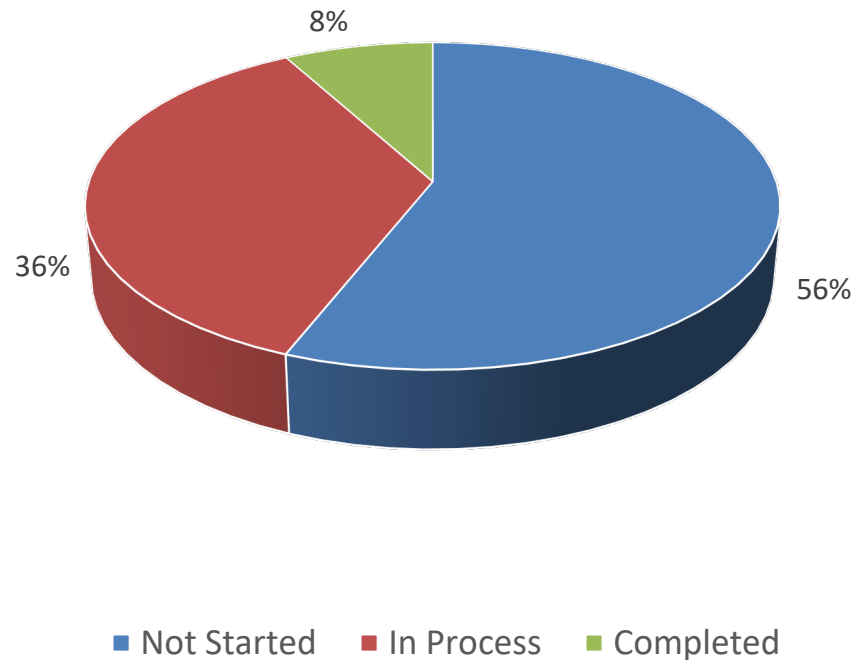


Continued Strategic Alignment of Audit & Compliance Plans

- Stay focused on high risk areas and compliance gaps
- Remain available to be redeployed for:
 - Gap analysis
 - Understanding workflow
 - Assisting in re-engineering processes

Summary of Internal Audit Activity

FY2021 Audit Plan Status



- Completed one assessment and one consulting engagement
- Finalizing two internal audit reports
- Three internal audits in process; three on hold due to deployment to other priorities
- Actively working six investigations

Campus Re-Opening Plans Assessment

UM System

Conclusion

- The campus re-opening plans meet best practice recommendations for keeping faculty, staff, and students as safe as possible given the contagion level of COVID-19.
- Many factors related to containing the spread of COVID-19 and maintaining a safe environment require self-responsibility. All four plans recognized and planned for this.
- Leadership remains committed to flexible decision-making for the safety of the campus communicates as events occur.

Status of Management Action Plans

As of July 31, 2020

- Seventeen action plan items in five audits were reviewed for completion as of July 31, 2020.
- 100 percent were completed.

UM System Ethics and Compliance Program

- Code of Conduct – in process
 - Development of prototype for MU underway
 - Adapt to each university with their branding, values and theme
- Research compliance and grant management – in process
 - Export control expertise extended across the system
 - Working collaboratively with Vice Chancellors of Research to find other opportunities for strengthening research compliance and reducing costs

UM System Ethics and Compliance Program

- Early fostering of issues, prompt and fair resolution and a non-retaliatory environment – in process
 - Bias hotline established at MU with plans to extend to other universities
 - Collaboration underway with all areas that support reporting and investigations
 - Develop reporting that provides transparency into the number of reported concerns and substantiation rates by area
- Safety of Children on Campus – in process
 - Finalizing policy
 - Centralized hub to automate registration, requesting and tracking of background checks and education

Questions?

Engagement of Independent Auditors
UM

In the winter of 2020, the University mailed Requests for Proposals (“RFP”) to six CPA firms for independent financial auditing services for fiscal year ending June 30, 2021 and subsequent years, for up to a total five-year period. In response to the RFP, proposals were submitted by Ernst & Young LLP, CliftonLarsonAllen LLP, and BKD LLP.

A team of University financial administrators evaluated the proposals and, based upon technical, service-related criteria and financial criteria. Points were assigned based on: proposal responsiveness, firm’s industry expertise, firm experience auditing similar institutions, firm approach to audits, and the total cost for the entire scope of services. Based on the evaluation criteria, the team recommended BKD LLP be awarded the contract.

It is recommended BKD LLP be employed to provide audit services to the University of Missouri for fiscal year ending June 30, 2021, for fees of \$556,000 plus expenses not to exceed \$67,000, with the option to renew annually for up to four additional years. The proposal fees and expenses of \$662,000 reflects a reduction in fees plus expenses of approximately \$73,000, or 12%, as compared to audit services for fiscal year 2020. Assuming no significant change in the scope of the audit over the five-year period, annual increases are limited to the Consumer Price Index - Urban.

September 24, 2020

No. 1

Recommended Action – Engagement of Independent Auditors, UM

It was recommended by Vice President Rapp, endorsed by UM System President and MU Chancellor Mun Y. Choi, recommended by the Audit, Compliance and Ethics Committee, moved by Curator _____, seconded by Curator _____, that the following action be approved:

that the Vice President for Finance and CFO be authorized to employ the firm of BKD LLP to provide audit services to the University of Missouri for fiscal year ending June 30, 2021, for fees of \$556,000, plus expenses not to exceed \$67,000, with the option to renew annually for up to four additional years. The scope and fees of each annual engagement will be submitted for approval. Assuming no significant change in the scope of the audit over the five-year period, annual increases are limited to CPI-U.

Roll call vote of Committee: YES NO

Curator Graham
Curator Layman
Curator Steelman
Curator Wenneker

Roll call vote: YES NO

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

The motion _____.

**GOVERNANCE, COMPENSATION
AND HUMAN RESOURCES
COMMITTEE**

GOVERNANCE, COMPENSATION AND HUMAN RESOURCES COMMITTEE

Michael A. Williams, Chair

Darryl M. Chatman

Jeff L. Layman

Phil H. Snowden

I. Governance, Compensation and Human Resources Committee

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

II. Governance

1. Scope

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

2. Executive Liaison

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

3. Responsibilities

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

1. ensuring that Board members are prepared to carry out their fiduciary duties to the University;
2. providing and monitoring a substantive orientation process for all new Board members and a continuous board education program for existing Board members;
3. overseeing, or determining with the Board Chair and President, the timing and process of periodic Board self-assessment;
4. establishing expectations and monitoring compliance of individual Board members;
5. ensuring that the Board adheres to its rules of conduct, including conflict-of-interest and disclosure policies, and that it otherwise maintains the highest levels of integrity in everything it does;
6. periodically reviewing the adequacy of the Board's bylaws and other Collected Rules and Regulations adopted by the Board that pertain to its internal operations (all recommendations for bylaws amendment shall first be considered by this Committee);
7. identifying best practices in institutional and Board governance;
8. monitoring and assessing external influences and relationships with affiliated entities;
9. assessing areas of expertise needed in future Board members; and
10. those additional matters customarily addressed by the governance committee of a governing board for an institution of higher education.

III. Compensation and Human Resources

1. Scope

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

2. Executive Liaison

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

3. Responsibilities

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

1. Performance and compensation of individuals reporting directly to the Board:
 1. President
 2. General Counsel
 3. Secretary of the Board of Curators
 4. Chief Audit and Compliance Officer, in conjunction with the Audit, Compliance and Ethics Committee
2. Pursuant to Section 320.020 of the Collected Rules and Regulations, appointment or change of appointment of the following shall be reported to and approved by the Board before the effective date:
 1. Vice Presidents
 2. Chancellors
 3. Curators Professors
3. Intercollegiate Athletics
Pursuant to Section 270.060 of the Collected Rules and Regulations, contracts for Directors of Intercollegiate Athletics and Head Coaches may not exceed five (5) years and shall not include buyout clauses calling for the individual to receive more than the balance of the annual base salary the individual would have earned under the remaining terms of the contract, unless approved by the UM Board of Curators upon the recommendation of the President.
4. Benefit, retirement and post retirement plans, including an annual benefits report, as further defined in Section 520.010, Benefit Programs, of the Collected Rules and Regulations.
5. Additional employee benefits including the Education Assistance Program for University Employees, CRR 230.070, and Layoff and Transition Assistance, CRR 350.051.
6. Labor Union Recognition and matters as further defined in Section 350.020, Labor Union Recognition, of the Collected Rules and Regulations.
7. Employment related policies including those related to employee absences, conduct and grievances.
8. Additional matters customarily addressed by the compensation and human resources committee of a governing board for an institution of higher education.

Summary

Amendment to Collected Rule 110.080

CRR 110.080 designates approval and removal of naming rights in the Board of Curators for “Exterior Areas” and in the President for “Interior Spaces.” It also addresses any item meeting the definition of “University Landmark,” stating that the “placement, establishment or designation of University Landmarks, as well as the naming thereof, requires approval of the Board of Curators.” In other words, a University Landmark cannot be placed on University property without the approval of the Board. With this authority comes the corollary authority to remove the landmark.

A minor ambiguity arises in Paragraph F. in which “[t]he Board reserves the right to change or remove the name of an Exterior Area, University Landmark or Interior Space if it determines that the name is detrimental to the best interests of the University.” The ambiguity in this sentence could create the misimpression that, with regard to University Landmarks, the Board reserves only the authority to change or remove the name of the landmark. The proper interpretation of the sentence, especially when construed within the context of the entire rule, is that the Board also reserves the right to make changes to the “placement, establishment or designation of University Landmarks,” including the removal of the landmark. Further, there is nothing in the CRR that gives authority to anyone else to remove a University Landmark. When the Board wanted to delegate its authority to establish or remove these types of things under CRR 110.080, it did so expressly, as it did for the President with regard to “Interior Spaces.” No such authority was granted to the President or anyone else, however, with regard to “University Landmarks.” Thus, the authority to remove a University Landmark is exclusive to the Board.

The purpose of the revision to CRR 100.080 is to clarify that “University Landmarks” cannot be placed on, or removed from, University property without Board approval.

No. 1

Recommended Action - Amendment to CRR 110.080, Naming of University Buildings,
Exterior Areas, Landmarks and Interior Spaces

It was recommended by President Choi, moved by Curator _____ and
seconded

by Curator _____ that,

University Collected Rule and Regulation 110.080 be amended as set forth in the
attached document.

Roll call vote: YES NO

Curator Brncic

Curator Chatman

Curator Graham

Curator Hoberock

Curator Layman

Curator Snowden

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

110.080 Naming of University Buildings, Exterior Areas, Landmarks and Interior Spaces

Bd. Min. 4-19-69, p. 34,491; Amended Bd. Min. 9-11-87, Amended Bd. Min. 10-7-05, Amended Bd. Min. 7-21-06, Amended Bd. Min. 5-6-13.

- A. **Purpose** – As a general rule, the exterior areas, landmarks and interior spaces of University owned or leased property shall bear distinctive names and locations which reflect outstanding contributions in keeping with the nature and mission of the University. The purpose of this rule is to set forth guidelines for the criteria used and the approvals needed in the naming, establishment, and changes for such exterior areas, landmarks and interior spaces in honor of individuals and organizations.
- B. **Definitions** – For purposes of this rule, the following definitions shall apply:
1. "Exterior Areas" shall mean University owned or leased buildings, locations, including open air spaces, and major facilities, such as arenas and stadiums, where the name is displayed on the outside of a structure or is easily viewable by the general public.
 2. "University Landmarks" shall mean statues and other landmarks on or in University owned or leased property.
 3. "Interior Spaces" shall mean auditoriums, laboratories, class rooms, conference rooms and other significant interior spaces in University owned or leased buildings where the name is displayed inside the building and viewable by those inside the building.
 4. "Organizations" shall mean foundations, trusts, not-for-profit entities, corporations or other legal entities.
- C. **Approvals** – The following approvals are required to name an Exterior Area, University Landmark or Interior Space:
1. Exterior Areas – The naming of Exterior Areas requires the approval of the Board of Curators.
 2. University Landmarks – The placement, establishment or designation of University Landmarks, as well as the naming thereof, requires approval of the Board of Curators.
 3. Interior Spaces – The naming of Interior Spaces requires the approval of the President of the University.
- D. **Guidelines** – Names for Exterior Areas, University Landmarks and Interior Spaces should enhance the public reputation of the institution. The following guidelines are suggested in proposing and approving such names:
1. Faculty, staff members or Organizations who have rendered distinctive service to the University.
 2. Graduates, former students, individuals such as Curators, etc., or Organizations who have rendered distinctive service to the University.

September 24, 2020

3. Persons or Organizations dedicated to the purpose, nature and mission of the University, who have achieved outstanding distinction through civic, intellectual or artistic contributions to the development of the area, state, and nation or to Missouri history.
 4. Persons or Organizations who make or have made a substantial financial contribution toward the cost of the construction or renovation of the Exterior Area or Interior Space or persons or Organizations who have had a substantial contribution toward the cost of the construction or renovation of the Exterior Area or Interior Space made in their behalf. If named for a donor or a donor's designee, the name should be based on the eminence of the donor or designee and the donor or designee's relationship to the institution as well as the significance of the gift.
- E. **Limitations** – Generally, the University shall name no more than one Exterior Area or University Landmark to honor an individual or Organization. The naming of more than one Exterior Area or University Landmark to honor the same person or Organization shall require an express determination and vote by the Board finding that it is in the University's best interest to permit such an additional naming.
- F. **Reservations** – The Board reserves the right to change or remove the name of an Exterior Area, ~~University Landmark~~ or Interior Space, or the name, placement, establishment or designation of a University Landmark, if it determines that the name is detrimental to the best interests of the University. The President reserves the right to change or remove the name of an Interior Space if he or she determines that the name is detrimental to the best interests of the University.

September 24, 2020

110.080 Naming of University Buildings, Exterior Areas, Landmarks and Interior Spaces

Bd. Min. 4-19-69, p. 34,491; Amended Bd. Min. 9-11-87, Amended Bd. Min. 10-7-05, Amended Bd. Min. 7-21-06, Amended Bd. Min. 5-6-13; Amended Bd. Min. XXX.

- A. **Purpose** – As a general rule, the exterior areas, landmarks and interior spaces of University owned or leased property shall bear distinctive names and locations which reflect outstanding contributions in keeping with the nature and mission of the University. The purpose of this rule is to set forth guidelines for the criteria used and the approvals needed in the naming, establishment, and changes for such exterior areas, landmarks and interior spaces in honor of individuals and organizations.
- B. **Definitions** – For purposes of this rule, the following definitions shall apply:
1. "Exterior Areas" shall mean University owned or leased buildings, locations, including open air spaces, and major facilities, such as arenas and stadiums, where the name is displayed on the outside of a structure or is easily viewable by the general public.
 2. "University Landmarks" shall mean statues and other landmarks on or in University owned or leased property.
 3. "Interior Spaces" shall mean auditoriums, laboratories, class rooms, conference rooms and other significant interior spaces in University owned or leased buildings where the name is displayed inside the building and viewable by those inside the building.
 4. "Organizations" shall mean foundations, trusts, not-for-profit entities, corporations or other legal entities.
- C. **Approvals** – The following approvals are required to name an Exterior Area, University Landmark or Interior Space:
1. Exterior Areas – The naming of Exterior Areas requires the approval of the Board of Curators.
 2. University Landmarks – The placement, establishment or designation of University Landmarks, as well as the naming thereof, requires approval of the Board of Curators.
 3. Interior Spaces – The naming of Interior Spaces requires the approval of the President of the University.
- D. **Guidelines** – Names for Exterior Areas, University Landmarks and Interior Spaces should enhance the public reputation of the institution. The following guidelines are suggested in proposing and approving such names:
1. Faculty, staff members or Organizations who have rendered distinctive service to the University.
 2. Graduates, former students, individuals such as Curators, etc., or Organizations who have rendered distinctive service to the University.

September 24, 2020

3. Persons or Organizations dedicated to the purpose, nature and mission of the University, who have achieved outstanding distinction through civic, intellectual or artistic contributions to the development of the area, state, and nation or to Missouri history.
 4. Persons or Organizations who make or have made a substantial financial contribution toward the cost of the construction or renovation of the Exterior Area or Interior Space or persons or Organizations who have had a substantial contribution toward the cost of the construction or renovation of the Exterior Area or Interior Space made in their behalf. If named for a donor or a donor's designee, the name should be based on the eminence of the donor or designee and the donor or designee's relationship to the institution as well as the significance of the gift.
- E. **Limitations** – Generally, the University shall name no more than one Exterior Area or University Landmark to honor an individual or Organization. The naming of more than one Exterior Area or University Landmark to honor the same person or Organization shall require an express determination and vote by the Board finding that it is in the University's best interest to permit such an additional naming.
- F. **Reservations** – The Board reserves the right to change or remove the name of an Exterior Area or Interior Space, or the name, placement, establishment or designation of a University Landmark, if it determines that the name is detrimental to the best interests of the University. The President reserves the right to change or remove the name of an Interior Space if he or she determines that the name is detrimental to the best interests of the University.

September 24, 2020

Summary

Chancellors' Requested Revisions to Board Resolution

On July 28, 2020, the Board passed a Resolution which, among other things, provided for a Council of Chancellors and a campus advisory committee made up of representatives selected by the Council. The Chancellors now request that the Board make the following minor revisions to the Resolution:

1. The Chancellors request removing any reference that the Council is formed for the specific purpose of making recommendations to the Board. Removing the language does not mean the Council will not make recommendations to the Board; it simply makes clear that the Council is not established for the specific purpose of making recommendations to the Board. (See revised paragraph (b). Vice President Rapp makes a similar request for Paragraph (d), for similar reasons.
2. The Chancellors request clarifying that campus advisory committee representatives will be external to their university (i.e. non-employees of their university) and serve two-year terms. (See revised Paragraph (c)).

The requested revisions appear in the attached red-lined document, along with other grammatical and formatting changes.

Each of the four Chancellors and Vice President Rapp are in support of the revisions.

RESOLUTION

(Revised)

WHEREAS, the University of Missouri Board of Curators “Board” is committed to achieving excellence and to support the success of four distinct public research universities in Columbia, Kansas City, Rolla and St. Louis; and

WHEREAS, the Board recognizes the value of an adaptable and forward-thinking governance structure to address the unprecedented challenges facing public higher education; and

WHEREAS, the University of Missouri Board of Curators has engaged in an extensive review and examination of the organizational structures of the University of Missouri, including but not limited to obtaining a review and evaluation with recommendations from highly qualified and experienced consulting experts from the AGB; and

WHEREAS, the Board, with the research, advice and assistance of AGB has additionally conducted extensive informational meetings with important constituencies potentially affected by or directly having an interest in any operational or structural changes to be adopted or instituted by the Board; and

WHEREAS, the Board has carefully considered comments and information from a wide number of interested individuals and groups important to the University System and its four campuses, and

WHEREAS, the Board concludes that it is in the best interest of the System and its four campuses to implement specific actions for the purpose of strengthening academic and research quality, establishing greater mutually beneficial collaboration among the campuses and to identify areas where greater efficiencies can be realized, to eliminate unnecessary duplication and to take such other steps which will enhance administrative operational effectiveness, including cost efficiencies in carrying out the University’s important research and academic mission and the specific goals and missions of each of the four campuses; and

WHEREAS, the Board believes that a new governance structure can promote local campus uniqueness and brand identity; enhance the autonomy and entrepreneurial spirit of the four campuses; and elevate system-wide strategic thinking and inter-campus collaboration. and

NOW, THEREFORE, BE IT RESOLVED, that the Board of Curators does hereby adopt, direct, and authorize the following actions to be taken:

September 24, 2020

- (a) After careful consideration the Board further directs that the current position of President of the University System be combined with the position of Chancellor of the Columbia campus so that one person shall serve in both capacities, that currently being Dr. Mun Choi. This action is in no way intended to change or amend the provisions of CRR 20.010 in which the corporate body is organized as a university system and consists of the system administration and four universities nor is any action provided for or taken herein intended to, nor does it, alter or change the general powers and authority specifically granted to the University President as set out in CRR 20.020 and CRR 20.030 including that Chancellors of the UM System are appointed by and report to the President.
- (b) The Board hereby establishes the Council of Chancellors (“~~Council~~”) consisting of the three Chancellors and chaired by the President, to develop clear decision-making processes that will enable system-wide strategic thinking, collaborative academic initiatives and integrated shared services by creating a forum to ensure that all four universities have an equal voice. The Council will meet monthly to confer, address mutual challenges and opportunities, and exchange information important to the System and to any and/or all of the four campuses. Council meetings may be held in person or virtually via phone or web-enabled meetings, but if meetings are held in person they will rotate among each of the four campuses. The Council will present a summary of its discussions ~~its recommendations~~ to the Board with respect to specific matters involving UM System legislative priorities, federal appropriation requests, centers of excellence that align with individual campus strengths, tuition, academic missions, development of new initiatives, and other matters as determined by the Board.
- (c) The Council will establish a campus ~~advisory~~ committee comprised of two external representatives from each campus serving two-year terms to support the Board in its broad mission and to ensure campus-specific voices across broad dimensions of regional, community, donor and alumni needs are being heard. The campus committee members ~~would~~ will attend a minimum of two Board meetings per year and provide the Board a separate campus-specific report on the progress and outcomes of this new governance model.
- (d) The Board appoints Vice President for Finance and Chief Financial Officer Ryan Rapp to study, address and propose best practices to the Board for achieving innovative operational changes to increase administrative efficiencies, develop strategies to eliminate undesired duplicity of services or programs, and to ultimately achieve operational excellence within the System and each of the four campuses while ensuring the highest quality research and academic standards. Mr. Rapp will report periodically to the Board and submit a final report ~~and recommendations~~ on or before 120 days with input from the Chancellors, President and appropriate representation from the System and each of the four campuses.

September 24, 2020

(e) The Board believes in the role of President for effective UM System leadership but, in the spirit of shared governance, directs the Council to explore and report its findings to the Board in response to the following questions within 120 days:

1. What role and services should the UM System provide?
2. What should be the role of the President?
3. What should be the role of the Chancellors?
4. What will be the scope of the Council and how should it function within the _____parameters set forth herein?
5. What will the campus ~~advisory~~ committee ~~review~~~~advise on~~, how _____frequently will it meet with the Council, and who will serve on it?

(f) The Board further approves the engagement of AGB Senior Fellows and experts Terrance MacTaggart and Richard Novak to consult with the Council and Mr. Rapp, and to further assist in the efficient and productive implementation of the above actions taken by the Board.

(g) The Board does further acknowledge that the above actions will likely require additional and more detailed Board actions to accomplish the purpose, intent and implementation of the actions taken herein.

Roll call vote of the Board:

YES

NO

Curator Brncic

Curator Chatman

Curator Graham

Curator Hoberock

Curator Layman

Curator Snowden

Curator Steelman

Curator Wenneker

Curator Williams

The motion _____.

September 24, 2020

No. 3

Recommended Action - Resolution for Executive Session of the Governance, Compensation and Human Resources Committee, September 24, 2020

It was moved by Curator _____ and seconded by Curator _____, that there shall be an executive session with a closed record and closed vote of the Board of Curators Governance, Compensation and Human Resources Committee meeting September 24, 2020, for consideration of:

- **Section 610.021(1), RSMo**, relating to matters identified in that provision, which include legal actions, causes of action or litigation, and confidential or privileged communications with counsel; and
- **Section 610.021(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 Chatman

Curator Laymen

Curator Snowden

Curator Williams

The motion _____.

September 24, 2020

GENERAL BUSINESS (continued)

UNIVERSITY OF MISSOURI – KANSAS CITY
CAMPUS HIGHLIGHTS – CHANCELLOR AGRAWAL

There are no materials for this information item.

MISSOURI UNIVERSITY OF SCIENCE AND TECHNOLOGY
CAMPUS HIGHLIGHTS – CHANCELLOR DEGHANI

There are no materials for this information item.

Information Technology 2019-2020 Annual Report

September 2020



University of Missouri System

COLUMBIA | KANSAS CITY | ROLLA | ST. LOUIS

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A LETTER FROM THE VICE PRESIDENT

I am pleased to provide this annual report from the Office of Information Technology for the 2019-2020 fiscal year. As we ventured into uncharted territory a few months ago, our IT departments have worked diligently to support students, faculty and staff by providing and supporting information technologies that have allowed us all to work, learn, teach and conduct research remotely. I have witnessed incredible dedication from our IT staff who continue to go above and beyond the call of duty, not hesitating to work on the frontlines when needed.

Not only have we marshalled our teams to meet critical needs during COVID-19, we have done so, like everyone else, during a financial crisis, with fewer people and less ability to invest in new capabilities. What sets IT apart is the increase in demand from our customers. When financial times get tough, our customers need more technology solutions, more automation and more data. Our IT departments across the System continue to be challenged, supporting ongoing operations with little elbow room to take on new projects, innovate or rationalize often duplicative services and applications we collectively support.

The value of IT is often on the ground in offices, classrooms, labs and other facilities, assisting our faculty, staff and students. Our core administrative systems, while critical to the institution, should not be our primary focus. When we pay attention to the needs of our students, faculty and staff, we gain an understanding of how to proactively meet their needs and the needs of the institution. Thus, the emphasis of this report is less on central, administrative computing and more on the IT departments that support all of our Universities - I have included objective information but also my opinions, providing highlights of accomplishments as well as challenges and opportunities.

Since little can be accomplished without information technologies, IT capabilities should be viewed as strategic assets and the IT organization as a strategic partner. Our job going forward is to ensure we live up to that billing – IT as a critical component that delivers value to our customers which in turn, supports the institution itself. Now is the time to re-envision and invest in IT. In order to warrant investment, IT needs to be organized and led in a manner that allows such investments to be fully and effectively utilized. I believe we are up to the challenge!



Beth Chancellor
UM Vice President for Information Technology
MU Chief Information Officer

OVERVIEW AND BACKGROUND

Information Technology (IT) services are provided across the University of Missouri (UM) by five IT departments, one at each University (S&T, MU/UM, UMKC, UMSL) and MU Health Care. This report provides information about the state of IT for all of our Universities, including MOREnet, but excludes MU Health Care.

IT services are broad and often complex with linkages and dependencies such that one service can impact multiple other services. As an example, if authentication services fail, a number of other tools and applications become inaccessible. To add to the complexity, our customers increasingly use services provided or managed by IT units on other campuses. These are a couple of reasons why standardization, consistency and sound operational processes are so important within and across our IT units.

Over time, the number of supported technologies has grown considerably with rare occurrences of service retirement. This is especially true in the area of software tools and applications (referred to from this point on as “applications”). Adding an application without retiring one, is the normal state of affairs. Why? Because a) each IT unit fields requests from their customers independently from the other IT units and b) requests for new applications come to us without enough time to rationalize them. Everything is “urgent” and, according to our customers, needs to be purchased and implemented quickly. The list of applications, home-grown, commercial on-premise and cloud-based, is quite long with overlap in functionality across many applications. This may be the single biggest opportunity for IT standardization and savings.

[Appendix A](#) provides a listing of the collective systems and services our IT units provide. The list does not represent each and every deliverable or component that goes into IT service delivery.



INFORMATION TECHNOLOGY BY THE NUMBERS

THE BUDGET

The FY21 centralized administrative systems budget (ASB) is \$15.8 million while our Shared Services budget is \$18.3 million. The ASB includes our enterprise resource management (ERP) applications (i.e., PeopleSoft HR, Student, Finance and Advancement) and associated applications and services. Shared Services include email, Box, a number of information security services, several recruitment and academic tools, identity management, mass notification, the intercampus network, iModules and more. These budgets also include infrastructure on which the applications run and personnel to manage and support them.

In addition to ASB and Shared Services, the IT units at each University have their own budgets to provide core IT and specialized services to their respective campuses. Overall, IT budgets have declined from FY18 to FY21 with the largest decline of 29% at UMKC. S&T and MU have seen 19% reductions and UMSL has seen a reduction of 10%. The UM Shared services budget has grown by 8% over the past 4 years, which is logical since more and more services are being added to the Shared Services program

[See Appendix B, Table 1.](#)

Overall, IT budgets have declined from FY18 to FY21.

UMKC - 29% decline
MS&T - 19% decline
MU - 19% decline
UMSL - 10% decline



IT STAFFING AND SUPPORT TRENDS

IT staffing, in accordance with budget deficits, have also declined. UMSL has 29% fewer staff since FY17. S&T, MU/UM and UMKC have reduced staff by 21%, 8% and 16% respectively ([Appendix B, Table 2](#)).

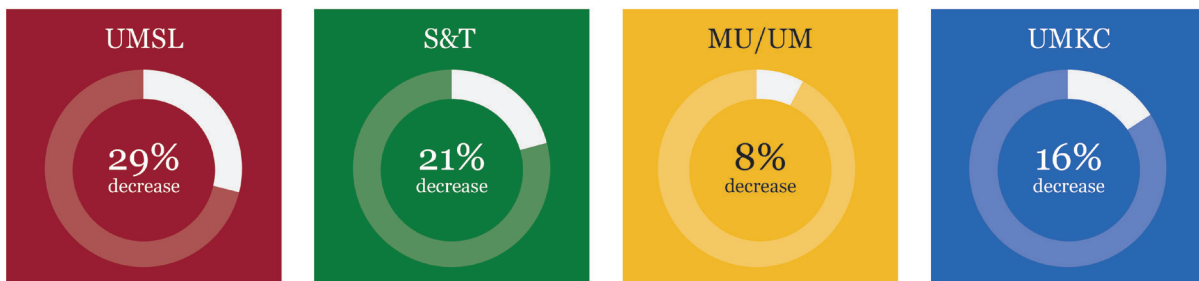
While budgets and IT staff numbers are declining, the number of supported faculty, staff and students are not declining at the same rate. From 2017 to today, for all employees (benefit eligible, part-time and student employees), S&T has seen a 16% decrease in headcount, MU/UM employees levels have decreased by 10%, UMKC has seen an 9% decrease and UMSL has remained relatively flat.

[See Appendix B, Table 3.](#)

From the fall of 2019 to the fall of 2020, student FTEs show a slight decrease at most Universities with a slight increase at MU.

[See Appendix B, Table 4.](#)

IT Staffing Trends Since FY17



Employee Trends Since FY17



DECENTRALIZED IT

Pockets of decentralized IT staff continue to exist at all Universities – in total, 36.75 full-time equivalent (FTE) employees in IT titles are still not reporting to their respective IT departments. In some cases, decentralized staff in IT titles are not actually performing IT work and need to be retitled. Other decentralized IT staff are being paid fully on grants and spend all of their time supporting research faculty. In the end, the Chief Information Officers (CIOs) need to bring all IT staff into their organizations in order to ensure compliance with IT policies, IT standards and especially with information security standards.

[See Appendix B, Table 5 for details.](#)

On average 4.84% of IT staff is decentralized.

UMKC	- 16%
MS&T	- 8%
MU	- 15%
UMSL	- 23%
UM	- 1%

IT SPEND

[EDUCAUSE](#) is a nonprofit association and the largest organization of its kind whose mission it is to advance higher education through information technologies. The EDUCAUSE Core Data Service (CDS) provides data that helps higher education institutions identify their statistical peers and shares information about technology solutions, benchmarks and other insights.

The EDUCAUSE CDS data shows, within their peer group, each of our Universities is either last or second from last in IT spending per employee FTE. For IT spending per student FTE, S&T and UMKC are ranked last, UMSL is ranked second from the last and MU is ranked third from the last. We are also close to the bottom of total spend as a percentage of institutional budget. [See Appendix B, Table 6.](#)

Participation in CDS surveys is voluntary. In the past, each of our campus IT offices have submitted their own data via the CDS survey. It will be important that we continue to participate in the CDS survey but also coordinate submissions to ensure data consistency and accuracy.

MISSOURI RESEARCH AND EDUCATION NETWORK (MOREnet)

In the 1990's, the state of Missouri charted a course to provide funding for MOREnet to connect higher education institutions, public K-12 schools and public libraries to the Internet. Missouri was one of the first states in the country to fund a comprehensive, cost-effective, shared state-wide network.

Today, MOREnet, a business unit of the University of Missouri System, is both a data network as well as a human network, providing Internet connectivity, access to Internet2, technical services, training, resources and support to Missouri's public sector entities. MOREnet's members include 488 public and private K-12 schools, 57 public and independent higher education institutions, 121 public libraries that serve 3 million Missourians, 15 health care entities, 5 state and local government agencies and 18 non-profit organizations.

The MOREnet network has proven to be an efficient and cost-effective approach to meeting the growing bandwidth demands of its members, and creates significant cost savings not only for the consortium, but for Missouri taxpayers as well. MOREnet is completely member funded and has not received a direct appropriation from the State of Missouri for the past 10 years.

Organizations MOREnet Serves



ACCOMPLISHMENTS



This past spring, as our faculty, staff and students pivoted to online work, learning, teaching, and research, the response from our IT units was a critical part of that equation. A multitude of activities were initiated in support of this effort including installation of network infrastructure for drive-through testing, classroom modifications, development of online processes for telework arrangements, laptop and hotspot deployment, security and compliance reviews of symptom tracking apps, expansion of remote access and remote software services, as well as support for Zoom and Microsoft Teams.



MOREnet provided important services for their members in response to COVID-19. MOREnet staff created more than 200 new Zoom sub-accounts for member organizations and assigned more than 16,000 new Zoom accounts. MOREnet also partnered with the Missouri Telehealth Network to provide over 100 free Zoom accounts for telehealth purposes for qualifying health agencies and clinics. In addition, staff provided technical support and guidance to schools and libraries as they enabled greater remote network access and extended their wireless networks beyond their buildings and into their parking lots to support local community members.



Throughout FY20, in addition to COVID response, our IT units accomplished a number of important infrastructure and service improvements, namely active directory domain consolidation (the migration to umsystem.edu), multifactor authentication for email, and office productivity services, specifically, Microsoft 365 and Google Suite.



Many of our accomplishments have been due to cross-campus IT transformation teams that were formed in late 2018 to promote collaboration, standardization and operational effectiveness. The teams are comprised of IT experts from 5 domains; infrastructure, information security, application development, research and finance/administration. The most productive groups have been the Infrastructure, Applications Development and Information Security teams.

The accomplishments from those teams and other IT accomplishments are available in [Appendix C](#).

A LOOK FORWARD

From a strategic perspective, in the coming months and years, IT will be focusing on several important projects including, improving system-wide IT governance, creating a timeline and project plan for our next generation ERP system (i.e., PeopleSoft replacement), moving more services to the cloud, designing and supporting the platforms needed for data management and analytics (support for Institutional Effectiveness), developing a cyberinfrastructure plan for research computing support, evaluating an enterprise-wide customer resource management (CRM) platform and managing reductions in on-campus infrastructure as a result of our new, remote work model that will likely continue into the future. These projects are in addition to any number of initiatives that will be introduced by HR, Finance and academic units.

As mentioned earlier, application rationalization is an area that needs to be tackled. As specific examples:

- At least 10 different event management applications
- At least 5 different applications are in use for social media management
- In the area of document management, at least 5 different solutions are in use
- For project management, 7 known applications are in use

While there may be niche functionality provided by a given application, it stands to reason that we don't need such a broad variety of applications in each sector.

We also need to focus on a reliable IT funding structure. Currently, each University is called upon to pay for their allotted share of licensing and support, but this can be a barrier to moving to more efficient, effective and secure solutions. As an example, many of our vendor licensing processes are handled at the System level for all Universities. Examples include Microsoft, Google, Oracle, Dell and Cisco. When we negotiate with Microsoft for security enhancements, if one University can't fund the enhancement, then we are handcuffed. This example is real – we are indeed facing this exact issue right now. Negotiating with each campus to fund their portion of a critical, core service is time consuming and unproductive. IT needs to make the cost/benefit case to leadership then, with their support, we should be able to move forward together.

There are additional opportunities to consolidate, expand shared services and distribute responsibilities across our Universities. Help desks, network monitoring, data centers, server management, cloud management, telecommunications and IT procurement and compliance are a few IT domains that are areas to investigate. We need to establish opportunities for any of our campus-based IT units to provide services to all. To accelerate this process, consideration needs to be given to the unification of all IT units across our

Universities with initial attention given to governance, financial models and budgeting. Different budgets and financial models for each of our IT units is a significant hurdle as noted previously.

Most IT systems and services are, or should be, homogenous across all campuses with an acknowledgement that some legitimate differences will exist. Consolidation of IT into a single organization does not mean that IT will be unable to support specialized services on a given campus. Nor does it mean that all services must be provided from Columbia. It does mean that an opportunity exists to make more, faster progress in standardization and in reducing the number of systems and applications that do the same thing, which should lead to better service and support and lower costs for everyone. Without consolidation, progress will still be made but at a slower pace.





Over the past several months, the CIOs have been working together to develop a new set of strategic objectives and goals. While that work is incomplete, we have written our mission and vision statements as well as the core tenets that will guide us.

MISSION AND VISION

It is our responsibility to support the missions of all our Universities and the UM System through information technologies that advance learning, research and teaching.

It is our vision to be leveraged as a strategic asset, critical to the institution's success, using our collective capabilities to provide innovative information technologies across all campuses while helping to preserve the unique capabilities of each of our Universities.

Our services will be delivered with a commitment to...

-  **Accessibility** - Ensure that IT products and services are available and usable by people with the widest range of abilities, within the widest range of circumstances
-  **Availability** – Ensure the ability of users to access information or resources when needed
-  **Integration** – Ensure the connection of systems, data, applications, APIs and devices across our infrastructure to enable and drive data-driven decision-making
-  **Mobility** – Focus on providing mobile-friendly IT solutions for faculty, staff and students to enable them the flexibility to work and learn from anywhere, from as many devices as possible

- **Security** - Enable proper cybersecurity strategies and techniques that prevent unauthorized access to organizational assets such as computers, networks, and data
- **Self-Service** – Ensure that appropriate IT products and services are intuitive and foster faculty, staff and students’ ability to access information or complete routine tasks without assistance
- **Usability** – Ensure that IT products and services provide needed features (utility) that are easy and intuitive to use
- **Utilization** – Focus on obtaining the most value and return on investment from enterprise solutions

Our operational principles will include a commitment to customer service, data-driven decisions, governance, transparency, and fiscal responsibility.



Across the board, our IT staff are extremely dedicated and committed to serving their Universities and their customers. They take pride in the work they do and work tirelessly to ensure systems are up and running. Just last week, the UM System held their (virtual) annual staff appreciation awards. During those awards, employees are recognized for anniversary milestones. For the combined 15, 20, 25 and 30-year award categories, seventeen (17) IT staff were recognized out of a total of twenty-nine (29) individuals. This demonstrates IT staff dedication and how they believe in our University.

In the end, IT will be stronger as a single unit allowing us to leverage all our collective talents and expertise across the System and we will be better positioned to serve the mission of our Universities.

Appendix A - Products and Services

Infrastructure

- Back-up
- Data center
- Database support services
- Local area network services
- Metrics, monitoring & automation
- Middleware
- PeopleSoft infrastructure support
- Servers & storage
- Systems monitoring
- Telecom services
- Wide-area networking

Communication & Collaboration

- Cable television
- Email & calendaring
- Instant Messaging/Chat
- Two-way radios
- Unified communications
- Voice over IP
- Voicemail
- Video/audio conferencing
- Video streaming
- Web-based collaboration
- Website hosting

Research Computing Support Services

- Aerial systems
- Client consulting
- Cloud computing support
- Device prototyping
- Embedded systems
- Graphical processing units (GPU)
- High performance computing (HPC)
- High throughput computing (HTC)
- Instrumentation prototyping and support
- Programming/Software development
- Research networking
- Research storage
- Research training & outreach
- Visualization & data analysis

- Information Security & Identity
- Authentication
- Directory services
- eDiscovery
- Federated identity services
- Forensics
- Incident response
- Identity management
- Security assessments
- Systems security

Public Safety

- Emergency notification
- Emergency phones
- Security Cameras

Data Warehouse & Reporting

- Enterprise data warehouse
- Data Integration
- Reporting & analytics
- Reporting tool management

Academic Technologies

- Academic software
- Classroom technologies
- Computer labs
- Course websites
- Digital Repositories
- Faculty support
- Learning management systems
- Lecture capture
- Plagiarism prevention tools

Enterprise Applications

- Alumni info systems support
- eCommerce
- Electronic signature (DocuSign)
- Imaging & document management
- PeopleSoft
- Systems & data integration
- A number of academic applications are not listed here
- Client Services
- Account management
- Adaptive computing
- Client support
- Departmental computing
- File services (Box, One Drive,

- Google Drive, file servers)
- Help desk
- ID cards
- POS services
- Network & telecom adds/moves/changes
- Residence hall support
- Software sales

Administrative

- Application rationalization
- Finance & HR
- General administrative
- Procurement & compliance
- Policy & procedure
- Printing support
- Project management
- Software licensing
- Vendor management

IT Professional Services

- Application development
- Audio/Visual services
- Computer peripherals
- IT service management
- Office productivity and cloud services support (e.g., MS365)
- Research support
- Software deployment
- Special event support
- Technology consulting & compliance
- User support
- Website application development
- Workstation deployment & management
- Workstation security

Appendix B - Supporting Data

TABLE 1 - IT Budget by University

	FY18	FY19	FY20	FY21	% Change FY18 to FY21
S&T	\$ 9,408,984.00	\$ 9,875,072.00	\$ 8,695,041.00	\$ 7,624,401.00	-19%
MU	\$ 49,395,566.00	\$ 49,729,322.00	\$ 50,104,057.00	\$ 40,018,406.00	-19%
UMSL	\$ 10,303,028.00	\$10,052,704.00	\$ 10,467,704.00	\$ 9,237,936.00	-10%
UMKC	\$ 8,630,961.00	\$ 7,118,372.00	\$ 8,156,421.00	\$ 6,136,000.20	-29%
UM Shared Svcs	\$16,970,933.00	\$17,172,683.00	\$ 17,146,769.00	\$ 18,372,482.00	8%

Note: Some portions of the ASB and shared services expenses are included in each University's IT budget making a portion of each budget duplicative.

TABLE 2 - IT Staffing FTE trends (excluding student employees)

	FY17	FY18	FY19	FY20	FY21	% Change since FY17
S&T	95.0	94.0	83.0	107.0	75.0	-21%
MU	437.6	434.1	414.5	407.5	404.5	- 8%
UMKC	110.4	111.6	95.4	91.2	93.0	-16%
UMSL	65.0	61.0	60.0	56.0	46.0	-29%

TABLE 3 - Employee trends

	2017	2018	2019	2020	% Change since FY17
S&T	3,516	3,496	3,430	2,946	-16.2%
MU	18,916	18,171	18,215	17,013	-10.1%
UMKC	5,058	4,741	4,947	4,613	-8.8%
UMSL	2,996	2,941	3,150	3,000	0.1%

*as of 09/03/20

TABLE 4 - Student trends

Student Enrollment (headcount)

	Fall 2019	Fall 2020*	% Change
S&T	7971	7531	-6%
MU	29,668	30,835	4%
UMKC	12,546	12,262	-2%
UMSL	9,794	9,523	-3%

*pre-census

TABLE 5 - Decentralized IT Staff (Current)

	Decentralized IT staff	% of decentralized vs. centralized
S&T	7	8.54%
MU	74	15.47%
UMKC	21	16.77%
UMSL	14	23.33%
UM	2	1.88%
Total	37	4.84%

TABLE 6 - EDUCAUSE CDS IT Spend

OPERATIONAL PEERS – IT Spend Comparators - Educause 2019 Core Data Services	IT spending per employee FTE	IT spending per student FTE	IT spending as a % of institutional expenses
Missouri University of Science and Technology	6,521.01	1,175.79	0.04
Michigan Technological University	9,137.93	2,070.15	0.05
Rochester Institute of Technology	9,355.15	2,305.22	0.06
Stevens Institute of Technology	9,558.50	1,640.18	0.04
Colorado School of Mines	10,209.86	1,997.21	0.03
New Jersey Institute of Technology	11,863.63	2,029.60	0.04
University of Kansas	3,797.25	1,298.47	0.02
University of Missouri - Columbia	4,105.29	1,441.70	0.02
University of Oregon	5,185.92	1,181.95	0.03
The University of Iowa	5,223.17	1,896.14	0.02
University of Colorado Boulder	7,149.39	1,856.84	0.04
University of Virginia	5,992.09	2,499.26	0.02
Indiana University Bloomington	10,139.06	2,311.69	0.06
University of Louisville	2,792.84	1,023.48	0.02
University of Missouri-Kansas City	3,446.10	808.92	0.02
Wayne State University	4,227.90	1,136.79	0.03
University of Alabama, Birmingham	4,947.84	2,749.49	0.02
University of Akron	740.75	852.87	0.04
University of Missouri-St. Louis	883.09	1,010.79	0.05
Portland State University	896.77	1,026.83	0.04
Kent State	1,137.39	1,318.13	0.07
University of South Florida	1,510.50	1,846.85	0.05
University of Alabama, Birmingham	1,767.37	2,749.49	0.02

Appendix C - Accomplishments

IT Transformation – Applications Development Team

- Civics Exam data management tool
- Grade Pass Back tool
- Phase 1 of 4-campus software app inventory tracker
- Satisfactory/Unsatisfactory grade management application in response to COVID-19
- COVID test score management
- Moved all central IT developers to a standard source control application
- Defined standards for common software development languages and databases
- Initiated training plans to assure all developers have knowledge for standard development languages

IT Transformation - Information Security

- Implemented external email tagging to help educate users on spam/phishing risks
- Implementation of multi-factor authentication on email systems
- Implementation of multi-factor authentication on iPortal for MUHC
- Migrated 616,908 accounts to UMAD as part of the AD Consolidation project
- Retired on-premise IronPorts, migrated to Cisco Cloud Service
- Upgraded all domains/domain controllers to Windows 2019 and reduced the total number of Domain Controllers

Project Unify

- Mapped functional processes for Registrars, Admissions, Financial Aid & Cashiers
- Updated and Aligned Student SSN Collection
- Digitized Transcripts –90% complete
- Finalized agreement on summer enrollment start date
- Updated and aligned reassessment policies
- Updated and aligned residency policies
- Established standardized processes within Canvas for “last day of attendance” tracking

Cherwell Ticketing

- Developed telework arrangement and payroll reduction request processes for COVID
- Digitized the HR PCQ process
- Digitized the Tuition Assistance request process
- Broadened the use of Cherwell to 15 groups including units such as CVM facilities, Mizzou Academy, UMKC Student Affairs, and UM Finance

IT Transformation – Infrastructure

- Saved ~\$22.4k through coordination and consolidating of infrastructure purchases
- Avoided \$1.9 million in capital purchases, reduced annual operating costs by \$1,043,904 by consolidating the UM inter-campus network. This consolidation will also increase inter-campus network bandwidth by 900%, Internet bandwidth by 50% and Internet2 bandwidth by 400%.
- Implemented services offerings for Microsoft 365 and Google Suite for all users at all Universities

Research Computing

- Expanded HTC storage
- Established connectivity to DREN
- Formed new workgroup (Linux and Specialized Systems Support (LASSS)) to provide advanced support for specialized systems in research and instruction (MU)

MOREnet

- Welcomed 25 new members
- Improved member satisfaction ratings from 92% to 94%
- With DESE, provided computer science training to nearly 900 school district staff
- Saw bandwidth increases of 62.93 Gbps (39% increase)
- Reengineered southeast fiber network for failover protection
- Collaborated with DESE to launch the new MOSIS ID Automatic Student Lookup service

MOREnet 2019-2020 [impact report](#)

Other

- Upgraded and expanded security cameras (MU)
- Adopted AGILE/SCRUM methodologies (UMSL)
- Online tools allowing students to see available computing lab computers (UMKC)
- Expanded call center hours (MU & UMKC)



University of Missouri System

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2019-2020
Annual
Report

GOOD AND WELFARE OF THE BOARD

There are no materials for this information item.

No. 1

Recommended Action – Resolution for Executive Session of the Board of Curators Meeting September 24, 2020

It was moved by Curator _____ and seconded by Curator _____, that there shall be an executive session with a closed record and closed vote of the Board of Curators meeting September 24, 2020 for consideration of:

- **Section 610.021(1), RSMo**, relating to matters identified in that provision, which include legal actions, causes of action or litigation, and confidential or privileged communications with counsel; and
- **Section 610.021(2), RSMo**, relating to matters identified in that provision, which include leasing, purchase, or sale of real estate; and
- **Section 610.021(3), RSMo**, relating to matters identified in that provision, which include hiring, firing, disciplining, or promoting of particular employees; and
- **Section 610.021(12), RSMo**, relating to matters identified in that provision, which include sealed bids and related documents and sealed proposals and related documents or documents related to a negotiated contract; and
- **Section 610.021 (13), RSMo**, relating to matters identified in that provision, which include individually identifiable personnel records, performance ratings, or records pertaining to employees or applicants for employment; and
- **Section 610.021 (14), RSMo**, relating to matters identified in that provision, which include records which are protected from disclosure by law; 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 Board: YES NO

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

The motion _____.

September 24, 2020